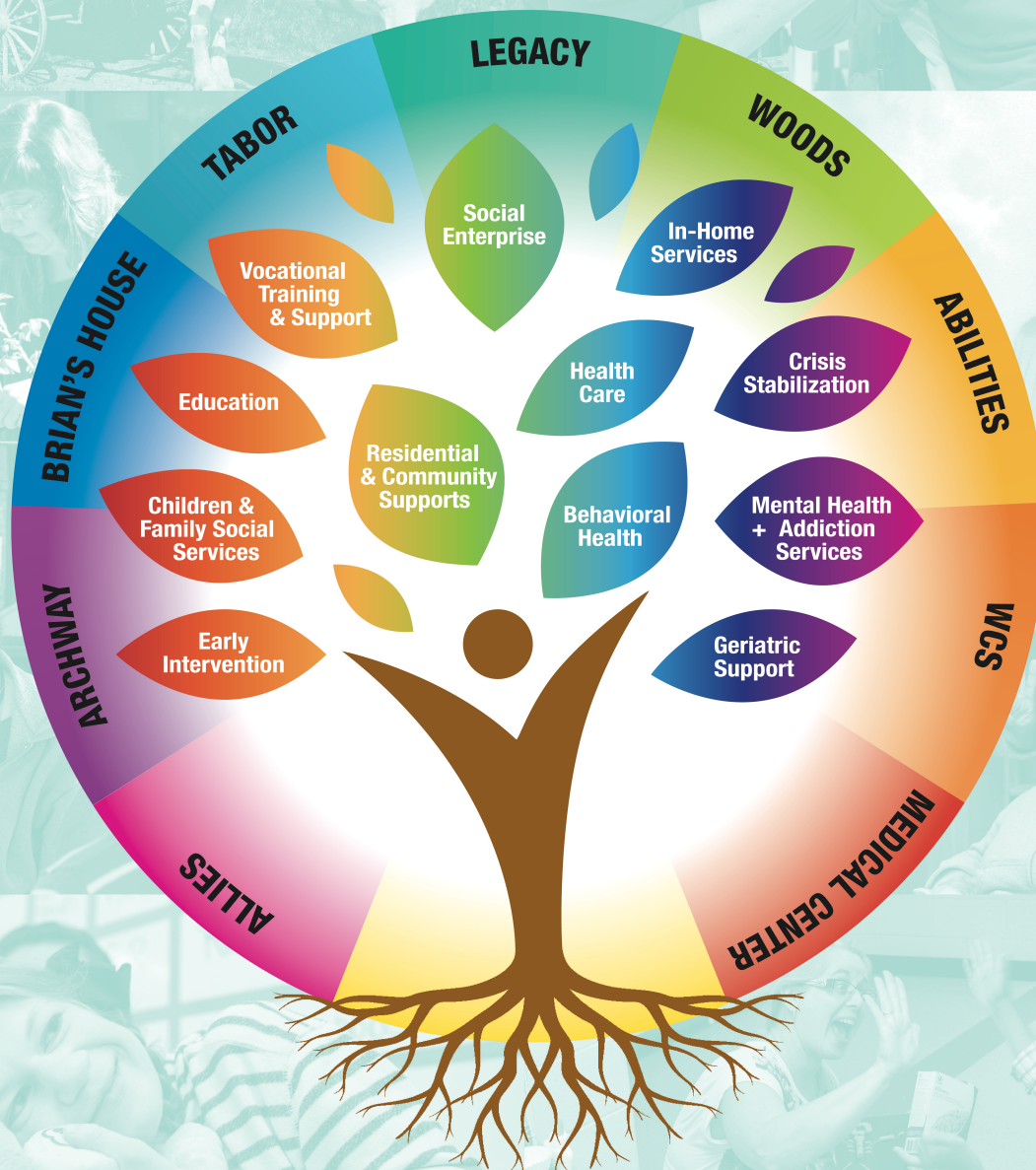


THRIVING THROUGH TRANSFORMATION

*A Practical Guide to Creating
Organizational Change in the Social Sector*

Tine Hansen-Turton and Peter Shubiak, Editors

Woods System of Care



Thriving Through Transformation: A Practical Guide to Creating Organizational Change in the Social Sector

**Tine Hansen-Turton, MGA, JD, FCCP, FAAN
Peter Shubiak, LCSW**
Editors

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Praise for *Thriving Through Transformation*

“*Thriving Through Transformation* tells an important story about how vision, strategy, and culture can help service providers improve their organizations and ensure clients achieve positive outcomes. These are not theoretical lessons; they are the result of hard-earned experience by people who have done the heavy lifting and want to teach you how to do it too. The Woods story holds valuable lessons for any agency executive who wants to drive organizational growth through innovation.”

—**Joshua Rubin, Principal, HMA**

“Organizational success requires strong leadership teams, aligned on vision and pace, who remain open to self-assessment as industry trends shift. *Thriving Through Transformation* highlights what having the right people in the right seats can do to create seismic organizational transformation. This book walks through tactical examples, from embracing paradigm shifts, executing on a new vision and mission, to forming strategic affiliations, to developing employee engagement and retention strategies, which can help any organization navigate challenges and thrive.”

—**Stacy DiStefano, Chief Executive Officer, Consulting for Human Services (CFHS)**

“Woods’ story is a case study of the best of mission-driven leadership in a challenging time. The Woods’ organization has created innovative consumer service models and taken them to scale in the market through their own expansion efforts and creative partnerships with leading organizations in the field. The result has been viable new enterprises providing greatly improved services for consumers. This book will inspire leaders in the health and human service field to view the challenges ahead as an opportunity to innovate and to transform their organizations.”

—**Monica Oss, President and CEO, Open Minds**

Tine Hansen-Turton, MGA, JD, FCCP, FAAN

Tine Hansen-Turton, President and CEO of Woods Services, is an executive with more than 25 years of experience in health and human services senior management, executive leadership and consulting. Ms. Hansen-Turton is currently the President and CEO of Woods. Woods is a fast-growing multi-state non-profit population health organization serving people with intellectual disabilities and complex healthcare needs, with annual revenues in excess of \$340 million that has advocated for people with disabilities for over 100 years. Ms. Hansen-Turton has extensive experience health care policy, service delivery and financing, business development and education, and has been a leader in nurse-led health care. Ms. Hansen-Turton has authored numerous books and articles on nonprofit innovation, management and leadership, health care, and nurse-led care, and teaches non-profit leadership and health policy at University of Pennsylvania and elsewhere.

Peter Shubiak, LCSW

Peter Shubiak is a mission-driven healthcare and social services executive with extensive experience in managing comprehensive and integrated systems of care for children and adults with intellectual disabilities, behavioral health, and co-occurring disorders. Mr. Shubiak is a Licensed Certified Social Worker who has a Master's Degree from the University of Maryland and a Bachelor's Degree from the Catholic University of America. He is also an alumnus of the Executive Program for Non-profit Leaders offered through the Stanford Graduate School of Business. Having served in several leadership positions throughout his career, one of his most memorable and rewarding roles was that of Executive Vice President, Chief Culture Officer at Woods, when he helped to shape and drive the organization's transformation.

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CONTENTS

Foreword.....	1
Preface.....	3
Introduction.....	5
• Why Focus on Change in the Social Sector?.....	5
• The History of Woods and its Need for Transformation.....	7
Chapter I: Creating a Clear and Consistent Organizational Vision..	11
• Theoretical Framework.....	11
• Creating a New Vision.....	11
• Realigning Woods with the Healthcare Industry.....	14
• The Medical Center at Woods.....	16
• Building a Whole Person System of Care for Life.....	17
• Strategic Positioning for Managed Care and Value-Based Funding	19
• Stakeholder Perspectives in Their Own Words.....	21
• Lessons Learned.....	35
• Key Reflections for Discussion.....	35
Chapter II: Strategic Directions and Planning.....	37
• Theoretical Framework.....	37
• Woods' Strategic Directions Plan.....	37
• Mission-driven Growth and Improved Services.....	38
• Employee Engagement.....	39
• Enterprise Shared Services.....	40
• Strategic Position, Policy, and Thought Leadership....	40
• Woods' Transformation Plan.....	42
• Strategic Development Director.....	44
• Stakeholder Perspectives in their Own Words.....	46
• Lessons Learned.....	50
• Key Reflections for Discussion.....	50
Chapter III: Change Management.....	51
• Theoretical Framework.....	51

• Change Management.....	51
• Change Starts at the Top.....	52
• Plan for Change.....	53
• Create a Sense of Urgency.....	53
• Communicate.....	54
• Real Change Happens on the Frontlines.....	55
• Celebrate Successes.....	55
• Case Study: Freezing a Defined Benefit Pension Plan.....	56
• Stakeholder Perspectives in Their Own Words.....	58
• Lessons Learned.....	62
• Key Reflections for Discussion.....	63

Chapter IV: Strategies for Engaging Employees..... 65

• Theoretical Framework.....	65
• Organizational Culture.....	65
• Employee Engagement and Development Initiatives.....	67
• Enhanced Employee Benefits.....	68
• Career Pathways.....	71
• College Cohort Programs and Other Educational Benefits.....	73
• Stakeholder Perspectives in Their Own Words.....	76
• Lessons Learned.....	79
• Key Reflections for Discussion.....	80

Chapter V: Cultivating an Organizational Culture of Innovation.... 81

• Theoretical Framework.....	81
• Cultivating a Culture of Innovation.....	81
• Idea Formation and Exploration.....	82
• Design Thinking and Rapid Prototyping.....	82
• Financial Modeling and Raising Start-up Capital.....	83
• Scaling for Impact.....	83
• Execution Strategies.....	84
• The Business Plan.....	84
• Innovation Initiatives:.....	85
• Woods Wear Social Enterprise.....	85
• Artists Out of the Woods Social Enterprise.....	87
• Employee Sanctuary Room.....	87
• Leadership Development.....	89

• Hear from Participants.....	90
• Lessons Learned.....	91
• Key Reflections for Discussion.....	92

Chapter VI: Cultivating an Organizational Culture of Care - Woods' Three Keys to Unlocking Potential..... 93

• Theoretical Framework.....	93
• Lessons Applied from Disney.....	94
• Leadership Excellence.....	94
• Employee Engagement.....	95
• Quality Service Standards.....	96
• Woods' Three Keys to Unlocking Potential.....	96
• The Safety Key.....	96
• The Comfort Key.....	97
• The Engagement Key.....	98
• Lessons Learned.....	99
• Key Reflections for Discussion.....	100

Chapter VII: Building Organizational Capacity for Equity, Diversity, and Inclusion..... 101

• Theoretical Framework.....	101
• Creating an Equitable, Diverse, and Inclusive Organization....	101
• Lessons Learned.....	107
• Key Reflections for Discussion.....	108

Chapter VIII: Mission-driven Growth, Program Improvement & Partnerships..... 109

• Theoretical Framework.....	109
• Mission-driven Growth and Program Improvement.....	109
• The Benefits of Affiliation.....	111
• The Woods Affiliate Partnership.....	112
• The Affiliation Process.....	112
• Allies Affiliation.....	114
• Legacy Treatment Services Affiliation.....	116
• Archway Programs Affiliation.....	118
• Tabor Children's Services Affiliation.....	120
• Brian's House Affiliation.....	121
• Stakeholder Perspectives in Their Own Words.....	122

- Lessons Learned..... 123
- Key Reflections for Discussion..... 124

Chapter IX: Infrastructure and Enterprise Shared Services..... 125

- Theoretical Framework..... 125
- Infrastructure Investments..... 125
- Shared Infrastructure and Resources..... 129
- Shared Services Vision and Strategy.....132
- Future Shared Services Operating and Governance Model..... 133
- Case Study: Information Technology Shared Services Assessment and Plan..... 135
- Stakeholder Perspectives in Their Own Words..... 138
- Lessons Learned..... 140
- Key Reflections for Discussion..... 141

Chapter X: Strategic Position, Policy, and Thought Leadership..... 143

- Theoretical Framework..... 143
- Why Political Engagement Matters..... 144
- Laying the Groundwork for Change..... 144
- Policy Accomplishments..... 149
- Looking to the Future..... 150
 - Establishing an Adapted PACE Model for Persons with Intellectual and Developmental Disabilities..... 150
 - Achieving Federal Recognition..... 151
 - Promoting Choice..... 152
- Lessons Learned..... 154
- Key Reflections for Discussion..... 155

Concluding Remarks – A Lens on the Future..... 157

FOREWORD

I have had the privilege of serving on nonprofit boards throughout my career. However, none have been as rewarding or challenging as my time on the Woods Services Board.

My wife had been a nurse at Woods for seven years, so I was familiar with the organization when I was invited to join the Board. With great respect for their tremendous work, I was eager to offer my support as a Board member. I was unaware of the significant regulatory and funding challenges that health and human service organizations faced at the time, in addition to the difficulties Woods would encounter.

Thriving Through Transformation: A Practical Guide to Creating Organizational Change in the Social Sector is a brilliant playbook about change in the social sector and how Woods Services specifically responded to these changes. It is edited by Tine Hansen-Turton and Peter Shubiak.

Tine, a proven results-oriented strategic leader, is known for being an effective organizational change agent. A policy and health systems reform advocate, she founded and currently leads several nationally recognized organizations and trade associations. She has extensive experience in government, philanthropy, business development, healthcare financing, Pre-K-14 education, and outcomes-driven public/private partnerships.

Peter is a mission-driven senior healthcare and social services executive. He possesses extensive experience in managing comprehensive and integrated care systems for children and adults with intellectual disabilities, behavioral health, and co-occurring disorders. Through his passion for achieving excellence through teamwork, he consistently produces exemplary outcomes in service delivery, operations, business development, and tactical partnerships.

This book recounts how Woods' reputation suffered a severe attack in 2016 and how the organization rapidly transformed and regained the position of a leader in the human services field. This is the story of how Woods reframed its type of organization, changed its culture, and aligned people and processes to support growth and quality improvement.

I am incredibly proud of Woods' long history as a pioneer and innovator in the field of human services. As evidenced by this book, we continue in the direction established by our founder, Mollie Woods, over a hundred years ago. I am confident there will be a second book; Woods is committed to overall systems change to improve the delivery of services and support for people with complex disabilities.

We look forward to sharing our transformation story with you and hope that our experiences and lessons learned may help guide you and your organization.

Barry Sharer
Chair, Woods Services Board of Trustees

PREFACE

There is little in life more fulfilling than working for a mission-driven organization that serves people in need. Woods Services is that kind of organization. Yet, as with most organizations that have been around for a century, it has had to adapt to the times. As William S. Burroughs is credited with saying, “When you stop growing, you start dying.” Mollie Woods, Woods’ founder, was already a pioneer and innovator when she started the Woods Schools. She transformed society’s thoughts about children and adults with intellectual and developmental disabilities. Throughout its history, Woods has adapted to changes in policy and leadership.

As the writers and editors of this book, we are excited to share the process of Woods’ latest transformation. While those who came before us have lived through many changes over the organization’s rich history without telling their stories, we think it is vital to share ours and the lessons we learned along the way.

We fully recognize that change does not happen without the right people. The team responsible for Woods’ recent transformation came together in 2016. We bonded and embarked upon a collective journey that can only be replicated and captured in Dr. Seuss’ humorous yet serious way in ‘Oh the Places You’ll Go.’ We set out as a new leadership team with the understanding and agreement that Woods lagged behind industry leaders in some areas; change was necessary. Each member of the team played an essential role in the transformation. However, none of us expected that we would be transforming and making critical strategic decisions in full sight of an audience of funders, government agencies, key stakeholders, and the general public.

No one becomes an expert without the support of many people along their professional journey. We were fortunate to have each other and crucial advisors in our lives that taught us much about leadership, shaping who we are as leaders. These mentors and coaches have come from various sectors, including the private, government, and nonprofit sectors. Getting to the other side of transformation required tapping into and leaning on one another.

What can you expect from this book? Specifically, you will learn how transformative organizational leaders apply organizational development and management principles and practices to achieve impactful and sustainable organizational change. *Thriving Through Transformation* is pertinent to organizations interested in making changes as part of their evolution or response to crises. This is particularly timely in the wake of contemporary challenges, such as the impact of the COVID-19 pandemic and tackling systemic racism by building capacity for equity, diversity, and inclusion. The book is a guide and toolkit based on lessons learned by a

leadership team that effectively and expeditiously transformed an organization that lagged behind its peers and was threatened, on several fronts, into becoming one of its industry's most prominent and premiere organizations. This book will appeal to anyone interested in learning or teaching how organizations:

- Develop and drive a clear and consistent vision for change
- Create and execute meaningful strategic and tactical plans
- Manage change
- Cultivate intentional organizational cultures
- Engage employees and other stakeholders
- Promote innovation
- Build capacity for equity, diversity, and inclusion
- Increase impact via improved services and organic and inorganic growth
- Strengthen organizational capacity and infrastructure
- Achieve recognition and reputation as a formidable Thought Leader
- Shape policy and influence market forces

Through the overarching story of organizational transformation and specific case studies, this book shares a new depth of understanding of organizational development concepts and management principles. Additionally, it provides practical methods and tools for deploying these concepts in the field. We believe this book will enhance the knowledge base for leaders, managers, nonprofit Boards, doctors, nurses, social workers, allied health professionals, healthcare administrators, service providers, policymakers, students, and faculty members. It will especially cater to those working in, preparing to work in, or teaching organizational leadership and development in the social sector, including the health and human services industry. Colleges and universities educating business administrators and other healthcare professionals will also gather key takeaways for their practices.

Please enjoy, and thank you for all you do.

Yours,

Tine Hansen-Turton

Peter Shubiak

INTRODUCTION

“As government retrenches, Americans will look increasingly to the nonprofits to tackle the problems of a fast-changing society. These changes will demand innovation – in services, and in nonprofit management.”

- Peter Drucker, influential management consultant, educator and author

WHY FOCUS ON ORGANIZATIONAL TRANSFORMATION IN THE SOCIAL SECTOR?

According to the National Center for Charitable Statistics, in 2016 alone, approximately 1.54 million nonprofit organizations were registered with the Internal Revenue Service (IRS). In the same year, the nonprofit sector contributed an estimated \$1.047 trillion to the US economy, composing 5.6% of the country's gross domestic product (GDP).ⁱⁱ Nonprofit organizations vary in size and scope and run the gamut from large hospital systems and academic institutions to small neighborhood groups.

Many nonprofit leaders contend that the social sector entails complexities generally not found in the for-profit or government sectors. This is partly due to nonprofit organizations' role in connecting individuals and populations with essential resources, including healthcare, housing, food, and other human needs like, education and training, arts and culture, and social justice. In addition to serving in intermediary roles, nonprofit organizations often operate in challenging financial, regulatory, and political environments.

Despite the essential roles that nonprofit organizations play in society, several impeding factors hamper innovation in the social sector space. For example, unlike for-profit corporations that thrive on consumer behavior and market conditions, not-for-profit organizations often operate in closed systems within which government agencies and third-party funders often make decisions on behalf of service recipients. Commonly, these decisions base themselves on perceived needs rather than the actual value of services involved to those in need. This occurs partly because the people receiving or benefitting from services are often disenfranchised or do not pay directly for their services. Consequently, social sector organizations are not incentivized or motivated to evolve in response to customer feedback the same way their counterparts in the for-profit sector are. Additionally, innovation in the social sector is often thwarted by disconnected and inconsistent policy and funding decisions made by various government agencies and funders operating in silos. Moreover, the services provided by the social sector are generally underfunded. The conventional strategies governments and other funders often use to control costs hinder the

market's ability to establish a healthy balance between supply and demand.ⁱⁱⁱ This typically results in problematic consequences, including shortages, cost diversions, a lack of investments, and service manipulation to match funding contingencies instead of needs.^{iv}

Nevertheless, nonprofit organizations are passionate about—and committed to—their missions. Many attempt to make changes to enhance their services and increase their social impact. Nonprofit organizations are also often compelled to make changes in response to mandates from the public, government leaders, funders, and other stakeholders who want practical, cost-efficient, and accessible services. Despite best efforts to make improvements, sustainable change is challenging for organizations. Research shows that 70% of all management change efforts fail.^v For this reason, examples of successful change, innovation, and transformation within the complexity of the social sector are particularly noteworthy and relevant to driving organizational change in all industries.

This book tells the true story of how a leadership team successfully transformed a century-old nonprofit organization. It took Woods, decades behind its peers and confronted with multiple existential threats, into one of its industry's leading service providers in a relatively short period. The story is as instructive as it is inspiring; it is told in the context of highly effective and time-tested organizational development and management theories, principles, and practices that renowned researchers and business gurus have identified. Examples include Jim Collins' work in *'Good to Great: Why Some Companies Make the Leap and Others Don't'*^{vi} and Leslie Crutchfield and Heather McLeod Grant's *'Forces for Good: The Six Practices of High Impact Nonprofits'*,^{vii} among many others.

This book is a practical guide grounded in best practices for how organizational leaders can successfully lead and sustain change. Theoretical organizational development and management principles are brought to life through the powerful story of how one organization with an important mission transformed despite many challenges. Principles and practices are illustrated in the context of authentic case studies used to exemplify management theories further. Each chapter concludes with a summary of the lessons learned by this extraordinary leadership team and their reflection points. Many of the organization's source documents, including strategic directions and transformation plans, are provided as examples and tools.

While this story and the case studies shared take place in the often overlooked and ignored social sector of intellectual and developmental disabilities, they apply to leaders driving impactful and sustainable change in other industries.

THE HISTORY OF WOODS AND ITS NEED FOR TRANSFORMATION

Today, Woods Services, Inc. (Woods) is a dynamic and thriving nonprofit population health management and advocacy network. It provides innovative, comprehensive, and integrated healthcare, behavioral health treatment, housing, education, workforce, and support services. These services cater to over 22,000 individuals with intellectual and developmental disabilities and complex medical and behavioral health conditions. The following account of Woods' history is a compilation of information recorded through the years by numerous people.

Woods' story starts at the turn of the 20th century. Its founder, Mollie Woods, was born in Duncannon, Pennsylvania, in 1882. She graduated from the Philadelphia Normal School in 1901. She was one of six in a class of 200 to earn a certificate qualifying her to become a principal in the Philadelphia school system. Mollie took a passionate interest in students with learning challenges. At 25, she was appointed the principal of Special School No. 6, a grammar school for boys labeled "retarded", delinquent, and truant. Recognizing that her students required more attention than she could give during a typical school day, Mollie founded The Woods School in 1913. The school began in a farmhouse in Roslyn, Pennsylvania, through her determination, dedication, and pioneering leadership. It became renowned for its home-like atmosphere, high standards, and sympathetic understanding of each child.

As Mollie's reputation spread and the school grew, she hired architect John Ridgeway Hare to increase the school's capacity by remodeling a garage. The two married in 1919, before the renovations were completed, and embarked upon a lifetime commitment to serving individuals with special needs.

In 1921, The Woods School moved to Langhorne, Pennsylvania, and by 1924, the school had grown to include one for girls, one for boys, and one for young children. The move to Langhorne signaled an incredible period of expansion and international recognition for The Woods Schools.

In 1934, Woods established the Child Research Clinic and introduced a scientific basis for supporting and advancing the capabilities of the exceptional child. Woods became an international leader in the field, sponsoring conferences and publishing journals that featured the best minds. Mollie demonstrated the value of using standardized testing, remedial education, and grouping students by their social maturity and developmental age rather than by their chronological age. This progressive method was considered pioneering at the time. In 1939 Temple University recognized Mollie's achievements by bestowing her the honorary degree of Doctor of Humane Letters.

Upon John's death in 1944, Mollie began to think about her mortality and the future of the schools. So, four years later, she gifted the Woods Schools as a nonprofit, tax-exempt institution to a self-perpetuating Board of Trustees. The Board comprised men and women distinguished for their accomplishments in business, government, and other professions. In her announcement of this momentous change, she wrote:

"...The purpose of The Woods Schools is the same as it has always been: To teach the exceptional child—the slow child, the child with behavior problems, the child with reading or speech difficulties and the like—to meet problems of everyday life; to make normal adjustments, to acquire sources of satisfaction for the present as well as for later years, and to know the joy of achievement.

In order to safeguard their future and perpetuate their work, The Woods Schools, valued at \$2,500,000 in plant, property, and assets, were given to the Board of Trustees. With their help, wisdom, and leadership, The Woods Schools could now receive funds, gifts, bequests, and endowments for new buildings, educational research, scholarship aid, personnel training, and other worthwhile projects necessary for a program of continuous growth and future expansion.

The Woods Schools have always been pioneers.

One of our earliest objectives has been constant pioneering research in the techniques of care and training for the exceptional child and disseminating that research to the medical profession and educators for the benefit of all exceptional children.

We must continue that tradition—to pioneer and grow—for that is living itself."

Restructuring Woods, with Mollie as the President of the Board, did not change the purpose or direction of the schools. Mollie Woods Hare was most certainly a visionary. What she described in 1948 is precisely what Woods is today; a celebrated—and first—residential care and training facility for children who could not benefit from traditional education programs.

Following a tour and survey of facilities for the exceptional child, the United Nations declared The Woods Schools "as close to ideal as possible."

Mollie Woods Hare died on January 19, 1956, at 74. The organization stood as an extraordinary memorial and tribute to its remarkable founder and continued to grow. In 1957, Woods established The Child Study, Treatment, and Research Center to provide comprehensive evaluations, diagnoses, and analyses on the needs of exceptional children to parents and professionals. This all-encompassing facility was the first of its kind in the United States. Innovative vocational programs for young adults and progressive programs for individuals with brain injuries were established through the 1960s and 70s.

However, Woods' development slowed, and admissions became stagnant in the 1980s. As a result of changes in societal values, public policy, and funding, the locus of services for individuals with intellectual and developmental disabilities shifted from institutions to the community. This tipping point occurred in the late 1980s and early 90s. The advent of community-based services and support made it possible for individuals with intellectual and developmental disabilities to live in the community. Once viewed as a positive alternative to governmental institutions, Woods' service model did not evolve with changes in societal values and the overall degradation of the institutional model.

During this time, Woods was reticent to support individuals in community settings because of their significant behavioral challenges. However, due to an unwillingness to change service models, Woods' facilities fell into disrepair, and its infrastructure was on the verge of collapse. Facing possible bankruptcy, the Board and management made two strategic decisions: first, to reinvest its over 300-acre campus and facilities by launching a successful capital campaign, The Diamond Jubilee. Second, to develop a niche market by creating programs for those with extremely challenging to serve intellectual and developmental disabilities, specifically children with severe emotional and behavioral challenges or complex medical conditions.

The development of the Woodlands Center for Challenging Behaviors and the Crestwood Center for Children with Emotional Challenges brought tremendous growth and prosperity to the organization. Woods established an excellent reputation for community-based services that were otherwise lacking or inadequate. Nearly 200 school districts from over 20 states referred students to Woods. As a business strategy, this approach worked for almost two decades. Then, history repeated itself.

As community-based services developed and evolved, the pressure to return individuals to community-based services in their home states did too. Several states stopped making referrals to Woods and launched intensive and targeted initiatives to take their residents home. In response to the declining census and the irrefutable trend towards community-based services, the Woods Board of Trustees and management team adopted an aggressive growth strategy by acquiring community-based service

providers. These providers possessed expertise in community housing, social enterprises, special education, early intervention, child welfare, and outpatient behavioral health treatment. Additionally, Woods had some experience with affiliations with its acquisition of Brian's House, Inc. nearly two decades prior. As a result of several acquisitions, including Allies, Inc. in 2012, Archway Programs, Inc. in 2013, Tabor Children Services, Inc. in 2014, and Legacy Treatment Services, Inc. in 2019, the organization increased its consolidated revenues and net assets. More importantly, Woods expanded the scope and scale of its community-based services. With a focus on increasing community presence and footprint in Pennsylvania and New Jersey, Woods neglected its legacy campus-based programs.

When Woods assembled a new leadership team in 2016, the organization faced many challenges, including campus-based programs that were 10-20 years behind its peers; a defined benefit pension plan that put a significant financial strain on the company; non-existent or inadequate information systems; a burgeoning personal-injury legal field competing for clients; and a business model that was not sustainable. Building upon Woods' rich history and expertise, the new leadership team developed an ambitious strategic direction plan and a costly transformation plan to expedite the long-overdue organizational changes and infrastructure investments that Woods needed.

Despite many existential threats and challenges, Woods became stronger and repositioned itself to become one of the country's most prominent intellectual and developmental disabilities organizations. The following chapters tell the story of how Woods accomplished what took its peers decades to build in under two years and re-established itself as an industry leader.

CHAPTER I: CREATING A CLEAR AND CONSISTENT ORGANIZATIONAL VISION

“Good business leaders create a vision, articulate the vision, passionately own the vision, and relentlessly drive it to completion.”

- Jack Welch, transformative business executive and writer

THEORETICAL FRAMEWORK

Bodies of literature underscore the importance of vision within an organization. However, the definition of a vision can sometimes be incongruent and confusing for many. An organization’s vision is often conflated with its mission and values. This tends to confuse as opposed to its intent; providing a concrete image of the organization’s philosophy in achieving a lofty future goal.^{viii} According to Collins and Porras (2008), a vision has two distinct components: 1) a guiding philosophy that unifies the approach of the organization, and 2) a tangible image that is achieved when the philosophy is followed.^{ix} Thus, examining the organization’s vision was a critical first step when beginning the Woods transformation.

CREATING A NEW VISION

Organizational transformation starts with acknowledging the need for change and a new vision that key stakeholders embrace. One of the most important functions of a not-for-profit board is the selection of the Chief Executive Officer. Understanding Woods’ need for change, the Woods Board of Trustees searched for a CEO who could adeptly lead and manage change. It is not uncommon for organizational transformation to begin with a new CEO who sees a need for change. This part of Woods’ transformation begins with Tine Hansen-Turton becoming its President and CEO in 2016. Tine, a change agent and reform advocate in the health and human services sector founded and led several innovative enterprises, nationally recognized organizations, and trade associations. She came to Woods having served as the Chief Operating Officer and Chief Strategy Officer of a large and complex public health management corporation based in Philadelphia. She had also served as the Executive Director of the National Nursing Centers Consortium, a national not-for-profit organization comprising over 500 nurse-managed health centers serving more than 5 million people. Additionally, she had been the founding Executive Director of the Convenient Care Association, a national trade association comprised of more than 3,000 private-sector retail-based convenient care clinics that serve 30 million people. Tine’s experiences

and expertise in creating new models of care and changing state and federal policies to support the new models were the qualifications sought by the Woods Board of Trustees.

As a renowned researcher, author, and business consultant, Jim Collins points out in his book ‘Good to Great: Why Some Companies Make the Leap ...and Others Don’t’,^x influential leaders begin by building special and supportive teams. They need groups willing to change; if the existing team isn’t supportive, the group itself has to change. Fortunately, Tine inherited a team cognizant and committed to recognizing the need for change. This is despite many team members having worked with Woods for a long time. Making sure that the right people were on Jim Collins’s proverbial bus and in the right seats, Tine strengthened the Woods leadership team by optimizing each team member’s experiences, skills, and passions. Subsequently, she added new members when faced with gaps in expertise and experience needed.

While Tine did not replace team members, she changed roles and responsibilities that capitalized on each member’s strengths, aligning them with organizational needs. For example, she reassigned a program operations leader and a plant operations administrator to ensure that changes to legacy programs and new growth initiatives were effectuated successfully and expeditiously. She leveraged the program operations leader’s long-term relationships with licensing and funding agencies and outstanding program development skills. She appointed him to a new role focused on external program development and growth initiatives. In this role, he masterfully executed strategic organic growth initiatives. The plant operations administrator assumed the program operations role and responsibilities and was often asked to oversee special projects because of her exceptional project management skills and ability to lead people. In her new role, she skillfully executed programmatic changes and service initiatives. Other reassignments involved the creation of new positions. For example, the Chief Legal Officer became a close advisor to the CEO as the Senior Executive Vice President/Chief Administrative and Legal Officer, helping to support the CEO through significant and complex organizational change.

Additionally, the Chief Operating Officer, who was intimately knowledgeable about the organization’s operations and had solid working alliances with senior executive leaders, was asked to focus on transforming the organization’s culture as its inaugural Chief Culture Officer. In this role, he led culture-shaping initiatives that would align with Woods’s mission, vision, values, strategies, goals, and overall culture. Shifting roles as a way of capitalizing on individual team members’ strengths is an example of how a CEO can optimize the team and strategically consider the “right people” for the “right seats” on the Jim Collins bus.

Moreover, the leadership team recruited new team members to fill gaps in experience and expertise on the team, including a Strategic Development Director, Vice President for Medical Affairs and Managed Care, and Vice President for Government Relations and Policy. These leaders and the strategic and transformational changes they led are discussed throughout the book in the context of Woods' Strategic Directions and Transformation Plans. They are mentioned in the context of the importance of building a strong team as a foundational building block for creating and executing an organizational vision.

This reconstituted leadership team comprising of veteran and new members was successful partly because of the rules of engagement they established from the beginning. It is not uncommon for team members to undermine changes they do not understand or support. This extraordinary team made a conscious decision to form a true partnership in which everything was up for discussion. Everyone was expected to speak openly and engage in healthy disagreements. This early commitment ultimately resulted in a unified vision everyone believed in and supported. The perspectives of several of these team members are told in their own words later in the book.

In addition to the CEO and leadership team, the third leg of the power trifecta of not-for-profit organizations is the Board of Directors. The primary responsibilities of nonprofit Boards include: determining the organization's mission; selecting the Chief Executive Officer; supporting and assessing the performance of the Chief Executive Officer; organizational planning; ensuring adequate resources and managing resources effectively; determining, monitoring, and enhancing the organization's programs and services; enhancing the organization's public standing; ensuring legal and ethical integrity; and recruiting new Board members and assessing the Board's performance.^{xi} The Woods Board of Trustees comprises family members of individuals served by Woods and professionals from healthcare, social services, law, finance, diversity and community development, and property development and management, among others. Many join a board because they believe in the organization's mission and want to make a difference by contributing their time, talents, and treasures to the cause. Tine was fortunate to have a Board that included dedicated members generous with their time, expertise, experiences, and resources and were individually and collectively supportive of the new vision for the organization.

Tine was also very fortunate to have the support of the Board Chair, Kevin Sheetz, who had previously served as the Board Chair of Tabor Children's Services, a Woods affiliate. Kevin and Tine assumed their respective roles around the same time and quickly established a strong and collaborative partnership. It is always important for the Board Chair and CEO to clearly distinguish their respective roles with regard to governance

and operations and to work together, not against each other. It is also very crucial that the CEO not get too far ahead of the Board with significant organizational changes. Through effective governance, Board management, and collaboration with Tine, Kevin facilitated the Board's support of major change initiatives through its meeting and committee structures and informed decision-making processes. Additionally, Kevin, Tine, and the Chief Legal and Administrative Officer altered the corporate, governance, and management structures, which are discussed in the next section, to align the organization's control and operational systems and functions with its new vision, strategic directions, and transformation.

REALIGNING WOODS WITH THE HEALTHCARE INDUSTRY

Woods' early years were rooted in the beliefs and research of medical professionals; in fact, Woods hosted annual symposia that addressed the latest treatments and medical findings related to people with intellectual and developmental disabilities. But over time, Woods moved away from its medical roots and became better known for its residential treatment and education programs.

Despite her decades of healthcare experience, Tine had not encountered patients as medically complex as the individuals cared for by Woods. As a result of her extensive public health background, Tine recognized the strategic benefits of re-aligning Woods with the healthcare industry. Drawing upon her experiences and expertise, Tine and the Woods leadership team turned to the principles and practices of population health management as a strategy for enhancing care, improving individual and organizational outcomes, and developing new revenue streams.

Population health brings together healthcare systems, government agencies, and organizations to improve the health outcomes of groups of people by impacting the conditions in which they are born, live, learn, work, play, worship, and age.^{xii xiii} Intellectual and developmental disabilities organizations provide services and support in many of these life domains, known as social determinants of health. Except for healthcare, most intellectual and developmental disabilities organizations offer holistic care that adapts to the changing and episodic needs of the individuals they serve over their lifetimes. However, although many of these services address social determinants of health and significantly influence health outcomes, they are typically disconnected from and not well coordinated with healthcare systems. Furthermore, healthcare providers are generally not well prepared to care for individuals with intellectual and developmental disabilities or provide them with the other types of services and support they need. With a population health management lens, Tine and the Woods leadership team identified healthcare as the missing component of total care and population health management for intellectual

and developmental disabilities organizations. At a time when healthcare providers and systems were being asked to address social determinants of health, Woods saw an opportunity for social innovation and transformation by coordinating and directly providing healthcare in addition to its other services and supports and by aligning itself with the healthcare industry.

Woods' need for transformation was evident. Woods was deeply valued by the families and public systems responsible for the extremely vulnerable individuals it supported. However, it was losing against advocates, policymakers, and funders rigid in their belief that all individuals with intellectual and developmental disabilities, regardless of their needs and choices, should be served in community-based settings. Shortly after Tine's arrival, Woods' campus-based programs became the target of a disability advocacy organization. As a result, Woods spent inordinate resources successfully defending itself in the intellectual and developmental disabilities sector, media, judicial system, and court of public opinion. This is discussed later; the key point is that Woods was perceived as an antiquated and irrelevant organization regardless of the exceptional care it provided to highly vulnerable individuals. Confronted with an existential crisis, the Woods' leadership team, with the support of the Board of Trustees, leveraged its dire circumstances to drive rapid and sustainable organizational change. It launched transformational, strategic, and tactical strategies geared toward realigning Woods with the healthcare industry as an innovative population health management and advocacy organization.

Ascribing to the premise that all people should be cared for in the least restrictive environments possible, Woods began refuting the extreme 'one size fits all' ideology. Not all people and their needs can be served safely and effectively in community settings. With this understanding, Woods promoted residential treatment facilities as serving a critical and valuable purpose. Most of the 12 million people in the United States who are diagnosed with intellectual and developmental disabilities can live independently or with support in the community. The benefits of community integration have been documented well in empirical literature.^{xiv}

However, Woods recognizes that people with developmental and intellectual disabilities constitute a heterogeneous group of individuals with varying, unique, complex, and wide-ranging support needs. Efforts to treat this group of people without recognizing their individual needs is detrimental to many. Researchers have found that persons with severe or profound intellectual and developmental disabilities often have congenital and co-occurring medical conditions.^{xv} While non-genetic causes of intellectual disability are typically limited to cognitive and adaptive functioning, genetic causes are more often associated with other forms of disabilities.^{xvi} These other disabilities generally include epilepsy, Duchenne

muscular dystrophy, Rett syndrome, and spastic quadriplegia. They usually require around-the-clock nursing care, medical expertise, and even mechanical life support devices in addition to the support needed to accommodate cognitive and behavioral challenges. Not only are genetic anomalies more evident among individuals with severe and profound intellectual disability, but the number of individuals with this level of disability is also far more significant than would be expected by normal distribution alone.

Individuals with severe and profound intellectual disabilities are qualitatively different from individuals who have mild or moderate forms of intellectual disability. It seems reasonable to suggest that the public policies, funding, and service and treatment approaches that work for one group might not work well for the other. Yet, this complex population is often not distinguishable in national health data sets and is consequently left out of public health planning even though they are consumers of expensive preventable emergency room encounters and hospitalizations. The intellectual and developmental disabilities population is not a homogeneous group of individuals; monolithic policies and regulations are not appropriate. Instead, the unique needs and choices of each individual must be considered. Woods is uniquely positioned to address these.

Emboldened by a dynamic leader, an aspirational vision, a supportive board, and leadership with expertise in the area of public relations, legal, government affairs, and political action, Woods transformed. Once viewed as a liability, it turned its uniqueness into an asset to assume a robust activist stance. It began assertively advocating for the individuals and families it served. For too long, organizations and professionals in the intellectual and developmental disabilities field had been reticent to counter well-meaning ideologues in fear of being cast as discriminatory or self-serving and of reprisal from people and entities with power. The topics of advocacy, policy shaping, and thought leadership are addressed in a later chapter. Suffice it to say that Woods was no longer willing to be passive and to allow the ideological attacks of its critics, many of whom are well-intentioned but ill-informed, to go unchallenged. Woods asked itself, if not us, then who?

The Medical Center at Woods

Healthcare spending in the U.S. is more than \$3.6 trillion,^{xvii} accounting for nearly 18% of the nation's gross domestic product. About one-third of all Medicaid and Medicare expenditures support individuals with intellectual and developmental disabilities. People spend approximately \$664 billion on clinical care, emergency room encounters, and inpatient care.^{xviii} This amount does not account for residential treatment, personal care, or hospital care costs. Using compelling data like

this and a healthcare paradigm, Woods could engage policymakers and facilitate the introduction of several bills in Congress to support special healthcare reimbursement rates for individuals with intellectual and developmental disabilities.

Recognizing that healthcare was a priority and was the key to the new Woods model of care, Woods launched a state-of-the-art on-site medical center in 2018 that became a core and central component of Woods' strategic transformation as a population health management organization. The Medical Center coordinates all aspects of its patients' preventive, acute, and chronic needs. It offers primary and specialty medical care, nursing, optometry, ophthalmology, podiatry, radiology, neurology, psychiatry, behavioral healthcare and support, and dental and allied health services. Integrating these services with the other services provided by Woods resulted in improved health outcomes and other quality of life indicators. Results after just one year showed significant reductions in emergency room and hospital utilization (39%), gaps in care (15%), and overall costs in care (8.7%). The Medical Center at Woods is designated by Pennsylvania's largest Medicaid managed care health plan, Keystone First, as the first Patient-Centered Medical Home in Pennsylvania for people with intellectual and developmental disabilities. Upon receiving certification from the National Committee for Quality Assurance (NCQA), The Medical Center at Woods will become the nation's first recognized Patient-Centered Medical Home for people with intellectual disabilities.

A Patient-Centered Medical Home and population health management approach offers a win-win-win solution to traditional healthcare barriers for people with intellectual and developmental disabilities. For clients and their families, it provides access to reliable preventative and primary care, reduces emergency room encounters and hospital admissions, improves self-management, and enhances the quality of life. For payers, it results in cost savings and quality outcomes. And for service providers like Woods, it holds the promise of relevance and long-term sustainability.

BUILDING A WHOLE PERSON SYSTEM OF CARE FOR LIFE

Building a comprehensive continuum and whole coordinated person system of care for life, consistent with the population health management paradigm that Woods adopted as its overarching business model, became an integral part of Woods' vision. Many of Woods' peers build businesses in reaction to market needs, and so consequently, they have relatively small and disjointed market shares spread over several regions throughout the United States. Alternatively, Woods set out to develop an integrated and coordinated service delivery system around a population, aiming to result in significant and cohesive market shares in concentrated areas. This vision became a guiding strategic principle that aligned Woods' operations

and growth strategies with its goal of developing a system of care that addresses the social determinants of health. These include education, housing, work, social and leisure activities, behavioral health support, medical care, and other quality-of-life indicators for individuals with intellectual and developmental disabilities. This vision is based on the sincere belief that addressing the whole person and their physical and behavioral health reduces costs, enhances the quality of services, and saves lives.

The idea of developing an integrated and coordinated continuum of life care considers the changing needs of a population over the lifecycle. For example, when individuals with special needs age out of the special education system, typically at 21, they lose federal entitlements to services and support. They are faced with the proverbial “disability cliff” that Ronnie Polaneczky, staff writer for the *Philadelphia Inquirer*, references in a four-part series ‘Falling off the Services Cliff.’^{xix} Too often, young adults with intellectual and developmental disabilities and their families get lost in multiple, disconnected, and underfunded systems of care. These leave them without appropriate services and support. Complexity and fragmentation are only part of the issues. The key issue is that services and supports are not guaranteed as there are no federal requirements for adult intellectual and developmental disabilities services. The data reveals a decline in services upon the conclusion of school.^{xx} Speech Language services fall from 86% to 10% while social work services fall from 58% to 22%. Psychology and mental health services fall from 41% to 30%. As part of its transformation, alternatively, Woods committed to offering a system of care for life.

At the start of its transformation initiative, Woods and its affiliate organizations operated more than 200 programs and services in Pennsylvania and New Jersey. While not established across all its service regions, Woods’ continuum of care comprised several major service lines. These included education, residential and community supports, day habilitation, vocational training and support, social enterprises, integrated behavioral health, drug and alcohol treatment, physical fitness, and care coordination. While Woods’ continuum of services was comprehensive, it would have been a stretch to describe it as a fully integrated and coordinated system of care. The affiliate organizations and the programs managed by Woods generally operated autonomously and in silos.

One of the first steps Woods took to position the enterprise in its entirety for sustainable change was to align its governance and management structures by reorganizing its corporate structure. Before the changes to the corporate structure, Woods Services, the oldest and largest of the Woods corporate entities, was structured the same way as the other affiliate organizations, all of which were a small fraction of the size of Woods Services. While the corporate entity, Woods Resources, served as

the Sole Member of Woods Services and the other affiliate organizations, Woods Services held most of the organization's assets regarding programs, capital, properties, and human resources. Furthermore, Woods Services and Woods Resources each had their own Board, CEO, and management team. The corporation changed its structure to align its governance, management structures, and resources with its new vision, making Woods Services the Sole Member of Woods Resources. The latter remained the Sole Member of other affiliate organizations. Tine was named President, Chief Executive Officer of Woods Services and CEO of Woods Resources. Additionally, the Woods Resources Board was reconstituted to include the Board Chairs of Woods Services and its affiliate organizations and the executive staff of Woods Services. Under this new structure, Woods Services gained complete control of the strategic decisions and the resources necessary to execute them for the entire enterprise through the organization's governance and management structures, which aligned in a way they had not been. Appendix A illustrates Woods' corporate structure before and after it was changed.

Enough cannot be said here about the critical need for in-house legal counsel. Woods relied on its Chief Administrative and Legal Officer to guide much of its re-structuring process in consultation with outside experts. Woods uses affiliations, limited partnerships, and other structured arrangements to support its growth and add services to its lifelong continuum of care. Woods' in-house counsel played a crucial strategic role in every aspect of the organization's transformation.

The new corporate structure also facilitated enhanced collaboration and cooperation among the programs operated by Woods Services and its affiliate organizations. For example, by aligning the affiliate organizations' governance, management, and resources with the overarching goal of creating a population health management system of care for life, the affiliates helped establish seamless transitions for students graduating from Woods schools. They increased capacity in their community-based adult programs and began working with Woods residents and their funding agencies before aging. This level of integration and coordination helps students and their families to avoid the "service cliff" and has resulted in the significant organic growth of Woods' adult programs. This is just one example of how Woods leveraged its established programs to build its 'care for the whole person for life' system of care to meet its new strategic goals.

STRATEGIC POSITIONING FOR MANAGED CARE AND VALUE-BASED FUNDING

Another important part of Woods' vision involved strategically positioning the organization for the growing trend among states and

insurers toward managed care and value-based funding for services to individuals with intellectual and developmental disabilities. Woods' transformation included positioning and differentiating the organization as a market leader in the managed care landscape. Woods made significant investments in its infrastructure, workforce, and programs to accomplish this, all of which are discussed in greater detail later in the book. It also recruited individuals with broader skills to its Board and management team. This expertise was needed to deal with the new funding directions, such as value-based contracting, at-risk contracting, comprehensive case management, and the provision of a much broader array of services.

Creating and sustaining robust, flexible, and efficient organizational structures, systems, and processes was paramount in positioning the organization to operate successfully and compete in a managed care and value-based reimbursement environment. However, Woods not only looked inward in setting itself up for managed care but also outward at its peers. It recognized that size matters in regard to scale and service coverage area for managed care environments. Having founded and led several trade associations, Woods' CEO convened nine of the largest intellectual and developmental disabilities service providers in Pennsylvania and New Jersey to form the Pennsylvania and New Jersey Health and Disabilities Consortium. Its goal was to prepare for and respond to the changing market trends and opportunities that were becoming evident in the intellectual and developmental disabilities and behavioral health service sectors. These continue to include the need to address the fragmentation and high cost of Medicaid/Medicare-funded services while navigating the reality that smaller providers will be driven out of business. Additionally, it includes the growing need for services for those with intellectual and developmental disabilities and behavioral challenges, for people who can receive services at home, and for the aging population. These issues point to the need for Woods and its peers to diversify services and funding, build back-office capacity to compete in a managed care landscape, and address an ever-expanding industry-wide workforce crisis.

Time established The Consortium to get ahead of the move toward managed care for people with intellectual and developmental disabilities. To determine if it might develop its own managed care entity, The Consortium assessed the scope of services, strengths, geographic reach of each member organization, the funding and regulatory landscape, the types of entities that could be formed, and the feasibility and advantages of each. The Consortium developed proposals for Managed Care Organizations in Pennsylvania and New Jersey that would bring together the key services needed by those with complex needs. These included primary medical care, behavioral health treatment, pharmaceutical management, home and community-based services, long-term support, and care coordination. This pilot will continue to distinguish its population health management

approach and the incorporation of primary and specialty healthcare into whatever entity might be developed. The creation of the Consortium is discussed in more detail in a later chapter about strategic positioning, shaping policy, and thought leadership.

Having formulated a clear vision of its future, having aligned its governance, management structures, and resources via corporate restructuring, and having organized its peers, Woods set the stage for effective strategic planning.

STAKEHOLDER PERSPECTIVES IN THEIR OWN WORDS

Tine Hansen-Turton, Woods President and CEO

I was not looking for a job when Woods searched for a CEO in 2016. I knew of Woods and helped the previous administration find possible ways to fund primary healthcare for its vulnerable population. Someone submitted my resume, and after an extensive national search, Woods offered me the position. I have two sons with dyslexia who are fortunate to attend private schools. While a learning disability like dyslexia is a lot easier for a family to cope with than having a child with a severe intellectual disability, the reality is that as parents, we want the best for our children. It is heart-wrenching and stressful when we can't get it, either because of the lack of availability or costs. Woods was a calling as I thought I could help create much-needed change for medically complex and vulnerable people with intellectual disabilities.

I have been an executive for over 20 years, with leadership experience in the health and human services sectors. I have co-founded and led several nationally recognized organizations and trade associations. I consider myself a proven results-oriented strategic leader, an effective organizational change agent, and most importantly, a policy and health and human services systems reform advocate. Previously, I served as the Chief Operating Officer for a prominent public health nonprofit institute, where I oversaw and led corporate strategy, operations, business development, and mergers and acquisitions. Additionally, I was the founding CEO of the National Nursing Centers Consortium, a nonprofit organization supporting the growth and development of over 500 nurse-managed and school health clinics, serving more than 5 million vulnerable people across the country in urban and rural locations. For the past two decades, I have been instrumental in positioning Nurse Practitioners as primary healthcare providers globally. I was also the founding Executive Director for the Convenient Care Association (CCA), the national trade association for the retail clinic industry, serving 30 million people with primary healthcare services across the country in over 3000 retail settings. In my work, I helped to create new models of care and change policy at the state and federal levels to support the latest models. I had the experience that the

Woods Board and leadership were looking for in 2016. However, I had no idea how being the Woods' leader would test my background. The testing has nothing to do with the capabilities of Woods, its leadership team, or our great ideas for transforming the industry. It has to do with the fact that the intellectual and developmental disabilities sector has been and continues to be in an ideological turmoil (or warfare) with itself, which ultimately harms progress, innovation, and the people it means to serve.

We are a Healthcare Organization!

I am a policy person at heart. Before coming to Woods, I spent most of my career in public health and the healthcare sector. I worked with vulnerable people and communities across the country to bring accessible, affordable, and quality healthcare to those who need it. I can confidently say that Woods serves exceptional people with the most medically fragile and complex healthcare conditions, often coupled with genetic disorders and significant behavioral challenges. In the past, I helped to create nurse practitioner-led health centers in underserved communities. I thought I had seen and knew it all. I had fought for Americans to get access to health insurance and healthcare. I understood health disparities and that someone's health is determined 20% by healthcare and 60% by social determinants. By the end of my first week as Woods' CEO, I realized that I knew nothing. I had been blissfully unaware of this hidden population that accounts for almost one-third of healthcare costs in the United States and is ignored innocently by the healthcare system and healthcare education. I was especially in awe of Woods' more than 150 amazing nurses, primary care and specialty physicians, behavioral health clinicians, and dental and allied healthcare staff caring for a medically and behaviorally complex clientele. I also realized that this complexity requires a drastically different approach to providing quality healthcare and that Woods was unique in having a medical center available to its residents. I saw the medical center and its potential as a catalyst for change.

I began to ask my Woods colleagues questions. Why do we call ourselves a residential organization when we are a population health organization providing primary, specialty, and mental healthcare, providing social determinants of health like housing, education, employment, recreation, food and nutrition, and community support? The staff initially met me with resistance. They saw the 'room and board' as our 'it'. However, this resistance was short-lived once we looked at what the data tells us about the population.

Children and adults with intellectual and developmental disabilities often have complex medical and behavioral needs requiring costly and ongoing care. The 6.5 million Americans currently living with intellectual and developmental disabilities badly need comprehensive and integrated

care. Individuals with intellectual and developmental disabilities have varying levels of acuity and a broad spectrum of healthcare conditions, experience disparities in access to care and health outcomes. The Center for Disease Control and Prevention reports that 15% or one in every six children between the ages of 3 and 17 are diagnosed with one or more developmental disabilities. While many people with intellectual and developmental disabilities live independently and have little or no support, 22% have multiple severe conditions requiring highly specialized services, increased access to primary care, and vigilant care coordination. Some of these conditions include diverse genetic or neurologic conditions such as traumatic brain injury, autism spectrum disorder, muscular dystrophy, cerebral palsy, and epilepsy. These are in addition to mental illness, emotional disorders, and behavioral challenges that often include self-injurious behaviors. Meeting this population's complex medical and behavioral healthcare needs in traditional settings is a challenge for the individuals and their healthcare providers. About one-third of all Medicaid/Medicare expenditures support individuals with intellectual and developmental disabilities. Over 30% people with intellectual and developmental disabilities have co-occurring mental health diagnoses requiring ongoing treatment and support. This care adds billions of dollars to the overall cost of treating people with intellectual and developmental disabilities.

I was excited about the opportunity Woods' medical center presented to improve healthcare outcomes and reduce the healthcare system's cost. While it was underutilized and not functioning as a recognized or billable medical center, it had all the pieces necessary to engage with Medicaid managed care organizations. I had participated in previous partnerships and pilots with Medicaid-managed care organizations. I shared with my colleagues at Pennsylvania's Medicaid-executed care plan, Keystone First Health Plan, what I learned about the people Woods serves and how underserved, underrepresented, and costly they are to the healthcare system. I talked to them about how Woods was organized around the principles of population health management. We also discussed Woods' ability to provide comprehensive, population-health-based care that connected prevention, wellness, education, behavioral health, and social services with integrated healthcare delivery to those dependent on them. In return, they would realize cost savings from reductions in emergency room visits and in-patient hospital days. Keystone First looked at the data for the people we jointly served and agreed to a value-based payment pilot to demonstrate how a new healthcare model could work.

As a result of the pilot, I am happy to report that in the fall of 2018, along with Keystone First Health Plan, we opened an expanded Medical Center at Woods – a pure Patient Centered Medical Home serving as the centralized and coordinated center of care for our clients. Through this

partnership, we expanded service hours and additional capabilities such as radiology and lab services. These immediately minimized the very real disruption that our clients experienced from being transported elsewhere for those services. We were also excited that through the expanded Medical Center, we could offer primary and urgent healthcare to our 2,000 employees in Langhorne, Pennsylvania, at no cost. Our goal is to make this Patient Centered Medical Home for individuals with intellectual and developmental disabilities a healthcare model for children, youth, and adults with complex medical needs across the country. As I write this, we are working on a regional medical hub strategy for our community group homes in New Jersey, which span the state.

The pilot's first year proved that the cost of care for intellectual and developmental disabilities was lesser when medical and behavioral healthcare services coordinated through a central agency offering both on-site and referral options. In addition to this cost reduction, the evaluation found that individuals receiving care blended through Woods experienced a pronounced increase in the utilization of primary and preventative care. The assessment found that the cost of care for enrollees receiving care through Woods' coordinated model was 8.7% lower. Moreover, inpatient hospitalization days were 39% lower, and gaps in care reduced by over 15%. Primary care visits, intended to lower emergency room utilization and inpatient hospitalizations, increased by more than 400%.

You Can't Escape Your Roots!

Through my career, I have come to appreciate how everything in life is interwoven and nothing is coincidental. I have spent most of my career being mentored and taught by nurses, and in return, I advocate for nurses. From my first day at Woods, I realized that nurses would be crucial to its transformation. Nurses are the backbone of the care Woods provides. The nurses' team has transformed with the rest of Woods in its trajectory to becoming a population health organization. The approach to care delivered by nurses lends itself well to the integrated and interdisciplinary healthcare model we have developed over the last several years, and nurses have emerged as leaders at Woods. In 2018, Woods established a Nursing Fellows Program. Four of eleven fellows have since entered Bachelor's, Master's, and Doctoral programs in nursing with scholarship support from Woods and have moved into leadership roles. The role of nurses at Woods is critical, given their focus on holistic patient care, education, and care coordination.

Furthermore, integrated care at Woods means interdisciplinary team-based care, including nursing, nurse-led primary care, nurse-led psychiatry, neurology, dentistry, orthopedics, ophthalmology, and radiology. In addition, health services are coordinated by nurse navigators, a new role as

of this year at Woods. The addition of family nurse practitioners and psychiatric nurse practitioners at the Medical Center at Woods, which serves as the umbrella for Woods' healthcare services, has been a game-changer.

Woods has implemented a nurse-led telehealth program to provide primary and specialty care for underserved people with intellectual and developmental disabilities who continue to experience barriers to care and significant health disparities. The telehealth program will expand Woods' Patient-Centered Medical Home model, initially reaching people with complex needs who Woods and its affiliates currently serve in the Greater Philadelphia area. This model is rooted in tenets common to the holistic nature of nursing – a focus on the whole person, patient education, and care coordination.

I am proud to say that through the partnership with our amazing medical and healthcare team, we built the Woods healthcare model. It removes barriers to access by offering specialized primary, behavioral, and dental care, coupled with a home health model centralized and integrated through the Woods Medical Center. The center acts as a healthcare hub, ensuring the provision of medical, dental, and psychiatric services while making care easily accessible.

Our investment in our integrated medical model proved itself in 2020 when the Covid-19 pandemic arrived; all that we had been building came together beautifully and enabled us to keep our clients and staff safe.

What Keeps Me Up at Night: When Ideology Compromises Care

My introduction to the political turmoil that has unfortunately negatively influenced the intellectual and developmental disabilities sector for decades, and continues to do so, occurred during my first week at Woods. The first meeting with senior staff was interrupted by my assistant knocking to tell me that a dozen lawyers from a disability rights organization were demanding to meet with clients. Today, providers who serve persons with intellectual and developmental disabilities have the privilege of caring for children and adults with varying levels of disability, including autism, brain injury, and other complex medical and behavioral needs. Forty years ago, these same individuals would have been isolated in institutions and effectively hidden away from society. Thanks to advancements like the Americans with Disabilities Act (ADA) and the U.S. Supreme Court's Olmstead Decision of 1999, people with intellectual and developmental disabilities now enjoy greater freedoms and more opportunities. Those in the intellectual and developmental disabilities sector are dedicated to preserving this progress.

The ADA's groundbreaking protections against discrimination mean that people with disabilities have greater access to housing, employment,

education, and public spaces. The Olmstead Decision enhanced these protections by outlawing unjustified segregation based on disability and mandating that states provide community-based services when appropriate. The driving force behind these reforms is that every American, regardless of disability, should have the right to decide how they want to live, work, and spend their time. Everyone agrees the old policy of forcing people into institutions was wrong and discriminatory. Today, there is a trend toward greater community integration; living in the community is a requirement for drawing down federal funding. The belief is that all people can and should be served in and integrated into the community. I am Danish by background and fully believe in community-based care. I grew up with it and know how it works and when it works. Access to healthcare and all social determinants is a right and, even more so, for the most vulnerable, disabled, and elderly. The Government coordinates everything for everybody, and it usually works. Where the system works, services are nearby and everyone is taken care of. However, in America, we don't have nor could we ever build that infrastructure in all communities around the country. We do not have a good history with how we have treated individuals with intellectual disabilities.

Furthermore, while these policies may be well-intentioned, many still fail to respect people's fundamental right to choose where they live and work. For example, we are seeing rules that unnecessarily restrict the number of individuals with intellectual and developmental disabilities who can live in the same building, on the same block, or in the same community. For example, Pennsylvania has a 15% saturation rate that arbitrarily excludes people with intellectual disabilities from living near each other, even if they are friends. Other rules are intended to defund sheltered workshops, even though many people with intellectual and developmental disabilities enjoy jobs in these settings and have held them for a long time. States have even gone as far as to dictate the percentage of time persons with intellectual and developmental disabilities must spend outside their home and with whom they can spend that time. Is this any less discriminatory? I don't think these are the principles that the late Justice Ginsberg laid down in Olmstead.

What I have continued to say to my colleagues is that our policy approach needs to be flexible to accommodate the immense diversity within the intellectual and developmental disabilities population. There is no one-size-fits-all solution. The best way is to honor the decisions made by those with intellectual and developmental disabilities. For those who lack the mental capacity to choose, we must respect the decisions made by their families and caregivers. This is what Olmstead intended, and this is what we stand for.

Offense – Defense

The visit from the disabilities' advocates during my first week was an attempt to close Woods. We were providing care to a vulnerable and fragile population in a campus-setting they were strongly against. Yet, the same advocates for community-based care seemed to ignore other facts. Sadly, people with intellectual and developmental disabilities are overrepresented among the prison population in the United States. Recent estimates suggest that there may be seven times as many people with intellectual and developmental disabilities in jails and prisons than their representation in the general population.^{xxi} There are many reasons why individuals with intellectual and developmental disabilities may become involved with the criminal justice system. Some are simply a function of limited cognitive skills to understand and resist dangerous situations. For similar reasons, people with intellectual disability are at higher risk of becoming victims themselves.^{xxii} Contributing factors may include personality characteristics,^{xxiii} insufficient services,^{xxiv} and the absence of needed legal protections.^{xxv} Furthermore, some behaviors of people with intellectual disability are often misunderstood by the general public and result in calls to law enforcement. Intellectual disability may have dire consequences if judges and prosecutors do not understand a person's disability.^{xxvi} The criminal justice system's involvement can be life-altering and extend well beyond the massive trauma of an arrest, trial, and jail time. Once a person has been convicted of a crime, access to benefits may be affected, including housing, Social Security benefits, health insurance, and employment.^{xxvii}

So, what is the solution? I am concerned for the sector. I have worked in healthcare for decades and have never had to worry that one physician's mistake could shut down a healthcare institution. Lawsuits might be filed, but ultimately, the organization continues its operations. Since I have been at Woods, I have seen three organizations serving youth and individuals with intellectual and developmental disabilities shut down because of sensational newspaper articles. Writing this, I am aware of a fourth organization under attack; a large and strong organization will emerge weakened if it survives.

While no leader can live in fear of what might happen, the solution is always to be ready for the worst and to do your best to ensure that your organization is not in a situation that compromises its future. The solution for Woods is to continue the journey we set out on when I arrived and started to work with an amazing team. It is to continue doing what we are doing at Woods and with our affiliates; building lifelong population-based care in the community with a wraparound model that includes integrated primary and behavioral healthcare with coordinated specialty care and housing and community-living support. My hope and dream are to create

what I know works; a fully developed integrated care system that addresses all human needs of those with intellectual and developmental disabilities, from diagnosis until the end of life. Together with a fantastic leadership team, including our affiliate CEOs, we have embarked on a journey to transform a fragmented sector and create an industry that honors the choices and recognizes the needs of the people we serve. I remain honored to work with an incredible team at the Woods family (colleagues, the Board, and families) and am humbled to work for people with intellectual and developmental disabilities.

STAKEHOLDER PERSPECTIVES IN THEIR OWN WORDS

Simon Kimmelman, Woods Senior Executive Vice President/Chief Administrative and Legal Officer

Of all our senior leadership team members, I have the longest-lasting relationship with Woods, having served as a Trustee for 29 years before being appointed as its first in-house General Counsel (now Senior Executive Vice President and Chief Legal Officer) (CLO) in 2016. I have experienced numerous leadership transitions and organizational changes. Woods' recent transformation has been the highlight of my 35 years of close involvement with Woods and my 44 years of legal practice.

Before being hired as Woods' first in-house counsel in its 100+ year history, Woods relied on outside counsel selected by its CEO or CFO and insurer-appointed counsel in lawsuits. The Trustees were never involved in, consulted, or advised by any of these attorneys. This proved to be a significant shortcoming as Woods expanded, becoming more complex and targeted by overzealous regulators and plaintiffs' lawyers. Being hired by Woods was indicative of a major shift in the human services landscape and the mindset of the Woods Board. My role has three core functions that go beyond the typical general counsel role: oversight of business operations, protecting the business, and expanding it.

Woods hired me at a critical time in its history. Our CEO had just resigned, we had an affiliation that wasn't going well, and regulatory oversight of Woods was growing more intense and unreasonable. We were also involved in several lawsuits, most of which were meritless, brought by overzealous lawyers.

Still, for several months after my hire, matters remained fairly quiet, and I was mainly involved in corporate and restructuring issues. However, it turned out to be an ominous quiet. Shortly after our new CEO started in the fall of 2016, a disability rights advocacy group demanded access to clients. The group later published a report alleging widespread abuse of clients at Woods, which we adamantly denied. This started a very public phase of Woods reputation being trashed. Staff morale plunged, and a

whirlwind period of transformation for the organization began. Woods' public advocacy and activism in support of choice and appropriate funding for people with I/DD resulted in a sudden and significant change in my role. For the first time in recent history, unlike almost every other human services provider who tended to accommodate and cower when attacked, Woods fought back and filed a lawsuit for defamation.

My role transformed from essentially being a nonprofit corporate lawyer to a much broader multi-functional one that included 'bet the company' litigation management, crisis response and communications, analyzing, interpreting and responding to regulatory missives, overseeing quality improvement initiatives, and more. We added an additional lawyer to our team to assume more of the day-to-day work of the legal department. Now we have three in-house counsels, all of whom are seasoned practitioners.

What changed to necessitate the need for more in-house legal help? First, we needed to deal with the severe and damaging consequences of the gross distortion of the Supreme Court's Olmstead decision by regulators and so-called advocates and their efforts to contort that decision into some type of mandate to close residential facilities. The nature of Woods' residential treatment, characterized as campus-based, and sheltered workshop which employs individuals with intellectual disabilities, had been under continuous attack by these advocates. They were aided and abetted by plaintiffs' attorneys filing meritless suits and vastly excessive and intrusive regulatory overreach. Next, our transformation required corporate restructuring and forming business partnerships, joint ventures, and affiliations across state lines, all of which required legal counsel and review. Finally, the type of client Woods serves changed. Most referred to us now are adolescents with a mental health diagnosis, some level of cognitive impairment, and significant behavioral issues. Staff can be injured, clients may cause property damage in the community, and residents may get hurt. The personal injury law field has exploded, and the human services field is a prime target.

Sadly, it matters little today that an organization like Woods does excellent work. That does not protect similar groups from being wrongfully sued and over-regulated, which leads to utilizing scarce resources we could better use in programs. Unlike large healthcare organizations such as hospitals, many intellectual disability provider organizations operate on a shoestring budget, and one lawsuit could force their closure. Solid in-house legal counsel has become a necessary for boards and CEOs of these organizations and most of our larger colleagues in our field now have them. We must continually protect the organization from all sides so that it has an opportunity to grow and fulfill its mission. Supporting the growth and expansion of Woods requires business acumen, the ability to act quickly, and a thorough understanding of the organization.

Thinking 'three-dimensionally' allows for managing complex business development processes and is integral to my role.

Our legal motto at Woods is “Speak Truth to the Power.” It means to stand up for what is right even when it goes against popular thought. It has served us well in court, our advocacy for Woods, and the individuals we serve. A nonprofit board such as Woods’ needs access to reliable advice from the CLO and must provide the CLO the freedom to provide that advice without fear of consequences. That was the pre-condition for my agreement to become Woods’ first in-house counsel, and that requirement has been respected and relied upon by our Board, our CEO, and everyone in senior management.

STAKEHOLDER PERSPECTIVES IN THEIR OWN WORDS

Kevin Sheetz, Former Woods Board of Trustee Chairperson

“Never doubt that a small group of thoughtful, committed citizens can change the world. Indeed, it is the only thing that has ever.”

— Margaret Mead, American Anthropologist

Selecting the Right Leader

A board plays many roles, but the most important is selecting the right leader. It needs to be able to evaluate the skills, temperament, and integrity of its CEO, given the direction of the organization. It won’t matter what policies, guidelines, or strategies a board advocates; without the right leader to drive it on a daily basis, the organization will, at best, stumble. At worst, it will implode. The skill sets needed could also be very different if the main job is to keep the status quo versus transform the organization. Hiring someone with experience managing a well-established company but who has never transformed an organization or a department may not serve the company looking to change.

Despite their typical altruistic nature, nonprofits tend to be slow to recognize or act when the right leader is not in place. It’s understandable, given nobody enjoys making tough decisions involving someone’s livelihood. The board’s ability to carefully and honestly evaluate the CEO and then act when needed is the first step in the governance of a well-run organization.

Some will focus first on skill sets and experience when looking for a CEO. While those are important, they pale in importance compared to integrity, transparency, and character. These are also not the most straightforward characteristics to evaluate in the typical short interview sessions. Ensuring enough people—not just from the board but from management—are involved in the interview process provides opportunities to see a candidate’s true colors. At my company, we were close to hiring a

senior position. All the “key” interviews had taken place with excellent results. We decided to have some staff from another area of the company interview the person. The candidate didn’t believe the group interviewing him would have a say in the hiring decision. When he spoke with that group, he showed a different side. The group felt like they were talked down to and saw other red flags that were not apparent in hours of interviews with others in the company, including a Board member. The bottom line is to take your time with the hiring process. There’s nothing more time-consuming in the long run than hiring the wrong CEO.

Creating an Atmosphere of Mutual Trust

Tine became CEO at the same time I became Chair of the Board. Our employment gave the organization fresh perspective in two crucial roles to help drive the transformation. In our first meeting after Tine's hiring, I told her the most important thing is transparency. When you take over running an organization that cares for the needs of a vulnerable and challenging population, it’s not a matter of if there will be problems; it’s a matter of when and how severe. There’s no such thing as the perfect organization, CEO, or board chair. But, if we don’t hide problems or try to cover up mistakes, it sets the tone for open and honest communication.

Transparency coupled with open and honest communication is the starting point for developing mutual trust and respect between the Board Chair, the Board, and the CEO. Tine and I had very regular communications. We talked weekly or daily as things came up, through committee meetings, and during monthly breakfast meetings. Whether it was a challenge with a client or another issue surfaced, it didn’t matter if it was in the middle of a workday or on a Saturday night; Tine texted or called to discuss it. One of the keys from a Board perspective is that when the CEO is open and transparent, you need to be supportive and collaborative in addressing the subject of the moment. If your response is to criticize or not take the time to understand the issue every time the phone rings, those calls will happen less frequently. When that happens, communication and trust begin to break down.

This highlights the importance of supporting the CEO. It doesn’t mean that the chair or the board has to agree with every decision or suggestion because that can also be dangerous. It does mean that every idea should receive a respectful hearing and discussion. The old 80–20 rule should be kept in mind. If the board and CEO disagree over 20% of the time, discuss drives the disconnect before it grows into a larger problem. The alignment of Tine’s and senior management’s vision with the Board’s was such that this was not a problem. Much of that was due to open communication at the beginning of idea generation and strategy setting rather than just presenting something as completed with no room for input.

As I look back over what the Board, Tine, Senior Management, and the entire team were able to accomplish, creating an atmosphere of mutual trust and respect was critical.

Crisis Management

As mentioned above, it's not a matter of if but when. Woods cares for some of the most challenging populations with intellectual and behavioral disabilities. When you combine this with polarized groups with competing political agendas—who, while well-intentioned, don't understand the substantial support structure this population needs—there will be problems. Some of those problems may not have any factual basis. But with the media always hungry for a story, sometimes fact-checking is left behind to support a particular agenda. For example, some are against the idea of having anyone live in a campus setting, believing everyone should be in the community. While it's Wood's goal to have everyone live to the maximum of their potential, some will never have the ability to be on their own. Some will need a diverse set of skilled caregivers 24/7 coupled with medical staff on-campus with experience caring for a special need's population.

We certainly had our fair share of those during my four years of chairing the Board. My first rule in these situations is 'don't panic.' It's easy to get caught up in the moment and begin a 'sky is falling' mentality. Senior management faces challenge after challenge; sometimes, it can get overwhelming. A board's role is not to panic. There should be some voices of calm and stability. Without that, it can be very easy to get pushed off of the mission, especially during a period of transformation. There can be a desire to back off from the transformation plan, not to make waves, and be quiet. However, in today's climate, nonprofits can no longer roll over and allow other organizations to take advantage of them just because they have a different ideology. No one likes confrontation, but some organizations will continue to try to force a false narrative to get their way unless there is a willingness to stand up to them.

One of our most difficult decisions made was to sue an organization that we believed created a false and damaging narrative about Woods. We decided to stand up to them and take them to court. It was a painful process but undoubtedly the right decision, given the final verdict. We did not have a unanimous decision on the Board to take that action. Still, an effective Board understands that all decisions do not have to be unanimous. In fact, having that attitude can be very dangerous as it can allow one Board member to hijack a direction. Fortunately, Woods has a very healthy Board; everyone supports the decision once we make it, regardless of their position at the time of the vote.

Diverse Opinions – Mutual Respect

Woods' emphasis on diversity extends to its Board too. However, it's not only diversity in how it is thought about today. While diverse inclusion is undoubtedly important, diversity in thought is critical. If a board diverse in race and gender has the same thoughts and perspectives, we have just created an echo chamber. True transformation cannot take place in an echo chamber. There need to be different perspectives and ideas to push the status quo, challenge ideas, and drive to the best outcome. Sharing these different views has to happen with mutual respect, with everyone united in the primary goal of serving our clients with the best possible result. To some extent, that means we have to go against the grain of how people with different ideas react in society today. A high-functioning board can discuss opposing perspectives without attacking someone with a different perspective.

A Board and management team that understands the importance of different opinions has blessed Woods, creating a safe environment for expressing other thoughts while respecting the mission.

Celebrate Success

Transformation is not for the faint-hearted at the management or board level. It takes hard work, dedication, and many right actions that go unnoticed. If every meeting greeted the next accomplishment with a stone-faced, "we expected that, what's next attitude," it could become a very grim board and management team to serve on. There needs to be time taken to celebrate success. Sometimes that will mean the board *with* senior management and sometimes, the board should send out senior management to a nice meal on their dime as a show of appreciation.

Taking time to celebrate success can help draw a board closer together and draw the board and senior management team closer together. The moments of doing this can help strengthen relationships that become critical when the organization runs into the inevitable challenges of trying to drive transformation. Fortunately for Woods, we have some Board members that keep the mantra of celebrating success front and center and help ensure we do that when warranted.

STAKEHOLDER PERSPECTIVES IN THEIR OWN WORDS

Stephen Kolesk, Chief Medical Officer and Vice President for Medical Affairs and Managed Care

My role as consultant to Legacy Treatment Services, which subsequently became an affiliate of Woods, introduced me to Tine Hansen-Turton, the CEO of Woods. I was impressed with her forward-thinking,

particularly regarding creating a medical home for individuals with significant intellectual and developmental disabilities. This is a population frequently underserved by the medical community. Tine spoke of population health, a patient-centered medical home, and collaborating with payers to achieve the triple aim of improving quality, lowering costs, and improving access. She wished to develop a medical center to meet the needs of this special population. These concepts continue to grow and thrive at Woods.

I am a family physician. For the first 25 years of my career, I ran my practice in southern New Jersey. My associate and I expanded into a group of six physicians and two nurse practitioners. In addition, I was fortunate to become Chief of Family Medicine at Memorial Hospital. Very interested in quality, I started the first quality committee for the department and became the first family physician to serve as President of the Medical Staff. Subsequently, the Health System made me their Medical Director of Quality and Safety. Nine months later, I was promoted to VP/COO of Virtua Memorial Hospital and ran the 330-bed hospital for eight years. I eventually became the SVP of Clinical Integration for the system, and began the Accountable Care Organization, Virtuacare. This was accompanied with the start of a clinically integrated network called Virtua Physician Partners, which worked toward the triple aim. I retired, became a consultant, met Tine, and the rest is history.

I have a niece with a significant developmental disability and see her and her family's struggles in the medical community. The struggles of the disabled population are complex. When they enter the medical community, it becomes a traumatic experience for them and a troubling experience for the medical community. The work of the Medical Center at Woods is difficult because of the complex medical and behavioral issues of its patients. However, working with a cadre of primary care physicians and nurse practitioners is rewarding. We work collaboratively to develop care plans for the individuals we serve.

The Medical Center at Woods is partnering with one of its payers, Keystone First, to implement a population health model. This will identify care gaps, increase primary care visits, and reduce unnecessary emergency department visits and hospitalizations. We are also working to designate the Medical Center as a National Committee on Quality Assurance Patient-Centered Medical Home. This will help design and implement a quality model for our clients. Additionally, we have developed a telehealth platform that allows us to evaluate and treat clients that cannot get to us for various behavioral and medical issues.

I am proud of my work at Woods and being a part of its transformation. The CEO's vision is transformational, and her energy and passion for making things better for this population are infectious.

CREATING A CLEAR AND CONSISTENT ORGANIZATIONAL VISION – LESSONS LEARNED

- Begin by building a superior team by getting the right people on the bus (team) and in the right seats (roles).
- Identify the need for new and different talent.
- Recognize the power of shared leadership.
- Develop a clear and consistent vision for change.
- Look outside of your own industry for ideas and solutions.
- Use data to inform decisions and to engage stakeholders.
- Prioritize core and central components of the vision.
- Align the organization's governance, management structures, and resources to support the new vision.
- Leverage existing resources and relationships.
- Look for trends and stay ahead of the curve.
- In addition to looking inward, look outward for synergistic partnerships.

Key Reflections for Discussion:

- The Woods team recognized the need for a new vision to lead their transformation, but what happens if an existing stakeholder group does not want a new vision? What leadership characteristics would help foster this critical dialogue? How can change management principles support the strategy needed to facilitate this shift?
- In a large and complex organizational/stakeholder environment such as Woods, how did the leadership team achieve a new shared vision, and why was this important in driving organizational change?

CHAPTER II: STRATEGIC DIRECTIONS AND PLANNING

“Vision without execution is delusion.”

- Thomas A. Edison, American inventor and businessperson

THEORETICAL FRAMEWORK

Creating a shared vision is critical, but making a precise and measured plan on how the organization will achieve that vision is equally important. John Bryson, in his book ‘Strategic Planning for Public and Nonprofit Organizations,’ speaks of the necessity for strategic planning and the value associated with a strategic plan, including the following potential benefits:

- strategic thinking, acting, and learning;
- organizational decision-making;
- organizational effectiveness, responsiveness, resilience, and sustainability;
- enhanced organizational legitimacy among stakeholders;
- enhanced effectiveness of broader societal systems because most public problems stretch beyond organizational boundaries; and
- improved benefits to all involved, including employees, policymakers, and constituents.^{xxviii}

Bryson focuses on the strategic plan as an integral tool for defining and communicating an organization’s priorities. This induces performance synchrony and reduces mass confusion and frustration, which can severely halt an organization’s progress.

WOODS’ STRATEGIC DIRECTIONS PLAN

Some experts argue that strategic planning is passé because plans quickly become irrelevant due to the rapidly changing environments in which organizations operate today.^{xxix} However, while the political, financial, regulatory, and technological environments in which Woods operates are undergoing unprecedented changes, the leadership at Woods maintains a firm belief: organizations that commit to assessing their strengths, weaknesses, opportunities, and threats to adapt are more likely to thrive, especially during difficult times. If done well, planning helps organizations create a framework for effectively dealing with and managing change.

Strategic planning serves several purposes: setting priorities, getting everyone focused on the same goals, and aligning resources. Strategic

plans help organizations leap from great ideas to successful execution, turning concepts into reality. However, while most organizations have strategic plans, they fail to implement them. There are endless reasons organizations do not successfully execute strategic plans and achieve their goals. However, Woods, aware of some of the common pitfalls of strategic planning, successfully developed a strategic plan and achieved its goals in a relatively short period.

Confusing and conflicting priorities generally fail. Hence, an organization's significant strategies must fully align with a clear vision and are communicated continually throughout the organization. As discussed in Chapter 1, Woods embarked upon a strategic planning process under a new leadership team and reconstituted Board. They had a clear vision: becoming an integrated system of whole-person care that addresses the social determinants of health throughout the life cycle for individuals with intellectual and developmental disabilities. This system would position the organization for the trend towards managed care and value-based funding.

Recognizing the dynamics of changing market forces and the need for organizations to be nimble, Woods adopted an agile planning process. Rather than developing long-term strategic goals that become obsolete over a plan's life, Woods developed three-year strategic directions to steer the organization towards its vision. For each strategic direction, it set and updated one-year measurable tactical objectives. The team achieved some goals during the year, continued the others into the following year, and discontinued some for various reasons. Planning helped Woods break down large goals into achievable short-term objectives, and pause the ones no longer applicable. Additionally, it helped plan new goals based on data and market intelligence—all while maintaining a steady and consistent course toward its vision.

Woods developed its 2017-2020 Strategic Directions Plan around four organizational priorities:

- 1) Mission-driven Growth and Improved Services;
- 2) Employee Engagement;
- 3) Enterprise Shared Services; and
- 4) Strategic Position, Policy, and Thought Leadership.

The story of Woods' remarkable transformation is within the context of these strategic priorities and directions, each of which is briefly described below and discussed at greater length in subsequent chapters.

Mission-driven Growth and Improved Services

A priority area of its Strategic Directions Plan, Mission-driven Growth and Improved Services, consisted of tactical objectives. These focused on enhancing existing services and building and acquiring new programs that propelled the organization toward its vision of becoming a population

health management organization. Woods and its affiliates serve more than 22,000 individuals through more than 200 programs and services in two states. The foundation of growth strategies was the underlying premise that individuals with intellectual and developmental disabilities should have access to comprehensive and coordinated continuums of quality services throughout their lives. This access included primary medical and behavioral healthcare, housing, education, vocational services, employment, and social services. Toward this end, the Strategic Directions Plan compelled Woods to leverage existing programs and services and develop and acquire new ones. Concerning inorganic growth, the Strategic Directions Plan provided clarity and guidance about affiliations, mergers, and acquisitions by identifying service weaknesses and gaps and prioritizing mission-driven strategic growth areas. The Mission-driven Growth and Improved Services section of the Strategic Direction Plan discussed further in Chapter 8, helped align the organization's focus, resources, and people to the pursuit of enterprise-wide development and funding opportunities, identification of new programs, services, and social innovation, including:

- Identifying best practices and cost-effective synergies across the Woods enterprise.
- Identifying partnerships to evaluate the impact of programs and services.
- Establishing a new grant development role at the enterprise level to pursue local, state, federal, and philanthropic grant and fund development opportunities.
- Enhancing and expanding programs, especially in Pennsylvania, New Jersey, and New York.
- Exploring new program areas, including mergers and affiliations in Pennsylvania, New Jersey, New York, and other states.
- Developing a social innovation culture in which all staff uses consumer feedback to constantly improve and create quality services to maximize and leverage disjointed government funding streams.

Employee Engagement

Woods and its affiliates employ approximately 6,000 people. The second priority of the Strategic Directions Plan, Employee Engagement, is promoting workplace practices and cultures that lead to satisfied employees and improved business outcomes. Woods needed to draw on its employees' knowledge and ideas to improve and grow its services. Woods ramped up its employee engagement strategies to become an employer of choice to help staff understand their role in the organization and feel

energized by its mission and vision. The aim was to have employees feel a sense of pride and commitment in working for Woods and becoming great advocates for the organization and the individuals it serves. Woods targeted employee engagement strategies discussed in detail in Chapter 4 to impact employee recruitment and retention, turnover rates and absences, accidents and adverse events, conflicts and grievances, and productivity, including:

- Recognizing and rewarding excellence.
- Providing professional development and advancement opportunities.
- Enhancing employee benefits based on staff needs.
- Implementing effective recruitment and retention strategies.
- Fostering a diverse workforce and inclusive workplace.

Enterprise Shared Services

Woods recognized that to grow, expand, and compete in a managed care and value-based funding environment, it needed more robust back-office infrastructures to scale with the enterprise. The Enterprise Shared Services section of the Strategic Directions Plan, discussed further in Chapter 9, involved analyzing and enhancing administrative and operations efficiencies across the enterprise and investing in a shared services infrastructure to support alignment, integration, coordination, growth, and scaling.

Strategic Position, Policy and Thought Leadership

With the experience of over 100 years in intellectual and developmental disabilities, Woods has a long history of researching, developing, and advocating forward-thinking and innovative practices that improve the lives of those it serves. Through another priority area included in the Strategic Directions Plan—Strategic Position, Policy, and Thought Leadership—discussed in Chapter 10, Woods sought to identify opportunities to promote leaders internally and externally. This meant investing in leadership and management staff, identifying opportunities for evaluation partnerships, and locating opportunities to position Woods as an advocate for disability, child welfare, and brain injury issues. The process included:

- Developing a corporate-wide culture of innovation and entrepreneurship to innovate and adapt to health and human service challenges and opportunities.

- Developing industry, state, and federal policy strategies in partnership with like-minded organizations to address challenges and opportunities.
- Identifying opportunities to position Woods as an advocate and convener on disability issues at the local, state, and federal levels.
- Identifying policy and funding challenges impacting the children, adults, and families served, including an analysis of current laws, gaps, and potentially new legislation that advances support and services.
- Diversifying funding streams and services to populations with exceptional care needs.

This approach to creating the organization's vision focused on developing strategic priority areas on an environmental scan and analyzing its strengths, weakness, opportunities, and threats. This further laid the foundation for developing pragmatic, short-term tactical objectives that moved the organization toward its vision. A copy of the Woods Fiscal Years 2017-2020 Strategic Directions and Transformation Plan, including the short-term objectives for the initial year of the Plan, can be found in Appendix B.

The process of planning is just as important as its end product. If done correctly, the planning process invites people responsible for executing the plan to provide input and feedback. The more involved people are in developing the plan, the more they will understand and support it. Woods invited Board members, executives, program directors, and managers from across the enterprise to planning sessions to help formulate short-term tactical objectives for each strategic direction. Once ready, Woods shared the plan's final draft with many staff, clients, families, governmental and funding agencies, and other significant stakeholders. This helped solicit feedback while gaining buy-in and support. Suffice it to say that even the best conceived plans will fall short if the people required to support and implement them are not on board. Given the number and diversity of stakeholders, it is important to be thoughtful about the plan's communication to various audiences regarding the level of detail, format, and frequency.

Finally, planning should be an ongoing process. It should monitor progress regularly and ensure that objectives and timelines are flexible and responsive to internal and external changes. Leadership teams should not be reluctant to pivot from parts of the plan that are not working or are no longer relevant. Woods updated the short-term tactical objectives of its Fiscal Years 2017-2020 Strategic Direction Plan regularly and at least annually.

WOODS' TRANSFORMATION PLAN

As mentioned earlier, Woods' campus-based setting became the target of highly publicized attacks that brought on an onslaught of unyielding and intensive inspections by government and funding entities. While groups ultimately retracted the allegations, Woods' leadership leveraged this scrutiny to internally build a sense of urgency about the need for transformation. This accelerated the implementation of its Strategic Directions Plan. The team accomplished this feat in part by developing an ambitious and expensive one-year Transformation Plan that focused on the internal operations of Woods Services.

The Transformation Plan, aligned with the Strategic Directions Plan, identified one-year tactical objectives in organizational structure, programs and services, and infrastructure. It sped the change process of reconstructing management structures and realigning roles and responsibilities with those of integrated healthcare systems. Additionally, the Transformation Plan placed great emphasis on creating a learning culture that enhanced the professional development and capacity of the workforce. The plan also concentrated efforts and resources on developing new and existing programs, including launching the medical center, enhancing education programs and clinical services, and implementing evidence-based best practices. Regarding the organization's infrastructure, the Transformation Plan accelerated progress in automating systems and improving the efficiency and effectiveness of administrative back-office functions, including finance, human resources, facilities and plant management, and communication. Later chapters discuss the implementation and results of the Transformation Plan. Additionally, see Appendix B – Strategic Directions and Transformation Plan.

The 2017-2020 Strategic Directions Plan and 2018 Transformation Plan worked together to steer Woods towards its vision. They aligned the organization's priorities, resources, and staff around executing short-term tactical objectives. The key to successful organizational transformation is to connect and balance all the pieces of the change effort. Appendix E depicts the interconnectedness of the various elements of these plans. This illustration communicates the scope of Woods' transformation initiative to multiple stakeholders so they can see and understand how the pieces relate to each other and the big picture. Progress on implementing the Strategic Directions and Transformation Plans was communicated to significant stakeholders regularly, including the Woods Board of Trustees, employees, family members, and government and funding entities. This kept stakeholders informed and leaders accountable to the benchmarks and timelines. Achievement of tactical objectives connected to employee performance evaluations. Woods used the Strategic Directions and Transformation Plans as living, meaningful documents to drive change.

They did not fall victim to the proverbial shelf to die, as with so many plans. Too often, organizations engage in strategic planning but fail to use them to define and drive organizational priorities. Woods' CEO was committed to the efficacy of strategic plans. In 2011, The Foundation made a 4-year, \$5 million-plus commitment to the Alliance for Strong Families and Communities (Alliance), now known as Social Current, to enhance the ability of human service agencies to refine and effectively execute their own strategies. This initiative, called Strategy Counts, was conceived by the Alliance to elevate the role of strategy across the health and human services sector. The pilot engaged 20 agencies and funded Strategy Officers as pathfinders in hardwiring plans into their operations. Woods' CEO was one of the Strategy Officers funded through the Strategy Counts initiative. For contextual purposes, the Alliance is a strategic action network that incubates learning and innovation. The Alliance believes that organizations do not achieve impact by accident but through dedication and rigorous attention to ambitious practices and values. Toward this end, it has identified the following Commitments of High-Impact Nonprofit Organizations, each of which outlines research-based practices and values that are foundational to achieving lasting impact:

- Leading with Vision
- Governing for the Future
- Executing on Mission
- Partnering with Purpose
- Co-Creating with Community
- Investing in Capacity
- Measuring that Matters
- Innovating with Enterprise
- Engaging All Voices
- Advancing Equity

Strategy Counts and the Kresge Foundation's grant served as a learning laboratory. They helped explore, identify, and evaluate methods to enhance nonprofit organizations' capacity to anticipate and adapt to emerging market forces. As a participant of the Strategy Counts initiative and co-editor of *Making Strategy Count in the Health and Human Services Sector*,^{xxx} Tine applied many lessons learned from the initiative to Woods in her role as President and CEO. These included securing a commitment to the organization's Strategic Directions Plan, creating the right changes to implement strategy and achieve results, and facilitating ongoing strategy development. As reflected in the following chapters, Woods effectively implemented and achieved its strategies by aligning its vision, strategy, and corporate culture. Additionally, Woods created an executive-level position

to focus on strategic development, which you can read more about in the following section.

Further proof that Woods was on the right track came from awards and honors. In 2020, Woods received national recognition through the Alliance for Strong Families and Communities with the Aramark Building Community Organizational Leadership Award. This recognized Woods as an exceptional high-impact organization that was driving a culture of population health and well-being within the community.

STRATEGIC DEVELOPMENT DIRECTOR

To further support the implementation of the Strategic Directions Plan and the overall strategic directions of Woods and its network of affiliate organizations, Woods created the Strategy Development Director position. The role was responsible for three main areas:

- Program development and expansion.
- Grant-writing and other fund development to support these activities.
- Making connections across programs, departments, and affiliation organizations.

This third area aims to strengthen the whole network by sharing ideas, increasing collaboration, and leveraging resources. The role of the Strategy Development Director moves beyond traditional development positions, which in many organizations typically involve grant-writing, fundraising through special events, and donor cultivation. Strategy development requires knowledge of programs and services across multiple sectors. Woods' case includes intellectual disabilities services, education, healthcare, managed care, social services, workforce development, and housing. Working knowledge of regulatory and policy environments in which these sectors operate is needed, as well as the ability to research and track programmatic and funding trends. Finally, this role requires communicating findings effectively to the executive team, Board of Trustees, and colleagues across the organization and making recommendations based on these findings. Working closely with the Senior Vice President of Communications and the Vice President of Policy and Government Relations, the Strategy Development Director supports the Woods' mission and positioning as a Thought Leader. They prepare concept papers for pilot projects, policy recommendations, conference presentations, articles, and other materials to advocate for the families and individuals Woods serves. Responding to proposals and information requests that result in new services is a vital function of the role. Also critical to the role is the capacity to make connections internally, across programs and affiliate organizations, and externally, across sectors, funders, and agencies. This helps support new program development,

identify new funding mechanisms, and keep up with the ever-changing health and human services arena. Additionally, it provides the organization with the information needed to make strategic short and long-term decisions. Senior leaders across Woods and its affiliate partners have opportunities to come together, share ideas, develop and respond to strategic options, and develop new programs and partnerships. However, following an opportunity from inception to fruition can be challenging. The Strategy Development Director helps by researching prospects, gathering information, and convening working groups. The following examples illustrate how the Strategy Development Director operationalizes the role. Woods works from multiple angles to improve services for people with intellectual disabilities and complex medical and behavioral challenges, including advocating for new programs and flexible funding mechanisms that allow for proper care coordination. The Commonwealth of Pennsylvania filed a Request for Information (RFI) seeking ideas from those experienced in serving this population to inform their design of new services to meet their needs better. Woods' Strategy Development Director and Vice President of Policy and Government Relations collaborated on this response. Simultaneously, Woods and Legacy Treatment Services leadership, with experience using a population health approach and a deep understanding of mental and behavioral health, met with government agencies and funders over a sustained period. The goal here was to define what new services could look like. The combined expertise of this team allowed for the development of a comprehensive program model. As a result of this approach, Bucks County and the Commonwealth of Pennsylvania's Office of Developmental Persons recently approved the opening of a new Woods program. It will serve individuals with intellectual disabilities and significant behavior disorders safely in the community. These specialized homes will entail intensive behavior support, psychiatric services, medication management, healthcare services, and other services that contribute to the overall quality of life.

A second example lies in the ongoing pursuit of improving the quality and access to primary care for people with intellectual disabilities who continue to experience healthcare disparities. Woods refined its primary care model to achieve this goal, incorporating a Patient-Centered Medical Home approach to ensure seamless transitions between levels of care. This includes hospital-to-home transitions and the prevention and management of chronic diseases, including mental health disorders. As mentioned earlier, the Medical Center at Woods focuses on integrated care, bringing in neurologists, orthopedists, radiologists, ophthalmologists, and dentists. Senior leaders worked to find partners among health systems to bridge the identified gaps in services in New Jersey. These partners had to welcome developing specialized primary care services to improve the quality of care and reduce emergency room and inpatient hospitalizations. These partners

found additional gaps in specialized mental health and psychiatric services. A series of planning meetings helped design a continuum of care that focuses on psychiatric crisis prevention. This happens through integrated primary care and behavioral health services as the nexus point for coordinating preventive care and managing chronic conditions. A new primary care practice is being established in New Jersey by Woods and its partners. Woods will operate this practice under an integrated physical health and behavioral health license. Woods' hospitals and health systems partners are critical to creating a seamless continuum of care. They joined Woods in submitting a request for start-up funding to the State of New Jersey, which also identified a significant service gap for people with co-occurring disorders. This effort required the expertise of all the partners, with the Strategy Development Director convening the team and compiling the information needed to develop a concept paper, budget, and request. The funding request was approved and will support Woods and its partners in successfully launching these new services.

Executing even the most well-developed plans depends on people at all levels of the organization to understand, embrace and implement them. The next chapter discusses the principles of change management, which addresses the critical human factor of the change process.

STAKEHOLDER PERSPECTIVES IN THEIR OWN WORDS

Tom Grant, Woods Executive Vice President/Chief Financial Officer

Tom Grant serves as the Executive Vice President and Chief Financial Officer of Woods. He brings business acumen and more than 20 years of financial and management experience to the organization. Before joining the executive leadership team at Woods, Tom ran his management consulting firm focused on leadership, strategic planning, business development, operational improvement, and turnarounds. Tom has counseled not-for-profit and for-profit businesses on various topics, including process optimization, cash flow management, fundraising, structure, best practices, pricing arrangements, and profitability. Previously he worked for a global management consulting firm serving multi-national corporations and regulatory agencies. Tom also worked as an emerging markets analyst in Thailand, Hong Kong, and many South American countries.

Tom joined Woods in 2016, shortly before Tine's arrival. Tom joined Woods in 2016, shortly before Tine's arrival. Having a for-profit background, "no money, no mission" strongly resonates with Tom. He considers safeguarding the viability of their organizations as one of the most significant responsibilities of nonprofit leaders. With the help and support of the leadership team and Board, Tom and Tine identified

numerous tactics to fund and sustain Woods' new vision and transformation.

Many initial financial strategies that Woods implemented to fund its transformation involved bold and innovative steps in reducing costs. These included replacing an existing benefit pension plan with a generous defined contribution plan that covered all employees and adopting a reference-based employee health insurance plan. Replacing a defined benefit pension plan with a contribution plan saved Woods several million dollars annually. The organization relocated this money towards the cost of its strategic and transformation initiatives, including staff education and benefits. Freezing the employee pension plan was a bold move successfully implemented with the team's flawless execution and use of tried-and-true change management principles and practices. Another example of an improvement strategy was the radical re-think of how Woods would provide health benefits to its employees. Instead of mitigating healthcare expenses by shifting costs onto its employees, as many employers do through higher premiums, deductibles, and co-pays, Woods adopted a reference-based health insurance plan. This innovative insurance program saves employers 20-30% in healthcare expenses, reducing Woods' costs by nearly \$1 million annually, all while maintaining high-quality access to care at an affordable price for employees. Woods was careful to avoid making cuts that would have detrimental effects and was strategic about cuts in expenses. The examples demonstrate that organizations can find innovative ways to cut costs.

While Woods cut costs in some areas, Tom was very supportive of its significant financial investments in other domains. One of the critical areas in which Woods made investments was technology and information systems. When Tom and Tine joined the Woods team, the organization's information technology and applications were outdated with no overarching master technology plan. Woods' existing information systems did not support several strategic and transformation goals, particularly in mission-driven growth, program improvement, and enterprise shared services. Recognizing the business risks associated with dated and disjointed information structures, systems, and services, Tom eventually assumed oversight of the Information Technology and Systems team at Woods. He now helps to advance system integration through technology across the Wood network via common or harmonized infrastructure and shared applications, including but not limited to a general ledger, human resources information and payroll systems, electronic health and medical records, and workflow systems. This makes data collection, reporting, and analysis more manageable and reliable. While business leaders must ensure that the right people are in the right seats, it is equally important that they have the right tools to make the right decisions. By aligning essential technology functions, Woods enhanced its capacity to analyze data, make

informed decisions, operate efficiently, grow, and leverage technology to drive innovation.

Tom says he finds joy and fulfillment working with the Woods affiliate organizations. Tom was instrumental in turning around Archway Programs shortly after its affiliation with Woods and turning around Tabor Children's Services after years of significant operating losses. Woods' financial insight and willingness to change in an ever-evolving market are attributes responsible for the financial stability of all of the Woods affiliate organizations. Now that Woods and its affiliates are positioned for the future, Tom thinks it is time to focus on even higher goals and further leverage the Woods network's size in fulfilling its mission and vision. Talking about Wood's transformation, Tom ascribes success to the collaborative and trusting relationships that Woods cultivated internally and externally by sharing a clear vision, being transparent, and demonstrating competency.

STAKEHOLDER PERSPECTIVES IN THEIR OWN WORDS

Michael Haggerty, Allies President and CEO

Mike Haggerty currently serves as the President and Chief Executive Officer of Allies, Inc., a Woods affiliate. His career in human services spans over 40 years, of which he spent 32 at Woods. As a Woods Program Director and Administrator, Mike was instrumental in creating residential treatment programs for children and adolescents with behavioral challenges, emotional disorders, and autism. Two of these programs, the Crestwood Center for Children with Emotional Challenges and the Woodlands Center for Challenging Behaviors, established excellent reputations for serving youth for whom community-based services were inadequate. At their peak, these programs served nearly 200 school districts from more than 20 states. They brought tremendous prominence, growth, and prosperity to Woods.

From 2018 through 2020, Mike fulfilled the role of Senior Vice President of Program Development and Compliance at Woods. In this capacity, the organization leveraged Mike's historical knowledge of Woods and the markets in which it operates, his experience and expertise, and his long-term relationships with licensing, funding, and referring agencies to support Woods' strategic and transformation plans. He accompanied the new President and CEO to meetings with agencies in Pennsylvania, New Jersey, and New York to present and discuss the changes occurring at Woods. They shared Woods' plans and progress toward building a whole-person system of care based on the principles and practices of a population health management model. They also underscored the significant investments Woods was making to enhance and strengthen the clinical aspects of its programming, particularly in regard to four new

clinical programs designed using evidence-based and outcome-driven interventions. The importance of these concerted efforts to change the old views that these critical stakeholders had of Woods cannot be overstated. Woods was under enormous scrutiny as a result of a public attack. Additionally, the clinical components of Woods' programs were considered weak, particularly by Managed Care Organizations. Mike helped these stakeholders understand the transformation Woods was undergoing in his new capacity. He played a critical role in assisting Woods to repair and rebuild its reputation and brand using the trust and credibility he had nurtured with these stakeholders over three decades. By accompanying the new CEO and expressing his enthusiasm for change, Mike helped stakeholders understand the changes while proving, as a trustworthy veteran, that Woods was making sustainable changes. Mike thinks that Woods was wise to reinvent and redefine itself as a comprehensive and coordinated care system. Woods successfully rebuilt its reputation with licensing, funding, and referring partners. It is now considered an attractive option for people with complex needs. The growing number of people referred to Woods, and its recent ability to negotiate higher reimbursement rates is evidence of the same.

Mike recalls that the last time Woods made such enormous changes was in the early 1990s. It established the Woodlands Center for Challenging Behaviors and the Crestwood Center for Children with Emotional Challenges in response to drastic and devastating declines in census and possible bankruptcy. He shared that the transformation today feels similar to the one back then regarding the excitement of doing innovative things. He contrasts these two pivotal periods in Woods' history regarding strategy. From Mike's perspective, the last time Woods transformed by developing programs and services that were different from those it previously offered, the changes were fundamentally financially driven. He says this time, Woods is transforming by enhancing and strengthening its programs, services, and continuum of care. The changes are driven primarily by a desire to be and do better. On a personal note, Mike did not fully appreciate the vision and value of a comprehensive, coordinated, and innovative care system until he experienced it as President and CEO of Allies.

Seeing the magic when individuals have access to various types and levels of care as their needs change has given Mike greater insight into the benefits of a simple care system. In his current role, Mike sees individuals move between congregate and intensive levels of care to less restrictive ones depending on their changing needs. Mike also sees a change in the outlook among funders and referring agencies when presented with options available through an accurate system of care. He reports that Woods' system of care inclines funding and referring agencies to make placement decisions based on an individual's needs and what a program offers rather

than on ideology. Mike credits a shared vision, open communication, and collaboration among all components of the Woods system of care for its success.

STRATEGIC DIRECTIONS AND PLANNING – LESSONS LEARNED

- Strategic planning helps organizations execute ideas and effectively deal with change.
- Strategic plans align the priorities and resources of an organization to its goals.
- Confusing and conflicting priorities generally result in failure.
- Strategic plans should be flexible and responsive to environmental changes.
- An agile planning process breaks down long-term goals into achievable short-term tactical objectives.
- Leaders should not be reluctant to change parts of the plan that are not working or are no longer relevant.
- The more people are involved in developing the plan and understand it, the more they will support it.
- The planning process should be ongoing, continuous, and responsive to changes and feedback.

Key Reflections for Discussion

- The development and communication of Woods’ Strategic Directions Plan and Transformation Plan were significant milestones for the organization. How does a well-designed planning process impact an organization’s desired outcomes? What pitfalls were avoided by having a plan (internally and externally)? How would an organization different Woods incorporate the central tenets described in this chapter?
- An important pillar of any learning organization is its ability to adapt. Where did you see adaptability addressed throughout the Woods process? How do systems-thinking and organizational learning support adaptability and transformation in large complex systems such as Woods?

CHAPTER III: CHANGE MANAGEMENT

“Change is the law of life, and those who look only to the past and present are certain to miss the future.”

– John F. Kennedy, 35th President of the
Unites States

THEORETICAL FRAMEWORK

It is not often that we overtly think of human services organizations as complex systems and businesses that need to think strategically about competitive advantages, but they are, and do. A viable social services organization must remain adaptive, requiring the keen ability to understand and process information. Equally important is its ability to translate knowledge into enhanced and sustainable change for the organization. These skills are especially critical now as the social services sector continues to become more outcomes-driven and the needs of individuals and families become increasingly complex.^{xxxi}

Understanding change management is essential to adapt quickly; without the skill and clarity needed, the fear of the unknown and uncertainty begin to take hold of the staff, the organization, and ultimately the system. Incorporating appropriate change management principles and strategies that underscore the importance of clear and ongoing communication and inclusivity of the employee voice is essential in helping to alleviate unnecessary fear. According to Dr. Bloom, social splitting, lawsuits, labor unrest, bad decision-making, low morale, absenteeism, widespread dissatisfaction, high turnover, and lack of innovation are all signs of a chronic fear-based workplace.^{xxxii} Fear can be paralyzing, and change becomes less likely during paralysis as it prevents the natural process of systems evolution through organizational experimentation and learning.^{xxxii} Creating a safe work culture that embraces creativity and innovation, and where change is strategically and thoughtfully managed, means understanding and valuing the importance of patience, time, and people.

CHANGE MANAGEMENT

Successful change requires more than a vision and well-developed strategic and tactical plans. Transitioning a company to a desired future state, regardless of the scale, magnitude, or duration of the project, requires that people at all levels of the organization understand, support, and adopt the changes. The human element of any change process is one of the most challenging to manage because humans inherently do not like change. For this reason, organizational leaders responsible for driving changes must

recognize the distinction between project management and change management. Project management focuses on project designs, development, and delivery. In contrast, change management focuses on ensuring that changes are understood, embraced, and implemented. Both of these complementary disciplines are necessary for achieving sustainable organizational change.

Several prominent change management models offer structured approaches, including Lewin's 3 Stage Model of Change,^{xxxiii} McKinsey's 7s Model,^{xxxiv} Kotter's 8-Step Change Model,^{xxxv} the Nudge Theory,^{xxxvi} the ADKAR Model,^{xxxvii} and Bridge's Transition Model.^{xxxviii} And while no one set of change tactics is appropriate for all organizations or situations, Woods used proven guiding principles from many to execute its transformation successfully.

CHANGE STARTS AT THE TOP

We already established in Chapter 1 that successful change initiatives start with a clear and consistent vision. An organization's leadership sets the business's vision, strategic directions, and priorities. Woods' leadership, with its Board of Trustees and senior staff, envisioned becoming a premier health management organization that successfully addresses the social determinants of its target population. Creating clarity and achieving consensus at the top levels of an organization enable a leadership team to have the same understanding and to speak in a unified voice, which in turn facilitates alignment throughout the organization. Leaders who are not in lockstep with one another about the organization's vision, strategic directions, and priorities will produce confusion and misalignment across the organization.

The Woods team spent much time building clarity about what becoming a genuinely coordinated and integrated system of holistic care would look like in regard to desired outcomes and social impact; services and how they are delivered; staffing composition and patterns; employee training and development; program locations and spaces; technology and information systems; strategic partnerships; advocacy and strategic positioning; and revenue sources and budget implications. Achieving clarity and consensus is an extremely crucial step in the change management process because leaders must clearly and effectively communicate a solid business case for the vision and support it. The organization will turn to its leaders for direction and reassurance during significant or complex changes. A lack of understanding or support for the shift from individual members of a leadership team undermines the overall team's effectiveness in providing direction, motivation, and assurance.

PLAN FOR CHANGE

Unplanned, hasty, and sweeping change initiatives are generally unsuccessful. Any plan for change needs to be a thoughtful multi-step process. Woods' leadership team and Board began the inclusive strategic planning process after gaining consensus about their new vision, strategic directions, and organizational priorities. Chapter 2 discusses this in detail. Having well-formulated recommendations, which included short-term tactical objectives, allowed the organization's leadership specificity about alterations to the vision in the shape of measurable goals with timelines.

CREATE A SENSE OF URGENCY

The first step in John Kotter's 8-step process for leading change^{xxxix} is to create a sense of urgency, which he emphasizes in 'A Sense of Urgency.'^{xl} Change agents must help people in the organization see the need for change and the importance of acting right away. The existential crisis in which Woods found itself while rolling out its Strategic Directions Plan helped generate an emotional drive toward making changes. This allowed employees to overcome an innate tendency to resist change and to respond quickly instead. As discussed earlier, the genesis of the change initiatives at Woods was a new CEO with a fresh perspective and a grand vision. She had the support of her leadership team and Board of Trustees. Woods' 2017-2020 Strategic Directions Plan was in the early stages of implementation when an advocacy organization vehemently opposed congregant living arrangements for individuals with disabilities and politically attacked Woods. This organization released a sensationalized report about Woods replete with false and inaccurate allegations. It was distributed to Woods' referral sources, licensing entities, and funders before major news outlets picked it up. Woods emphatically denied these allegations and effectively countered that it was a victim of ideological and deep-seated animus against residential programs for individuals with developmental disabilities. But in the meantime, it spent an inordinate amount of resources and time defending itself in the intellectual and developmental disabilities sector, media, judicial system, and court of public opinion. Even though this organization stood alone in its campaign to disparage and discredit Woods among its counterparts in dozens of other states that send its residents to Woods for care, Woods referral sources, licensing entities, and funders responded to the report with an abundance of caution. Despite their routine inspections, reviews, and audits of Woods, most of these stakeholders launched independent investigations into these allegations, none of which found significant deficiencies. But in the meantime, some temporarily suspended Woods programs' admissions during this time.

As overwhelming and demoralizing as this attack was, the leadership team, with the Board's support, seized it as an opportunity to create a sense of urgency and drive needed changes emotionally across the organization. In fact, Woods' Transformation Plan referenced in Chapter 2 was developed to heighten the sense of urgency and to expedite certain aspects of the Strategic Directions Plan. The urgency was real as all eyes were on Woods. The organization was transforming itself in front of an audience, and failure would have resulted in extinction. During this period, Woods publicly shared its vision for change and transformation and held itself accountable to its stakeholders by providing regular updates about its progress and successes. There was no doubt – the pressure was on!

COMMUNICATE

Communication is a thread that runs through the practice of change management, and there is a high correlation between successful change initiatives and communication efforts. Plans are only as good as people's ability to understand, support, and act upon them. Providing clear and open lines of communication is a critical element of all change models. However, in the words of the playwright George Bernard Shaw, "The single biggest problem in communication is the illusion that it has taken place."^{xli}

In his book, *'The Advantage: Why Organizational Health Trumps Everything Else,'*^{xlii} Patrick Lencioni identifies over communicating as one of four critical disciplines that healthy organizations master. Communication is most effective when its sources convey it repeatedly and consistently. Lencioni advises that organizations effectively roll out important messages by cascading the message down through the hierarchy. Employees are more likely to trust and support a consistent message they repeatedly hear from every management level. In addition to being practical, this method of communication is also a compelling demonstration of the alignment discussed above, which lets employees know that the organization's leadership is serious about the message. Throughout the transformation process, Woods held Town Hall-style meetings to share information and elicit feedback so that all employees would feel engaged. Woods shared regular updates on Transformation progress via emailed newsletters and with managers expected to share updates in staff meetings. Effective communication is delivered through multiple sources and in various ways. While electronic and printed communication is important, meeting with employees in person is the most effective communication. Margaret Wheatley, American writer, teacher and management consultant who brings a cross-cultural perspective to leadership, systems, and organizations, writes, "Human conversation is the

most ancient and easiest way to cultivate the conditions for change—personal change, community change, and organizational change.”^{xliii}

During this time, Woods was also regularly communicating with its external stakeholders in various ways to garner their support and advocacy. Scheduled conference calls with families and other engaged individuals created a sense of urgency. We sent out monthly newsletters and email updates. The transformation brought in a new era of communication and engagement for Woods.

REAL CHANGE HAPPENS ON THE FRONTLINES

While change starts at the top of organizations, it happens at the frontlines. Successful organizational change initiatives engage mid-level managers and frontline staff in the change process. Transparency and strong communication at this level create buy-in and ownership. Creating opportunities for feedback about what is working and not working from people most affected by the changes allows organizations to continuously make adjustments and improvements, which is necessary for success. Woods leveraged its employee input and feedback mechanisms and created new ones to receive and respond to staff concerns. In addition to an open-door management philosophy in which staff is encouraged to share concerns, the Woods executive leadership, senior, and mid-level management depend on an employee advisory committee. This comprises employee representatives from across the organization for direct input and feedback. Feedback loops played a vital role in Wood’s transformational efforts and allowed for two-way communication, clarification, and changes in strategies and implementation processes.

CELEBRATE SUCCESSES

To build and sustain momentum, organizations need to identify concrete objectives, celebrate victories and build upon wins. Many organizations purposefully create early wins at the beginning of a change initiative to build momentum. By recognizing and celebrating successes, organizations develop cultures of continuous improvement in which employees are encouraged and motivated to review, revise and explore ways of doing things. For example, when Woods adopted a restraint-free crisis management system, it collected, analyzed, and shared data with staff and stakeholders to celebrate successes and build upon them. Staff and clients celebrated the reductions in restraints through various activities, challenges, and events, including a dance party! While it is important to celebrate successes along the way, it is just as important that leaders not declare victory prematurely. Sustainable change is a process that takes time.

CHANGE MANAGEMENT CASE STUDY – FREEZING A DEFINED BENEFIT PENSION PLAN

The following account provides examples how Woods applied the various elements of change management to its decision to freeze a defined benefit pension plan as part of its overall sustainability and transformation plan.

Woods was among a few remaining non-governmental organizations offering its employees a defined benefit pension plan. Only 11% of intellectual and developmental disability providers in Pennsylvania and 5% of private sector employees in the U.S. participate in defined benefit pension plans. Pension plans today are extremely rare. Most employers have moved to retirement savings plans that are more affordable and employee-friendly. They are portable, allow employees to direct deferrals and investment choices, and enable them to save on a tax-deferred basis. After an exhaustive study of Woods' retirement program in 2017, the executive leadership team and Board of Trustees concluded that the pension plan was too expensive, risky, and inequitable. The ever-increasing cost to fund the plan was unpredictable, unsustainable, and threatened the organization's economic stability and long-term viability. The pension plan cost Woods \$20 million in the prior three fiscal years and was projected to cost \$10 million in the following fiscal year alone. At the time of the study, the plan was underfunded with \$144 million in projected benefit obligation and \$108 million in assets. Five years prior, Woods implemented a 'soft freeze' of the pension plan to contain costs. While this was a step in the right direction, it resulted in inequitable conditions because employees hired after January 1, 2013, were not eligible to participate in the plan. By 2017, approximately 43% of Woods employees were in the pension plan, which Woods fully funded, and roughly 57% of employees had no retirement plan to which Woods contributed. As a result of this study, the Woods executive leadership team and Board of Trustees set out to provide a retirement program and other benefits for all employees while ensuring the organization's financial stability. Concerned about the potential employee fallout from freezing the defined benefit pension plan, the Woods leadership team applied change management approaches discussed above.

The executive leadership team and Board spent almost an entire year studying the issues, considering the options, and planning the rollout. At the end of the assessment and planning process, the top level of the organization achieved crystal-clear clarity and full consensus regarding its decisions. Everyone agreed that the best option for Woods and its employees was to freeze the defined benefit pension plan and replace it with a defined contribution plan. All employees would be eligible to

participate in this, and Woods would make contributions and matches. Additionally, employees transitioning from the defined benefit pension plan would receive additional transitional contributions over the next five years. This equitable, affordable, and sustainable plan cost Woods \$4.5 million instead of \$10 million in the 2018 fiscal year. It immediately reduced Woods' projected pension benefit obligation by \$9 million and unfunded liability by 20%. Furthermore, the plan mitigates Woods' future risk since costs are now predictable and affordable.

Once the executive team made this decision, it spent weeks preparing to communicate and roll out the changes. The team identified deliverables, target dates, and responsibility in regard to the following: the new retirement plan design; coverage and discrimination testing; impact analyses; conformance to laws and regulations; Board resolutions; communications; coaching for the executive team; and employee benefits counseling sessions, to name just a few. The implementation plan also included other benefit enhancements because the team intentionally decided to implement these changes in the context of other employee benefit enhancements.

The escalating cost of funding the defined benefit pension plan to the tune of \$10 million per year helped to create a sense of urgency. In its messaging to staff, the leadership conveyed that the current system was not only inequitable but also threatened the economic stability and viability of the organization. Administration informed employees that the changes helped ensure that all employees were treated equally and fairly, pension commitments for vested employees would be fully funded, and allowed Woods to fulfill its mission.

The executive leadership and implementation team spent significant time preparing and executing a communications plan because it was very concerned about the potentially adverse ways the workforce that participated in the pension plan might react to the changes. The team's primary communications objective was to ensure that employees understood, trusted, and accepted the changes. This involved preparing written materials, such as letters of explanation, statements of benefits, and answers to frequently asked questions. Written communication was consistent but explicitly tailored for different stakeholders, including current, terminated, and retired employees in the defined pension plan and active employees hired after January 2013 who were not receiving retirement benefits. As a way of leveraging its hierarchy and demonstrating complete alignment, the leadership announced these changes to the next layers of management in person. The Chairman of the Board, CEO, and Vice President of Operations provided information in group settings. This format allowed senior and middle managers to process the information by seeing and hearing the message and information and by asking questions. At the end of these meetings, leadership provided participants with written

information and their benefits package to know how the changes impacted them personally. This level of engagement enabled Woods managers to answer employee questions and deliver consistent messaging across the organization. Once this management level was on board, they cascaded the message and information down throughout the organization. Managers and supervisors hand-delivered written notifications to their employees. Additionally, formal notices of the hard freeze of the pension plan were mailed shortly afterward to current, terminated, and retired participants in the plan. Finally, Woods arranged opportunities for employees to meet individually with independent retirement planners and administrators of the new retirement plan. These meetings helped address their personal questions and concerns.

The change management approaches Woods used are displayed in the triumphant ending of an extraordinary and valued retirement benefit. The principles include: clarity and full alignment at the top level of the organization; painstaking planning; sense of urgency; thoughtful and comprehensive communications strategy; buy-in and support from senior and mid-level managers; and meaningful communication forums for frontline employees. Woods was quick to celebrate the successful rollout of the new retirement plan as a way of sustaining momentum. We proudly tout that shortly after the rollout, 97% of employees enrolled in the new retirement plan with an average salary deferral of 3.78%, an unusually high level of participation compared to similar nonprofits.

STAKEHOLDER PERSPECTIVES IN THEIR OWN WORDS

Dawn Diamond, Woods Executive Vice President of Operations

When I started working at Woods in 1997, there were approximately 750 residents receiving services on its bucolic 300-acre campus in Langhorne, Pennsylvania. For the first 15 years of my employment, I was blissfully unaware of the details of running Woods as a business. Even after my promotions to middle and senior-level management positions, I only received budget information specific to my departments. Like me, most of my colleagues had no understanding of general administrative costs or expenses pertaining to insurances, healthcare, worker's compensation, or Woods' defined benefit pension plan. Except an annual 'State of Woods' management meeting, we didn't know the big picture. During most of those years, Woods had the luxury of setting its own rates, pushing back on funder expectations, and had more referrals than capacity. Woods operated from a very insular perspective.

Shortly after Tine became Woods' President and CEO, she asked me if I knew what 'population health' and 'value-based care' meant. Admittedly, I had never heard these terms before. She directed me to attend a conference of the Institute on Health Care Improvement (IHI) and report

on what I had learned. In just two days away from Woods and the world as I knew it, I realized what those terms meant and that other organizations had been living and breathing them for years. I called Tine to ask if she had ever heard of the term ‘triple aim’. She replied, “Yes!”

It was then I realized our need to transform as an organization. Our program census had dropped to under 585 residents, and the days of dictating our rates and financial stability were long over. To become competitive, we needed a new business design, one that simultaneously pursued the three dimensions of the triple aim:

1. Improving our client experience
2. Improving the overall health of our client population
3. Reducing the per capita costs related to caring for them

We had a lot of work ahead of us. This included but was not limited to launching new clinical initiatives with more intensive services, achieving accreditation, enhancing medical care for our clients, and implementing an electronic health record. Accomplishing all this required the right talent, money, and business partners.

We started our transformational journey by restructuring our executive and senior management teams. My role changed; I took on the challenge of overseeing campus operations, human resources, and the residential programs. My colleague, who formerly oversaw the residential programs, also assumed a new role, which allowed him to focus on business development, licensing, and quality improvement. This was a big adjustment for many subordinates used to a particular way of doing things. But, we needed to drive changes in our operations, build improved systems, and to re-establish confidence with our funders. This move put people in the right seats to make things happen. We also recruited and hired for other key positions. Once we had the right people in the right positions, we initiated cost-effective improvements to our employee benefits. The process included freezing a long-standing defined benefit pension that only benefited 800 of our 1,900 employees. We worked for nearly a year to establish a more inclusive retirement plan that benefitted all employees. We also rolled out a new health insurance plan free for employees with single coverage and included new pharmaceutical benefits. Additionally, Woods launched an on-site health center for clients and staff. We found dynamic ways to on-board new employees and initiated creative compensation structures reducing overtime costs by 12%. Moreover, we made decisions to outsource several support functions. All of these changes resulted in cost savings that enabled us to hire more qualified clinical staff, which enhanced our services and caught the attention of our funders.

Doing so much so quickly was challenging for those who initially doubted the rationale behind major changes. To gain their understanding and support, we introduced two initiatives. First, we launched an on-site academic cohort for staff who wanted to pursue a Master's Degree in nonprofit leadership. The initial cohort included 24 employees, nearly all middle managers. Many executive leadership team members, including executive leadership team members, including myself, serve as adjunct faculty, teaching or co-teaching nearly every course. This opportunity provided an educational platform to help explain the rationale and benefit of Woods' organizational changes. We also launched bi-weekly senior and middle management meetings to check in with team members. These also helped provide training on important, never-before-discussed topics, such as understanding complex budgets, worker compensation, and health insurance plans. Often in the human services sector, only executives are privy to these details, but we share them with frontline supervisors. This level of transparency about operating costs helps to develop new leaders and informed and supportive change agents.

After three years, we have connected senior and executive leadership teams, new and improved outcomes-driven clinical programs, a new electronic health record, an on-site medical center that meets the primary and special healthcare needs of our residents, and Woods achieved the highest level of accreditation from Council on Accreditation. With some money saved via the new health insurance plan, we launched enhanced education benefits and on-site academic cohorts for our employees. They can earn advanced degrees here. To date, we have over 85 employees who have benefited from these programs. We remain committed to enhancing our services, providing comprehensive and integrated healthcare to our clients and our workforce, nurturing future organizational leaders through on-site education programs, and re-envisioning the future of the Woods campus—one that better and more efficiently meets the needs of our clients and the local community.

STAKEHOLDER PERSPECTIVES IN THEIR OWN WORDS

Cheryl M. Kauffman, Vice President of Communications and Development

“To effectively communicate, we must realize that we are all different in the way we perceive the world and use this understanding as a guide to our communication with others.”

— Tony Robbins, American author, coach, and business strategist

Through every chapter in this guide, communication played a key role with Woods' stakeholders as a catalyst for their acceptance of change and engagement in the transformation process. Communications were critical

in helping to educate, inspire and motivate. Transparency and openness (one of Woods' Core Values) were top of mind always. People can tell when communication isn't genuine. Open and honest communication builds trust. At no time was this more important than during a crisis.

It has never been easier for leaders to communicate than now, and it has never been more difficult. Technology facilitates reaching larger numbers of people through a variety of channels. The downside, though, is that the same technology inundates people with messages coming at them 24/7, messages they must wade through to find yours.

Even once someone finds your communication, there is no assurance that your message sinks in. In their book, 'Made to Stick,' Dan and Chip Heath suggest that for your message to have staying power or "stickiness," you need to pare your message down to the very core of what you want people to know and remember. They believe that "Value comes from singularity." and recommend that you not bury the lead. Start your communication with the very thing you want them to know.^{xliv}

The Heath brothers also write about creating an emotional appeal. "Feelings inspire people to act."^{xlv} When we follow a story the audience empathizes with the characters in the story more often than not. When Woods advocates for the right of individuals with I/DD and their families to choose the residential and work settings that best suit their needs, we tell the emotional stories of those unsuccessful in bureaucrat-mandated settings not based on individual needs and wants. Woods produced three videos that helped raise awareness and shape the conversation.

In their book, 'Re:Imagining Change,' Patrick Reinsborough and Doyle Canning observe that "We live in a world defined by stories."^{xlvi} They go on to suggest that if a story has meaning to a person based upon their beliefs, it will be powerful. This has been clearly illustrated in our political arena over the past several years. According to Reinsborough and Canning, the power of a story does not derive from factual truth but rather from its ability to provide meaning.

When an organization publicly attacked Woods in 2017, we were in shock. We interacted with the organization for an entire year and were aware of its agenda. But we never anticipated the public action they took. What most alarmed us were the outrageous claims presented as truth to the media. Crisis Communications 101 teaches that the public perceives the truth to be whatever public opinion is; an organization is guilty until it proves its innocence. They committed unimaginable harm to Woods' reputation.

At the time, Woods was not working with a public relations firm. We quickly contacted a firm that we worked with before, and they were on site within a day advising us. The skill and strength of Woods' leadership team you read about in Chapter 1 was a critical component to our success in

dealing with this situation. This crisis confirmed for Tine that the right players were on the team.

Now is an excellent time to talk about crisis management versus crisis communication. While managed by different teams, the two go hand-in-hand. We quickly identified the key team members to address the crisis versus the communications. Woods was fortunate to have in-house legal counsel that guided data gathering so the communications team could focus on developing holding statements and controlling the message.

In a vacuum of information, people will believe what they read and hear. A great example is the 2010 Deepwater Horizon disaster that left 11 workers dead and 3.1 million barrels of oil discharged into the Gulf of Mexico. Communications from the parent company, British Petroleum, were scarce and contradictory, and they did not accept responsibility. Daily, the media ran photos and videos of toxic black sludge killing fish and wildlife and ruining fishing businesses. A month into the crisis, the CEO appeared on camera on his yacht, apologizing for the massive disruption and saying, “There’s no one who wants this over more than I do. I’d like my life back.” Unlike BP, Woods communicated with our stakeholders immediately and frequently and gained their trust and advocacy. We spoke in our ‘voice’ and were open and transparent from the start. This chapter discussed how communication can make the difference between success and failure. Effective communication can inspire action, educate, quell conflict, and plant seeds for new ways of thinking. Research indicates a strong link between communication and effective leadership. That makes sense, right? Every word expressed, whether oral or written, has meaning and must be considered carefully. Communication at Woods rarely occurs without thoughtful deliberation and input to consider audience, clarity, cultural differences, and accessibility. Intentional, authentic, transparent, and compassionate communications have helped Woods inspire culture change among staff and motivate other stakeholders to support the organization.

CHANGE MANAGEMENT – LESSONS LEARNED

- The human element of any change process is one of the most challenging to manage because human beings inherently do not like change.
- Change management ensures that changes are understood, embraced, and implemented.
- Achieving clarity and consensus is an essential step in the change management process because leaders need to clearly and effectively communicate and support the change. Leaders who are not in lockstep will produce confusion and misalignment across the organization.

- Unplanned, hasty and sweeping change initiatives are generally unsuccessful. Any plan for change needs to be a thoughtful multi-step process.
- Effective change agents create a sense of urgency to help other people in the organization see the need for change and the importance of acting right away.
- Communication is the golden thread that runs through the practice of change management. Plans are only as good as people's ability to understand, support, and act upon them.
- Engaging mid-level managers and frontline staff in the change process and creating feedback mechanisms generate buy-in and allow organizations to make adjustments and improvements continuously.
- As a means of building and sustaining momentum, organizations must celebrate victories and build upon wins.

KEY REFLECTIONS FOR DISCUSSION

- Woods' successes largely hinged on its ability to plan, communicate and implement changes at a macro and micro level throughout the organization. What are some considerations regarding the readiness of the organization before making shifts and changes? How does an organization know when it is primed for change? What kind of assessments would help identify appropriate change management strategies?
- Fear is a known barrier to change. How does an organization that lives within a larger, often toxic, and fear-driven sector create a safety culture? Why is safety so critical to ushering in any change? What are some fear-promoting behaviors that organizations exhibit? How does an organization identify and subsequently address these behaviors? What systems can hold an organization accountable for promoting a safety culture that embraces change?

CHAPTER IV: STRATEGIES FOR ENGAGING EMPLOYEES

“Corporate culture matters. How management chooses to treat its people impacts everything - for better or worse.”

- Simon Sinek, British-American author and inspirational speaker

THEORETICAL FRAMEWORK

The ideal organization understands the balance between organizational outcomes and workforce needs and nurtures and retains loyal employees. Loyal human capital is highly desirable, especially in today’s globalized market and information-intense economy. As our society continues to grow more and more competitive and information is more accessible, the need to adapt swiftly and efficiently is a survival mechanism. Loyal employees easily adapt to the organization because they demonstrate commitment and buy-in to the culture, having absorbed organizational investments such as training, pay, benefits, etc.^{xlvii}

To this end, a closer and constant examination of the environment in which the employees are responsible for producing desired outcomes is critical, including a closer look at the drivers that weaken and strengthen the workforce altogether.^{xlviii} More specifically, the Sanctuary Model is an organizational change model that focuses on improving the delivery of trauma-based services within mental health and social service systems. Dr. Bloom’s theory suggests that organizations are like individuals and suffer from trauma due to unrelenting stress, loss, and system fragmentation. The premise of this argument is anchored in recognizing that organizations are not machines; they are living entities with as many complexities as the humans that make them and those they serve.^{xlix}

Investing in people is the hallmark of good human resource management. When employers invest in their human capital, they develop a solid organizational culture that nurtures a workforce collectively prepared to excel by being competent, committed, and talented.¹

ORGANIZATIONAL CULTURE

Passionate about their missions, many nonprofit organizations attempt to make changes to enhance their social impact. Additionally, demands from customers, funders, regulators, and other stakeholders often compel organizations in the social sector to make more effective, affordable, accessible, and consumer-friendly services. However, despite the best intentions and efforts, sustainable change is challenging for organizations. The literature consistently cites a 60-70% failure rate for organizational change initiatives.^{li}

As noted in the previous chapter, successful change initiatives require that people at all levels of the organization understand, support, and adopt the changes. The human element of any change process is one of the most challenging to manage. This truth is brilliantly captured in the axiom attributed to management consultant and author Peter Drucker, “Culture eats strategy for breakfast.” This familiar adage is often cited because it resonates with the experiences of most business leaders. Although the concept of organizational culture is not new to today’s business vernacular, actively aligning an organization’s vision, values, and business strategies is not widespread in the nonprofit sector.

The idea of organizational culture can be abstract and elusive. The Business Dictionary has this to say about organizational culture:

“Organizational culture includes an organization’s expectations, experiences, philosophy, and values that hold it together, and is expressed in its self-image, inner workings, interactions with the outside world, and future expectations. It is based on shared attitudes, belief, customs, and written and unwritten rules that have been developed over time and are considered valid. Also called corporate culture, it is shown in:

- (1) the ways the organization conducts its business, treats its employees, customers, and the wider community;
- (2) the extent to which freedom is allowed in decision making, developing new ideas, and personal expression;
- (3) how power and information flow through its hierarchy; and
- (4) how committed employees are toward collective objectives.

It affects the organization’s productivity and performance, and provides guidelines on customer care and service, product quality and safety, attendance and punctuality, and concern for the environment. It also extends to production-methods, marketing and advertising practices, and to new product creation. Organizational culture is unique for every organization and one of the hardest things to change.”^{lii}

Many business experts, such as James Heskett in his book, ‘The Culture Cycle: How to Shape the Unseen Force that Transforms Performance,’^{liii} write about the importance of aligning an organization’s culture with its strategy and its execution. The view that organizations that create intentional cultures that align with their purpose, values and strategies outperform those that do not is prevalent in the literature.^{liv & lv} The next few chapters provide examples of how Woods set out to create an intentional organizational culture that supports its strategies.

EMPLOYEE ENGAGEMENT AND DEVELOPMENT INITIATIVES

Staff turnover has proven to weaken an organization's culture and performance.^{lvi} Woods and its affiliate organizations employ approximately 6,000 people. Like most healthcare and human service organizations across the country and globe, it is experiencing a workforce crisis characterized by employee recruitment and retention challenges. Several factors contribute to the shortage of healthcare workers, including an aging population requiring a greater need for care, an aging workforce retiring many workers, increased chronic diseases, and limited capacity for education programs.^{lvii} By 2030, the world will be short of approximately 15 million public healthcare workers.^{lviii} The predicted shortage of full-time physicians in the United States will grow to 160,000 physicians by 2025; an estimated one million new nurses will be needed over the next decade.^{lix} Additionally, between 2018 and 2028, the United States' long-term care sector expects to need to fill seven million direct care jobs, including personal care aides, home health aides, and nursing assistants.^{lx}

In 2016, the American Association on Intellectual and Developmental Disabilities issued a statement observing the field's challenge with high staff turnover while demand for additional direct care staff peaked. Contemporary studies confirm significant shortages of individuals willing to work as direct care professionals.^{lxi} In addition to growing numbers of individuals with autism, longer survival rates for individuals with intellectual disability, non-competitive compensation, and the stress associated with the job, experts identify low pay has been identified as a key determinant of the recruitment and retention challenges. It is also the most consistent predictor of turnover among direct care staff.^{lxii} Staff fatigue, burnout and dissatisfaction, the by-products of insufficient staff, and excessive overtime perpetuate employee retention problems, not to mention their impact on the quality of care.

As a way of shaping state and federal policy, which is also identified as a strategic priority in Woods' Strategic Directions Plan and discussed further in Chapter 10, an expert from Woods' leadership team served as the principal investigator of several studies. These analyzed data regarding 34,000 direct support professionals employed by 121 intellectual and developmental disabilities service organizations in Pennsylvania. These studies report that employee turnover and vacancy rates are more than 25% and 10% per year, respectively, and rising.^{lxiii} The studies also cite inadequate wages as contributing to high turnover, high vacancies, and diminished quality of care.^{lxiv} The findings of these studies mirror national trends, in which turnover rates are as high as 38% and vacancy rates are as high as 20%. The researchers conclude that in addition to raising wages,

organizations need to think more broadly about workplace culture, benefits, professional development, and advancement opportunities.

While Woods organized its care system around population health management principles, its research and staff's lived experience highlighted something integral: Woods addressed the conditions of those they served more than it did for employees. Many direct support professionals working in essential and demanding entry-level jobs have no education beyond high school and live at or below the poverty level. Many are at risk for preventable and treatable chronic illnesses. They have difficulty accessing healthcare due to work schedules, transportation, and financial concerns. Subsequently, Woods began to address some of the health affecting its employees' health risks and outcomes. Woods employs 75% of these employees as direct support professionals.

As discussed in Chapter 2, one of the organizational priority areas identified by Woods' Strategic Directions and Transformational Plans was employee engagement and development. The short-term tactical strategies in this area, such as improving employee benefits and providing professional development and advancement opportunities, were aimed at enhancing employees' well-being, increasing employee retention rates, and expanding the skills and abilities of the workforce. Woods views the successful execution of its employee engagement and development initiatives as a way of differentiating itself as an employer of choice in an industry dealing with a severe workforce crisis. In addition to making targeted salary adjustments, Woods established an Employee Culture and Community Committee (EC³). It is responsible for helping create and sustain an organizational culture that promotes the personal well-being and professional growth of Woods employees. The Committee works in partnership with the executive leadership team. Together they have progressed toward these goals through several initiatives, including enhanced employee benefits, career pathways, and highly discounted, on-site college cohort programs, tuition subsidy, and student loan payment programs.

Enhanced Employee Benefits

Employee benefits are meaningful ways of communicating to employees that they are valued and that the organization cares about their well-being and professional development. Woods added or enhanced the following employee benefits as part of its culture-shaping initiatives.

A New Retirement Plan

As discussed in Chapter 3, Woods replaced an inequitable employee benefit by 'freezing' a defined benefit pension plan in which less than half

of its employees were eligible to participate as a result of a ‘soft freeze’ implemented five years earlier. The inequity of the pension plan not only caused hard feelings among employees who were ineligible for the benefit but also made the recruitment of new employees more difficult. As previously discussed, after nearly a year of considering options, Woods replaced the defined benefit pension plan with a defined contribution retirement plan in which all employees are eligible to participate. Some savings resulting from freezing the defined benefit pension plan helped fund new retirement benefits, including employer contributions and employer matches, as well as additional employer contributions based on years of services for employees transitioning from the defined benefit pension plan. In addition to these financial benefits, the new retirement plan offers other advantages. It is portable, allows employees to direct deferments and investment choices, and enables employees to save on a tax-deferred basis. The introduction of the new retirement benefit was tremendously successful, as evidenced by the 93% of all employees who enrolled in the plan shortly after its rollout.

A New Reference-based Employee Health Insurance Plan

As mentioned earlier, many employees are at risk for a range of preventable and treatable chronic illnesses. Still, often they do not have easy access to healthcare because of work schedules, transportation issues, and financial concerns. Additionally, many employers mitigate healthcare expenses by shifting costs to their employees through higher premiums, deductibles, and co-pays. For these reasons, Woods prioritized improving its employees' health by containing healthcare costs and enhancing access to healthcare. One of the ways Woods accomplished this was through a partnership with Homestead Smart Health Plans (Homestead). An innovator in the health insurance business sector, it is helping disrupt the market through reference-based pricing. Unlike traditional insurance brokers, which negotiate fees with healthcare providers upward of 350% of Medicare reimbursement rates, reference-based pricing typically pays 120-170% above Medicare-negotiated prices. The prices negotiated by Medicare are used as a reference point because they are typically lower than those negotiated by traditional health insurance networks. This is due to Medicare's purchasing power and access to actual cost data. In addition to saving employers and employees between 20-30% in healthcare expenses, reference-based pricing enables employers to customize their employee health insurance plans. Woods worked with Homestead to design a plan with no employee premiums, no network restrictions, and no required referrals. Instead, it provided minimal co-pays, freedom from balance billing, and a very low-cost prescription plan. Because of stagnant funding, intellectual and developmental disabilities service organizations

must work with partners to find creative ways to save money. As a result of this partnership with Homestead, Woods saved over one million dollars in employee healthcare costs in the first year of offering a reference-based health insurance plan. It is worth noting that most employees who were initially skeptical and opted for a more traditional and expensive healthcare plan switched to the referenced-based plan during the open enrollment period the following year. Their move was based on positive reviews from their colleagues. Woods used the savings made through the referenced-based health insurance program to fund many of its employee engagement and development strategies. These included increased compensation for targeted positions, discounted college cohort programs, tuition reimbursement and student loan payments, and on-site healthcare to all employees at no cost through the Medical Center at Woods.

An On-site Medical Center Available to Employees Free of Charge

As discussed in Chapter 1, Woods launched a state-of-the-art on-site medical center. This became a core component of Woods' transformation as a population health management organization for individuals with intellectual and developmental disabilities. The Medical Center at Woods is cited here in the context of employee benefits because Woods leveraged it as an effective and efficient means of removing barriers to healthcare for its employees. Woods employees can use the Medical Center at Woods for urgent and primary healthcare needs free of charge. The Medical Center at Woods is not only accessible to Woods employees for location and cost, but also regarding hours of operation, which take into account employee work schedules. The Medical Center was established as a separate corporation and is held to the same standards as all healthcare facilities. This ensures that boundaries between the Medical Center at Woods as a service provider and Woods as an employer are safeguarded, particularly concerning protected health information. By removing barriers to healthcare for its employees, Woods positively impacts the overall well-being and health of its employees. The response to this benefit has been overwhelmingly positive. The nearly 2,000 employee medical appointments and more than 4,000 initial and annual employee health screenings the Medical Center conducts annually are proof of this.

Financial Literacy Education and Counseling Services

Recognizing that financial health impacts overall personal well-being, Woods partnered with Clarifi, a nonprofit financial counseling organization. They would provide Woods employees free on-site financial literacy workshops and individual financial counseling sessions. Surveyed employees helped identify topics of interest and overwhelmingly expressed

interest in the topics of credit, debt, homeownership, and retirement planning. Regarding credit and debt, employees learned the importance of using credit responsibly and the factors lenders use to determine creditworthiness. Clarifi offered information on how to obtain, read and correct information on a credit report and taught the necessary steps to establish credit and improve credit scores. Workshop participants learned about the advantages, disadvantages, and key terms of the credit card industry and the types of credit cards available. Workshops also guided participants on developing a debt recovery plan if appropriate. Debt can be stressful, and Clarifi taught employees the rights they have as consumers and the restrictions placed on debt collection agencies. Participants also received information and tools to be confident in choosing the best options to tackle debt while protecting their credit. Workshops on homeownership gave employees an introduction to the key steps in purchasing a home and how to prepare financially for homeownership. A workshop also offered insight into planning retirements within 10 years. It covered the basics of Social Security and strategies for getting the most out of the program. These free-of-charge workshops and counseling sessions were appreciated by staff because they demonstrated that Woods not only values them as employees but also as individuals.

Discounted Auto Program

As a perk to its employees, Woods negotiated discounts with various vendors. Recognizing that many of its employees struggle with transportation issues, Woods partnered with Faulkner-Ciocca Dealerships to extend its Family and Friends Discount Program to Woods employees. Many employees take advantage of this benefit and report high satisfaction with their car-buying experiences from these dealerships, which have been extremely supportive of Woods and its employees.

Career Pathways

Much in the same way that Woods applied its population health management approach to its benefits programs, the Employee Culture and Community Committee (EC³) expanded Woods' vision for those it serves to include those who support them. Responsible for helping create and sustain an organizational culture promoting Woods employees' personal and professional growth, EC³ turned to one of the organization's vision statements for inspiration:

“We envision a world where an individual has opportunities and supports that promote self-determination, the joy of achievement, and a fulfilling life.”

Heartened by this vision, EC³ embarked upon a planning and implementation processes to ensure that opportunities for employee personal and professional growth exist at Woods. This was accomplished in part by the creation of career pathways and highly discounted on-site college cohort programs and other educational benefits. Through these education and professional development initiatives and by promoting from within, Woods helps many of its Direct Support Professionals break the cycle of poverty.

One of the first initiatives that the Committee tackled was the development of career pathways to create progressive professional advancement opportunities at Woods. The taskforce developed six career paths in the following areas:

- 1) adult habilitation and vocational services;
- 2) behavioral health;
- 3) care coordination;
- 4) education;
- 5) management; and
- 6) nursing.

Each career path provides four to nine steps of advancement. These correlate to increased responsibility and compensation. For example, the nine progressive steps in the area of nursing are:

- 1) direct support professional;
- 2) medication trained staff;
- 3) certified nurse assistant;
- 4) licensed practical nurse;
- 5) registered nurse;
- 6) bachelor of science in nursing;
- 7) master of science in nursing;
- 8) certified registered nurse practitioner; and
- 9) doctorate of nursing.

In developing the career pathways, the Committee decided to start each with the Direct Support Professional so that all employees, including those starting at entry-level positions, may see themselves in these career trajectories. The Committee designed very dynamic and informative promotional materials to market the career paths internally to active employees and externally to prospective employees. This material is included in Appendix E. The brochures illustrate the opportunities for advancement in the six areas and specify the experience, education, and licensure required at each step. But just as importantly, Woods leveraged these marketing materials to communicate its investment in the personal

and professional growth of its employees, its commitment to equity, diversity, and inclusion. They also expressed other employee benefits designed to promote personal and professional growth, including benefits in the area of education, health and wellness, work/life balance, and retirement. These materials also provide examples of staff who have built careers at Woods by advancing through the career pathways to inspire hope and breathe life into the tag line, *“Choose a career at Woods and together we will build our future.”*

The career paths were rolled out with much fanfare as part of an employee career expo and are used on an ongoing basis to mentor and develop employees, and recruit new employees. The construction of career paths and benefits to support employees are powerful and effective ways in which Woods creates an intentional culture and distinguishes itself as an employer of choice.

College Cohort Programs and Other Educational Benefits

Woods partners with several regional colleges to provide highly discounted on-site college degree cohort programs to support the growth and development of its employees. This is not solely an act of altruism because, in addition to supporting staff, these programs benefit Woods in several meaningful ways. These programs appeal to prospective employees and encourage active employees to continue working at Woods. But more importantly, these programs are culture-shaping initiatives specifically designed to fit with and buttress Woods’ transformational goals and develop high-performing employees and the next generation of leaders at Woods. These strategically constructed educational experiences aim to provide employees with knowledge and experiences that align with Woods’ vision, values, and goals and build teams of current and future leaders equipped to help drive and execute Woods’ mission and strategies. Woods believes this will manifest the return on its investment in these programs and individuals in the form of a well-prepared and loyal workforce invested in building a future together.

Woods’ initial partnerships with institutions of higher learning also focused on Direct Support Professionals, many of whom do not have college degrees. A partnership with Harcum College provides Woods employees an associate’s degree program in human services. The partnership has recently added a second-degree program in behavioral health. Woods and Harcum College designed this program, which reinforces the principles and practices of evidence-based human services, specifically for working adults regarding location, class schedules and formats, and cost. Classes on the Woods campus were in the evenings and during the weekends. Supervisors worked with staff to adjust work schedules when conflicts occur and employees were made eligible for paid

release time to attend classes. Harcum College discounts its tuition fees by 40%, and in return, Woods guarantees a minimum number of students per cohort. As a result of the discount provided by the school and tuition subsidies provided by Woods, as well as scholarships for which students receive help in applying, employee out-of-pocket expenses rarely exceed \$1,000 per semester. The Harcum College associate's degree cohort program at Woods continues to gain momentum about its popularity among staff, as evidenced by the growing number of cohorts since its inception in September 2017.

A year after launching the associate's degree in human services program at Woods through its partnership with Harcum College, Woods partnered with the Philadelphia College of Osteopathic Medicine (PCOM) Department of Organizational Development and Leadership to develop a master's degree cohort program in nonprofit leadership and population health management for its current and emerging leaders. Like the Harcum College cohort program, this program is designed for working professionals. Classes are offered on the Woods campus during the evenings and on weekends, and employees are eligible for paid release time to attend classes. The school offers Woods employees a 50% discount and Woods subsidizes the tuition cost by an additional 25%. In return, employees commit to work at Woods for at least two years post-graduation. This master's cohort program is a textbook example of how an organization can align its culture and strategies. Not only does Woods contribute toward the development of the program curricula for population health management and nonprofit leadership, some of its senior leaders teach classes as adjunct faculty and guest lecturers. Through this unique collaboration with PCOM, Woods influences the content of the courses and impacts student experience. These students are current and future leaders of the organization in ways conducive to its transformational vision, strategies, and the organizational culture it is intentionally creating.

Additionally, Woods negotiated a 40% tuition discount with La Salle University for Woods teachers. Current collaborations involve developing several programs including a professional training strand for Woods teachers, an associate's degree program in education, and a bridge program from an associate's degree to a bachelor's. Once established, these educational programs will offer a continuous career path in education for Direct Support Professionals working at Woods. Through relationships with other universities and colleges, Woods is positioned to recast its schools as demonstration schools to train future teachers, conduct research, and promote professional development. A Teach with Heart at Woods Schools Fellowship became a way of recruiting and retaining teachers. The fellowship provides teachers with loan forgiveness for two years of service at Woods Schools. Through the Teaching with Heart at Woods Schools Fellowship and its collaboration with La Salle University, Woods hired

approximately 22 emergency-certified teachers during the fellowship's inaugural year. The partnership with La Salle University and the fellowship program enables Woods to maintain a thriving education program despite a nationwide shortage of teachers.

Building upon the success of these programs, Woods continues to partner with colleges and universities to offer its employees significantly discounted and highly accessible college degree programs. Additionally, Woods offers its employees a tuition reimbursement program and a student loan repayment program. The impact of these educational benefits on employees is life-changing, as reflected in their own words at the end of this chapter. The effect of these benefits on employee retention is also compelling. Woods experiences a 90% retention rate among employees participating in one of its discounted college programs and a retention rate of 81.5% among employees receiving any one of its educational benefits, including tuition reimbursement and student loan payments. These indicators favorably compare to an overall employee retention rate of 73%.

When Woods launched the college cohort programs, it observed the challenges and barriers many employees faced in navigating the college application process and accessing financial assistance. It was hard to watch employees who made the courageous decision to pursue advanced degrees get stuck in a web of bureaucracy. For this reason, Woods created a Manager of Employee Development and Enhanced Benefits position. This was filled by Valerie Durden, M.S., a result of Woods' career paths and educational programs.

Valerie's childhood was poverty and trauma-ridden. She became a mother at 16. She graduated from high school, went to trade school to train to be a home health aide, and in 1999, began her career at Woods as a direct support professional. A year later, she was given an opportunity to work as a speech therapy aide and audiologist assistant, which she did for 15 years. She realized that she wanted to have a more significant impact on people and decided to pursue a higher education degree while working at Woods. It took her 5 years to graduate summa cum laude with a bachelor's degree in social work. She was the perfect candidate for Woods' new position. Valerie pursued her degree without the benefit of the supports available now to Woods employees. She wanted to ensure that all that she learned about college loans, juggling work and school, tracking down transcripts, and more, she imparted to those interested in pursuing a degree. She also received a Master's degree in the first PCOM cohort at Woods.

The Manager of Employee Development and Enhanced Benefits guides employees through college applications, financial assistance applications, and other counseling using the career pathways discussed earlier. Employees extremely value this resource. In the first year, Valerie helped many employees through the college application and admissions process and to access nearly \$300,000 in tuition grants and subsidies.

In addition to these college programs and the stellar in-service training developed and provided by a dedicated training department, Woods implemented other professional development initiatives. These aligned with its transformational vision and strategies, particularly concerning staff roles and responsibilities regarding new program and service delivery models. For example, because care coordinators' fundamental role in a population health management environment, Woods contracted Rutgers University to provide all its care coordinators with case management training and certification. Likewise, nurses play an imperative role in population health management. To support the nurses' professional development, Woods created a nursing mentoring program through a grant from the Foundation of National Student Nurses. In this, nurse mentors are matched with medication-trained staff and nurses to promote the number of bachelor-prepared nurses. Since the inception of this program, more than half the number of mentees enrolled in Bachelor of Science nursing programs.

The collective values of an organization influence the way people in the organization feel, think, and act. Woods set out to cultivate an intentional organizational culture that values employees by investing in their well-being and personal and professional development. This was accomplished through several initiatives, including a generous retirement plan, affordable and accessible healthcare, career pathways, and discounted and subsidized educational programs. Organizations may consider enhanced employee benefits and opportunities for professional development and advancement as essential components of their culture-shaping initiatives.

STAKEHOLDER PERSPECTIVES IN THEIR OWN WORDS

Valerie Durden, Woods Manager of Employee Development and Enhanced Benefits, Philadelphia College of Osteopathic Medicine Graduate

Education is one of the most valuable tools anyone can use to transform the world. It's the key to unlocking a mountain of opportunities and offers a better perspective on life. Growing up in Philadelphia, I never saw education as an option for me. I just lived to survive one day at a time with no real vision of tomorrow. Only in my adult years did I learn that I could pursue higher education. I wanted to position myself better economically, but my primary purpose was to improve my children's futures. Here's where my transformation began. I worked for Woods for over 20 years and have progressed from a Direct Support Professional to the Manager of Employee Development and Enhanced Benefits. This took years of sacrifice and hard work.

I began working at Woods as a single mother with only a high school diploma. I hold a master's degree that I earned right at Woods from the Philadelphia College of Osteopathic Medicine. When Woods opened education doors for employees at the work site in 2017, I thought it would be a great way to support employees in their education and career goals. As a result, many employees graduated from on-site college programs, and more will graduate in the future. These employees strive to earn their degrees. Some experience hardships and obstacles along the way, but through it all, they persevere with the support of Woods. Most adult learners have advanced professionally within the company, and some continue to further their education. Whenever I speak to employees about how the on-site college programs have affected their lives, they always start by thanking Woods. The on-site cohort education programs create an environment for learning and development and open the door to a culture of inclusion and connection. That's what we have at Woods, and I am very grateful for that!

Troye Johnson, Woods Employee and Harcum College Graduate

Troye is an outstanding employee who has worked with Woods since 1991. Troye recognized the benefits of education long before he enrolled in the Harcum College on-site cohort program at Woods. Over the past 30 years, Troye has worked hard to provide his children with private education for them to achieve better educational outcomes. He supported each of his children through school and is an outstanding father. His children now return the favor by supporting his pursuit of higher learning. A daughter is following in his footsteps and is earning outstanding grades at Harcum College. As an honor roll student, exceptional employee, and devoted father, Troye's path to success is clear. Below is a quote from Troye regarding the education he received at Harcum College through Woods.

“When I think about how Woods has supported, encouraged, and inspired me to achieve the absolute best education possible, I feel very grateful. The emotional support has also been incredible. I graduated from Harcum College in May 2020 and have been working to obtain a bachelor's degree from Lincoln University. I plan to go all the way and earn a doctoral degree. I am certain this would not have been possible without the support of Woods. As I obtain each degree, I look forward to helping Woods by using that same education to pay back what I believe is an unpayable debt. I have been with Woods for 30 years, and the strong foundation of its staffing is nothing less than amazing. I thank Woods for all it has done and given me.”

Candace Pressley, Woods Employee and Harcum College Graduate

Candace has worked at Woods for 22 years and always wanted to further her education. Like most adults with significant responsibilities, she felt a college degree was out of reach. The most important thing for Candace in her 22 years of working at Woods is caring for individuals. The care she provides to Woods clients parallels the care that parents provide to their children. She wants the best for her clients and the Woods community, and she understood for her to do more, she needed to further her education. The on-site Harcum College program at Woods was the most convenient way for Candace to pursue her degree. Candace could take care of her clients and afterward invest in herself by taking Harcum classes just footsteps away at the Woods Employee Training and Development Center. Candace is an example of the greatness found in Woods employees. She exemplifies great leadership qualities and hard work. Woods is not only a place of employment for her, but it is a part of who she is. Below is a statement made by Candace about her appreciation for the education program at Woods.

“Most often, your place of employment is thought of as just a place you work for eight hours, and that’s it. My place of employment, Woods, has created an environment of encouragement by providing me the opportunity to gain an education and advance in the company. I appreciate all the benefits and support I received from Woods.”

Nandane Mitkus, Woods Employee and Harcum College Graduate

Nanda Mitkus has been an employee of Woods for over 30 years. She has created a warm and comforting environment for the individuals served at Woods. With a lifelong connection with her clients and their families, she is a great asset to Woods. While devoting her life to serving individuals at Woods, she has also dedicated herself to her children, grandchildren, husband, and co-workers. Over the years, Nanda has helped everyone around her but never thought of doing anything for herself. She often mentioned that she wanted to pursue education, and it was now time for the people in her life to support her aspiration. Every seed of support Nanda planted came back to her in more ways than she could have imagined. Her support team reflects who she is inside and outside of Woods. While attending Harcum College, many life circumstances challenged her. Nevertheless, her determination and resiliency enabled her to continue her studies. Nanda completed her degree in May 2021. She is grateful for the financial support she has received towards her tuition and her emotional support from her colleagues at Woods. Below, Nanda expresses her gratitude.

“I started my journey at Woods in 1996 as a client care worker, was promoted to a shift leader, and later became a supervisor. For my entire life, I wanted to return to school and use knowledge to improve my career. Woods gave me that golden opportunity when Valerie Durden introduced me to the Harcum College program at Woods. She helped me with barriers and supported me with my classes. Woods also helped with tuition costs which was a huge benefit for me. I will continue to further my education with the help and support of Woods.”

STRATEGIES FOR ENGAGING EMPLOYEES – LESSONS LEARNED

- The collective values, assumptions, attitudes, and beliefs of an organization influence how people think, feel, behave and interact in that environment.
- Exceptional organizations create intentional cultures that are aligned with their purpose, values, and strategies.
- An organization’s capacity to achieve its goals correlates with its ability to shape its culture in support of them. An organization’s culture can make or break change efforts.
- Organizational culture is unique for every organization and one of the hardest things to change.
- Culture-shaping initiatives that engage employees, such as enhanced employee benefits and opportunities for professional development and advancement, positively impact employee recruitment, retention, and performance.
- The construct of career pathways and benefits that support the employees’ personal and professional are effective and powerful ways an organization can distinguish itself as an employer of choice.

Key Reflections for Discussion

- As Peter Drucker aptly stated, “Culture eats strategy for breakfast.” However, an organization’s culture must reflect its purpose and core values which are constructs that require ownership of its people. Thus, what role does an existing workforce play in selecting and identifying an organization’s desired culture? What if the culture needs to change from its current state? What decision points should leadership consider?
- A focus of the Woods’ transformation journey was developing and implementing employee engagement strategies. This approach heavily supports bodies of literature that discuss the challenges and rewards these initiatives present. How does an organization understand its workforce well enough to negotiate employee needs and wants while making necessary foundational shifts in culture? What gets prioritized and how are those priorities identified and communicated?

CHAPTER V: CULTIVATING AN ORGANIZATIONAL CULTURE OF INNOVATION

“Innovation distinguishes between a leader and a follower.”

— Steve Jobs, American entrepreneur

THEORETICAL FRAMEWORK

The capability to innovate is essential for long-term viability among nonprofit organizations.^{lxv} Reliance upon technical fixes using existing knowledge and practices will not be enough to position organizations to create infrastructures that promote and sustain innovation and continual learning. In volatile sectors, the regulatory environment is consistently changing. The need to keep pace with an ever-changing technological environment is challenging, even for well-resourced markets. Adopting innovation is crucial for organizational viability. Organizations must learn how to effectively assess and interpret external knowledge and integrate it with internal knowledge to foster successful innovations capable of anticipating and withstanding future change.^{lxvi}

The most widely known and embraced innovation theory in the social sciences literature is Everett Rogers’ Diffusion of Innovation Theory. He aims to explain how a new idea gains momentum and spreads (or diffuses) through a specific population of social system.^{lxvii} Rogers posits that to facilitate diffusion, innovation strategies need to be tailored to different adopter categories:

- (1) Innovators,
- (2) Early Adopters,
- (3) Early Majority,
- (4) Late Majority and
- (5) Laggards.^{lxviii}

The overwhelmingly important conclusion of this body of literature is that organizations that value the importance of innovation must also understand how best to select, adopt and diffuse that innovation to harness the true benefits of a creative and adaptive workforce.

CULTIVATING A CULTURE OF INNOVATION

To develop dedicated employees, great teams, and a culture of learning and innovation, Woods joined forces with Social Innovations Partners. This collaboration could provide Woods staff with social innovation lab experiences. These labs help strengthen innovative thinking and entrepreneurial skills by taking participants through idea exploration,

testing, business model development, and execution. As indicated in the promotional materials developed by Woods, included in Appendices F and G, the labs are offered to staff at all levels across the Woods enterprise, including affiliate organizations. This helps break down organizational silos and allows employees to work with colleagues from across the organizational structure and hierarchy. The labs are a great way to engage employees and support their development and creativity, and help identify potential talent that might not otherwise get recognized. The social innovations labs stimulate creativity and cultivate entrepreneurial skills and capacity by taking participants through a process of developing great products and services based on the manual *The Social Innovator's Playbook: A Company's Guide to Creating Innovation from the Bottom Up*,^{lxix} designed by Social Innovations Partners Chief Executive Officer, Nicholas Torres, and Woods' CEO, Tine Hansen-Turton. Nick and Tine guide readers and lab participants through the following five stages of innovation:

1. Idea formation and exploration.
2. Design thinking and rapid prototyping.
3. Financial modeling and raising start-up capital.
4. Scaling and scaling impact and system and policy influence.
5. Execution strategy, each of which is summarized here.

IDEA FORMATION AND EXPLORATION

During the initial lab session, participants are guided through a series of exercises designed better to understand their passions, motivations, and underlying inspirations and translate them into social impact statements. They are later taught to sell their ideas to potential partners and investors effectively. During this phase, participants examine their leadership strengths, characteristics, and traits and learn how to assess the leadership styles of the people they will need to work with. Additionally, participants take an assessment to understand better their personal communication styles and how to assess the communication styles of other people, particularly those of potential partners and investors.

DESIGN THINKING AND RAPID PROTOTYPING

In the second stage, participants go through a series of exercises that enable them to analyze the scope and causes of the problems they are trying to address. The training also helps study current strategies and practices used to manage the issues and opportunities for addressing gaps. Once participants thoroughly understand the concerns they intend to handle, they develop a theory of change. They identify targeted

populations and their innovations' intended short-term, intermediate, and long-term outcomes. At this stage, participants realize how to determine if their ideas are breakthrough, sustaining, or disruptive and then evolve their social innovation through rapid prototyping. Participants learn to brainstorm ideas, select one or two ideas to prototype, and test their theories and ideas within targeted populations. Participants learn how to conduct effective market research and adapt and modify their prototypes accordingly.

FINANCIAL MODELING AND RAISING START-UP CAPITAL

Participants develop three-year financial projections at the next stage, identify ongoing funding sources, and determine the social return on investment. This is mainly if the innovation does not produce recurring revenue. They then construct financial models that will sustain their creations by identifying revenue sources across the funding continuum, including family and friends, crowdsourcing, family foundations, institutional foundations, direct government contracts, indirect government contracts, angel investors, mission-aligned foundations, venture capitals, and recurring revenue generated from the innovation. Using spreadsheets and graphs, they demonstrate timelines of when the innovations will be financially self-sufficient, when they produce surpluses, and how much start-up capital is necessary. In the lab, they discuss various sources and strategies for raising money.

SCALING FOR IMPACT

The fourth stage challenges participants to think beyond the initial pilot phase and consider their intentions regarding scaling their innovation and social impact. They do so through a series of thought-provoking discussions that help determine their scaling strategies and how these will impact their financial projections. Participants are also encouraged to think about the sociopolitical resistance they may encounter due to their disruptive innovations and how to influence systems and policies that may impede their projects effectively. Participants understand how to identify and categorize stakeholders and develop strategies to engage allies, manage opponents, and convert indifferent constituencies into supporters. The importance of influencing and shaping public systems and policies is also identified as a focus area by Woods' Strategic Directions Plan and is discussed further in chapter 10.

EXECUTION STRATEGIES

In the final stage, participants determine their strategy for success by conducting research on the competition and developing strategies to compete. Participants learn how to conduct self-assessments of their skills and competencies, identify and address deficiencies, and assemble strong teams. In the final lab session, participants get advice on anticipating and managing natural fluctuations in business and understanding when to pivot. These critical components of a successful business strategy prepare participants to seek out the right partners, develop a written business plan and create a pitch deck.

THE BUSINESS PLAN

A series of six social innovation labs are made available over a 12-week timeframe. These labs culminate in a pitch event, in which lab participants present their creations and business plans to an enthusiastic audience of their peers and a panel of judges comprised of members of the Woods Services Board of Trustees, the Woods Services Foundation Board, and the Woods executive leadership team. Proposals are judged based on the following criteria:

1. The likelihood that the venture is going to create social impact.
2. The likelihood that the team can execute the venture.
3. The likelihood that the venture is financially sustainable.
4. Quality of the pitch presentation.

The top proposals receive seed funding from the Woods Services Foundation and ongoing technical support from management. Each year the Woods Foundation supports this highly effective culture-shaping program. It reinforces innovative and entrepreneurial ideas by funding the start-up of the most promising innovations to emerge from the social innovation labs.

Lab participants receive instructions and one-on-one technical support in developing business plans that include: an executive summary, an overview of the opportunity; a summary of the innovation and its unique value proposition; the team's competencies; partnerships; a financial plan; and an execution strategy with milestones and benchmarks. Participants also receive guidance in developing a five- to seven-minute presentation to pitch their innovations and business plans effectively. Winning proposals receive ongoing technical support from members of the executive leadership team until the innovations successfully launch. Nicholas Torres, the Co-Founder and CEO of Social Innovations Partners, shares,

“The mission of the Social Innovations Partners is to teach and inspire civic, government, social and private-sector leaders to better understand and undertake the process of innovative thinking and social entrepreneurship to achieve social impact. By moderating annual Social Innovations Labs, Woods has created a culture of innovation and launched 10+ social enterprises.”

Many exciting and successful innovative initiatives at Woods were conceived and birthed through the social innovations labs and provided startup funding through the Woods Services Foundation. In each lab, the Foundation spreads up to \$100,000 across the most worthy of projects. The following examples highlight innovations in social enterprises, employee benefits, and leadership development.

INNOVATION INITIATIVE: WOODS WEAR SOCIAL ENTERPRISE

There is dignity in work. It gives people a sense of purpose and accomplishment. In addition to providing opportunities to earn money, which facilitates independence, jobs also offer opportunities for social engagement and inclusion. These opportunities afforded through employment often elude individuals with disabilities. While changes in public policies like the Americans with Disabilities Act (ADA) and the Workforce Innovation and Opportunity Act (WIOA) support the employment of individuals with disabilities, employment rates still lag. According to the United States Department of Labor, only 19.8% of people with disabilities over the age of 16 are employed, compared to 68.8% of those without disabilities.^{lx} As more states adopt “Employment First” policies to increase opportunities for competitive and integrated employment for people with disabilities, service providers must develop solutions to facilitate partnerships among people with disabilities, service providers, and businesses.

As part of its population health management approach, Woods supports hundreds of individuals in obtaining and maintaining meaningful employment, a major social determinant of health. Recognizing the barriers to employment for individuals with different abilities and the importance of having choices, Woods and its affiliates operate several social enterprises. These include the Yellow Daffodil Flower and Gift Shop, Blue Violet Flower Shop, Common Grounds Café, Common Market, and BeechTree Bath Products, and other vocational programs and services, which include pre-vocational training, workshops, enclaves, supported employment and job coaching. Social enterprises are self-sustaining small businesses that develop for social purposes, such as employing individuals with disabilities. Woods’ social enterprises address

the typical barriers to employment for persons with intellectual and developmental disabilities. They do so by tailoring job responsibilities to individual interests and abilities and making necessary accommodations to ensure job satisfaction and success. This approach is effective because it is highly individualized. By providing job opportunities, resources, and support, Woods' social enterprises enable individuals with disabilities to experience the dignity, self-confidence, and independence that come from meaningful and paid work. And by providing opportunities to work in integrated, community settings with non-disabled individuals and to interact with the general public, Woods' social enterprises also enable individuals with disabilities to experience social and community inclusion.

Woods Wear, a silkscreen printing social enterprise, was the brainchild of a Woods school bus driver. Karl participated in Woods' first series of social innovations labs and proposed that Woods leverage its expertise in developing and operating social enterprises to launch a new one. This would combat the disproportionate unemployment rate among people with disabilities, which is more than double the rate for persons without disabilities.

There were several compelling aspects of Karl's business plan. In addition to the social return on investment of providing competitive employment to at least 25 individuals with disabilities, the three-year financial projections anticipated a near-break-even budget in the second year of operation and a surplus by the third year. The business plan identified two established markets. The first was Woods and its affiliates, which outsourced the production of thousands of T-shirts a year for annual events, such as the 5K Run for Woods fundraising event. For this event alone, 1,200 T-shirts were purchased annually from outside vendors. The second established market comprised Woods employees, clients, and family members who purchased Woods insignia clothing through another of Woods' social enterprises, the Common Grounds Café. To launch the business cost-effectively while using existing program management and oversight resources, Karl suggested co-locating the enterprise with an existing one with available space.

Woods Wear was successfully launched upon the renovation of the space that houses the business, the on-boarding of an employee with design and production expertise and experience, and the purchase of equipment. These purchases were funded through grants from the Woods Foundation and TD Bank. By its second year, Woods Wear exceeded its projected outcomes and benchmarks.

The return on investment of Woods' affirmative enterprises cannot be measured in terms of profitability, as they generally operate at break-even when well-managed. However, the ROI concerning these employment opportunities' profound impact on the lives of the individuals who work in them is priceless. Start-up and expansion initiatives often get funded with

support from various philanthropic foundations. Ongoing operating expenses are paid with sales revenue. Necessary services and support to employees with disabilities get funded through fee-for-service reimbursement provided by various service funding agencies. Woods' social enterprise model is easily replicable and scalable. This is demonstrated by the number of social enterprises that Woods operates, several of which have multiple sites.

INNOVATION INITIATIVE: ARTISTS OUT OF THE WOODS SOCIAL ENTERPRISE

Another social enterprise, Artists Out of the Woods, was conceived and developed by Woods' Director of Allied Services due to his participation in the second social innovations lab cohort. Joe proposed a program to engage clients in art. This would address the unemployment rate among individuals with intellectual and developmental disabilities and cultivate the artistic talents demonstrated by many individuals served by Woods. It also served therapeutic benefits and provided opportunities to earn money through a profit-sharing arrangement. In this, artists would share profits earned from the sale of artwork with the program.

With a modest grant from the Woods Foundation to purchase equipment and supplies and the support of Woods teachers, recreational staff, therapists, and occupational therapists, the Artist Out of the Woods program helped provide Woods clients with opportunities to further explore and develop their passion for art and earn money through the sale of their artwork. As proposed by the business plan, the artwork sells through platforms such as the Common Grounds Café social enterprise frequented by targeted customers. Sales also grow from new platforms such as special events, the internet, and social media. The program uses a self-sustaining financial model in which recurring sale proceeds are reinvested and used to purchase new equipment and replenish supplies.

Artist Out of the Woods launched with much fanfare. Artists value it highly, as does the staff who support them, employees, family members, and other customers who have connected with Woods through the purchase of artwork.

INNOVATION INITIATIVE: EMPLOYEE SANCTUARY ROOM

The employee sanctuary room is an example of an employee benefit innovation that addresses the devastating impact of secondary trauma that social service professionals, particularly child-welfare workers, often experience. A team from Tabor Children's Services, a Woods Affiliate, developed the idea of an employee sanctuary room. The Woods affiliate partnership model is discussed in detail in a later chapter. Tabor is a

community-based child welfare organization. It provides a comprehensive range of in-home and out-of-home services to ensure children, youth, and families are safe in their homes and communities. Tabor serves 1,500 children and families and employs 125 employees. The workforce crisis in the human and social services industry discussed earlier impacts child-welfare agencies particularly hard. They lose employees to other child welfare and social service organizations and from the field altogether. This is typically because of the traumatic experiences they witness and support their clients through.

Nearly 35 million children in the United States experience one or more types of childhood trauma,^{lxxi} including physical and emotional abuse, violence, natural disasters, and other adverse events. The Council for Behavioral Health reports that 70% of adults in the U.S. have experienced some kind of traumatic event at least once. In addition to their own traumatic experiences, social service workers get exposed to their clients' traumas. As a result of having to help clients through traumatic events, social service workers are impacted emotionally by secondary traumatic stress, which compromises their work and quality of life. Secondary traumatic stress at work causes burnout and fatigue, resulting in high employee turnover, high absenteeism, low productivity, and high medical costs.

Tabor had begun addressing the issue of secondary traumatic stress by offering its employees a sanctuary room, a peaceful space for staff to retreat from the stresses of their jobs momentarily. Confident in the concept of a sanctuary room, Tabor sent a team of staff to participate in the social innovations lab offered at Woods to develop this employee benefit innovation further. As a result of the lab process, the team created a business plan that proposed enhancements to room size, furnishings, equipment, and ambiance, while including the services and support of a wellness coach. Based on its rapid prototyping and market research, the team proposed to staff the sanctuary room with a part-time certified trauma expert. This expert would provide staff with individual and in-person counseling and support. The team hypothesized that more staff would access this type of professional support if it were made easily accessible at the workplace, during the workday, and free of charge.

In regard to the program's financial model, the Woods Foundation awarded Tabor \$20,000 to build and outfit the new space. In return, Tabor committed to matching these funds from its operating budget on an annual basis to fund the wellness coach. While the program does not generate revenue, the team suggested that the innovation will save Tabor at least \$45,000 a year if it prevents just a handful of employees from leaving their jobs.

The sanctuary program that Tabor created for its employees is unique and scalable and offers a way for the Woods network to distinguish itself

as an employer of choice that invests in its employees' health and well-being. The model's success will be determined by its ability to help staff become more resilient and cope well under increasing internal and external pressures. Outcome and impact measures will include employee retention rates, absenteeism, worker compensation claims, and accident reports.

INNOVATION INITIATIVE: LEADERSHIP DEVELOPMENT

Members of the Woods Employee Culture and Community Committee (EC³) know Woods' ambitious strategic directions and transformation goals. As members of the Committee, they are keenly attentive to the importance of effective leadership and passionately invested in ensuring leaders throughout the organization are well-equipped to lead and manage changes. Several members of the Committee participated in the social innovations labs as a team to vet and develop an idea for a leadership development program based on the construct of emotional intelligence. They envisioned a program to enhance leadership abilities, increase personal well-being and team performance, improve decision-making, and reduce staff absenteeism and turnover.

The team aligned its initiative directly with Woods' Strategic Directions and Transformational Plans. The case that the team made in its business plan was compelling.

“We believe that by implementing a multifaceted, individualized and dynamic leadership development program, based on emotional intelligence, we will create the type of leaders who can support and drive Woods' transformation initiative . . . In order for Woods' to make the programmatic and cultural changes that are necessary to ensure our sustainability, we need strong leadership.”

The lab process, as well as the technical assistance the team received afterward, helped the team to clarify its vision and develop a program designed to achieve the following objectives:

- 1) Create an environment of heightened self-awareness that enables leaders to see the connection between themselves and their impact on the people they lead and the systems in which they operate to create an intentional cultural shift within the organization;
- 2) Increase leaders' understanding of the impact of leading with emotional intelligence and the role of “leader as coach” to enhance their ability to develop the people who report to them; and
- 3) Provide opportunities for participants to learn how to incorporate the components of emotional intelligence into their leadership more intentionally and to execute coaching methodology that brings about behavioral change.

The team was awarded nearly \$40,000 by the Woods Foundation to work closely with organizational development consultants and provide a leadership development program for an initial cohort of 24 Woods program administrators. This highly impactful leadership development program consists of experiential training over six months interspersed with individual assignments and consultation. In addition to learning, practicing, and applying the concepts of emotional intelligence, leadership, and coaching, participants were challenged to incorporate principles and practices pertaining to safety, comfort, and engagement, the three core elements of another culture-shaping initiative branded internally as The Three Keys to Unlocking Potential, which is discussed in the next chapter.

HEAR FROM PARTICIPANTS:

Darren Garansi

Senior Vice President Continuous Quality Improvement, Allies, Inc.

The Social Innovations Lab benefits individuals exposed to a need within their service area. I learned that many transformations occur when those with grassroots perspectives come together and share ideas. I was impressed with all the innovations presented throughout the region and was motivated by the Social Innovations Playbook and the desire to solve a problem by implementing strategies different from those tried previously. The Employee Development Program looks at an old problem (employee challenges that affect retention) and offers an feasible solution (increased compensation for competency and a career path). We have learned that our employees are looking for real opportunities that are tangible and achievable. The organization benefits from improved standards of care and cost savings relative to improved retention. Our social innovation meets this need. We currently have full enrollment in our present learning cycle, and there is a waiting list for the next.

Elizabeth O'Toole

Assistant Vice President, Recreation and Aquatics, Woods Services

Participating in Social Innovations Lab was an enriching and exciting experience. The lab allowed our staff to dream big and then showed us the step-by-step process needed to bring those dreams to fruition. It gave us real-life experience creating and presenting a business plan, and helped us build new connections with other entrepreneurs. It was a great opportunity for employees from our department to work on individual projects that eventually benefited our whole team and residents. The Social Innovations Lab gave us the knowledge and support needed to expand our programs and open new doors for future programs.

CULTIVATING AN ORGANIZATIONAL CULTURE OF INNOVATION – LESSONS LEARNED

- Experiential learning opportunities, such as social innovation labs, are compelling and exciting ways to engage employees and promote and reinforce an innovative and entrepreneurial organizational culture.
- Offering opportunities for employees at all levels to collaborate across programs, departments and hierarchies is one way of breaking down organizational silos and identifying hidden talent.
- The innovation lab experience takes participants through five stages of innovation:
 - Idea formation and exploration;
 - Design thinking and rapid prototyping;
 - Finance modelling and raising start-up capital;
 - Scaling impact and system and policy influence; and
 - Execution strategy.
- Social enterprises are self-sustaining businesses developed for social purposes, like providing employment opportunities, resources, and support that enable individuals with disabilities to experience the dignity and independence that comes from meaningful work.
- Structured experiences that are designed to strengthen innovative thinking and entrepreneurial skills among an organization's workforce result in innovations in many areas, including but not limited to workflows and processes, new and enhanced programs and services, and meaningful employee benefits and development initiatives.

Key Reflections for Discussion

- The innovation lab is one creative way of capturing creativity and nurturing seedling ideas to maturation. How would an organization adapt such a process to scale (larger or smaller)? What were some of Woods' most important considerations when introducing the innovation lab? There were apparent advantages but were there potential pitfalls?
- An organization's risk tolerance must inform its innovation threshold. How does an organization manage innovations that support internal wants and external threats?

CHAPTER VI: CULTIVATING AN ORGANIZATIONAL CULTURE OF CARE – WOODS’ THREE KEYS TO UNLOCKING POTENTIAL

“You can design and create, build the most wonderful place in the world. But it takes people to make the dream a reality.”

- Walt Disney, American animator, film producer and entrepreneur

THEORETICAL FRAMEWORK

Organizational culture has varying definitions, all of which recognize a shared value and belief system. Some scholars subscribe to the definition put forth by Schein,^{lxxii} “the basic assumptions and beliefs that are shared by organizational members.” Other definitions are aligned with O’Reilly and Chatman’s definition that organizational culture is “a system of shared values defining what is important, and norms, defining appropriate attitudes and behaviors.”^{lxxiii} Regardless of the specific definition, the common thread and understanding is that to shift the culture, you must move the mental models of its people.^{lxxiv & lxxv} Mental models are deeply ingrained assumptions, generalizations, or even stories, pictures, or images that influence how we understand the world and take action. Mental models are essential in systems transformation because they offer a glimpse into how individuals interpret their surroundings and how organizational behaviors ensue. While challenging to achieve, a shared mental model means that there is collectiveness in how ‘we’ interpret information and ‘our’ surroundings. This lens symbolizes cohesion amongst team members, a foundation for which individuals accept a set of collective beliefs and values.

According to Bolman and Deal, the symbolic frame carries several assumptions about organizational culture, but chief among them is that “culture forms the superglue that bonds an organization, unites people, and helps an enterprise accomplish its desired goals.”

This assumption supports the understanding that culture is both a product (i.e., organizational wisdom and shared experiences) and a process (i.e., teaching others about the belief and values of the organization). Culture is complex and can enhance or harm an organization’s overall well-being. An organization’s culture goes beyond competence and skill; it means genuinely adopting and practicing a philosophy that continually embraces the desire to clarify what is essential to us and inspires employees to uplift those values and norms in their everyday work life.^{lxxvi}

LESSONS APPLIED FROM DISNEY

Woods looks to other organizations and experts for inspiration, motivation, and guidance. A prime example of this is the investment Woods made in sending its Chief Culture Officer and other staff to the Disney Institute to learn Disney's approach to leadership excellence, employee engagement, and quality services. Disney's renowned parks and resorts serve as living laboratories through the Disney Institute. They enable professionals from industries and sectors worldwide to learn about Disney's business approaches through lessons taught by Disney leaders and first-hand observations in the field. These lessons and experiences were instructive, inspirational, and motivational for the Woods staff that participated and resulted in Woods' adaptation and application of some of Disney's business principles and insights.

While the breadth and depth of the information taught by the Disney Institute are wide and deep, Woods focused on the lessons germane to its needs at the time. Specifically, the Chief Culture Officer, with the support of the Woods Employee Culture and Community Committee (EC³), executive leadership team, and Board of Trustees, turned to Disney's insights and approaches regarding leadership, employee engagement, and quality service.

Leadership Excellence

Among its many leadership lessons, Disney reminds us that great leaders set an organization's strategy and drive momentum by intentionally aligning the entire organization with a clear, compelling vision and shared values. As part of its self-assessment in this area, Woods determined that its new vision, discussed in Chapter 1, meets several of Disney's criteria for creating a meaningful organizational vision. Specifically, it is an ambitious view of the future that creates a context for change without sacrificing core values. Disney teaches that an organization's core values are the fundamental beliefs that shape an organization's culture and the behaviors of people working in the organization. Organizational culture builds on these foundational blocks, influencing how people behave and manage the business. Woods took this opportunity to re-examine its values and, as a result, identified the following principles and associated behaviors as necessary to promote the culture it desires:

- **RESPECT:** We treat everyone with dignity, care, and consideration.
- **OWNERSHIP:** We accept responsibility.
- **TEAMWORK:** We work together toward common goals.

- **COURAGE:** We have the strength and conviction to stand up for what is right.
- **OPENNESS:** We encourage and accept feedback from everyone.
- **DIVERSITY:** We value and celebrate our differences.
- **INNOVATION:** We explore and implement cutting-edge practices.

Ethan Chen, a business transforming consultant, cautions that company values should be more than just stated; they must be practiced. He warns that if a company fails to live its values, employees and customers will question its hypocrisy. Moreover, employee morale and brand will get damaged.^{lxxvii} Patrick Lencioni, business management expert, and author, echoes these sentiments and cautions that “empty values create cynical and dispirited employees, alienate customers, and undermine credibility.”^{lxxviii} Taking this sage advice to heart, Woods communicates its core organizational values to all its employees and reinforces them as cultural norms in various ways. Ideally, interactions between staff and with clients, family members, and other stakeholders express these core values. These values also serve as a guide in making decisions regarding hiring, terminating, promoting, coaching, and recognizing employees. Woods uses its values to inform and guide its culture-shaping initiatives. The next chapter discusses some of these.

Employee Engagement

How Woods has endeavored to create an intentional organizational culture regarding employee engagement and development was discussed extensively in Chapter 4. Employee engagement is one of four focus areas of Woods’ Strategic Directions Plan. It has been addressed through various means including enhanced employee benefits, career paths, educational cohort programs, social innovation labs, and leadership development programs. There are several other culture-shaping initiatives that Woods’ embarked upon as part of its efforts to cultivate a workforce and culture that promotes, protects, and enhances desired results. These initiatives, which are discussed later in this chapter and Chapter 7, include: the development of the Three Keys to Unlocking Potential program; implementation of the Ukeru Method, an evidence-based trauma-informed crisis management program; and participation in a national cohort program designed to advance equity, diversity, and inclusion.

In addition to the great strides Woods has made in corporate culture and employee engagement, there are several insights from the Disney training experience that Woods intends to incorporate. These include the further development of culturally immersive employee selection and on-

boarding processes and additional employee recognition programs that reinforce desired behaviors.

Quality Service Standards

Quality standards make behavior expectations clear to employees. Disney ties its quality standards to its purpose, which helps everyone in the organization see how their work supports the organization's mission. Disney's Four Key Basics clearly define its quality standards and behavior guidelines. Each of these has associated service statements and corresponding behaviors. Woods adopted this construct in developing its Three Keys to Unlocking Potential program.

WOODS' THREE KEYS TO UNLOCKING POTENTIAL

Based on a self-assessment of its strengths and weaknesses, Woods developed an overarching organizational culture-shaping initiative based on the tenets of the Disney Institute's Chain of Excellence paradigm, branded internally as the Three Keys to Unlocking Potential. The program, developed with input from hundreds of Woods employee interviews and dozens of employee focus groups, was designed to create an intentional organizational culture by aligning Woods' mission, vision, and core values with a clear and consistent framework and common language concerning quality service standards for all employees. The three keys, Safety, Comfort, and Engagement, were introduced in the context of a new brand promise; *Support with Heart*. With a new logo in the shape of a heart, it exemplified Woods' purpose and core values. A presentation used to roll out the Three Keys to Unlocking Potential initiative is included in Appendix H.

The Safety Key

The Safety Key has three service statements, each with corresponding behaviors, so services are consistently delivered safely. The Safety Key encourages employees always to put safety first, to ensure their safety and of others, and to protect the emotional security of others.

- **I always put safety first.**
 - Ask, "is there a safer way?"
 - Focus on my job and be fully present.
- **I ensure the care and safety of others and myself.**
 - Identify, correct, and report concerns.
 - Think before reacting in high-stress moments.

- Practice self-care.
- **I protect the emotional safety of others.**
 - Be mindful of word choice and body language.
 - Consider how my actions affect the well-being of others.
 - Be trauma-informed.

The Comfort Key

The Comfort Key, which expands upon the notion of emotional safety that the Safety Key underscores, encourages employees to do their jobs with compassion and to make relationships matter. Woods deliberately chose the term 'comfort' to align the Three Keys to Unlocking Potential initiative with the Ukeru Method. It is a trauma-informed crisis management program that Woods adopted to intentionally shift away from a culture of control to a culture of comfort. In a concerted effort to create and sustain a safe and trauma-informed culture for those it serves and its workforce, Woods adopted the Ukeru Method. The restraint-free crisis management system was developed by and for behavioral health caregivers. The U.S. Substance Abuse and Mental Health Services Administration recognizes the method as a best practice in restraint reduction. Woods engaged the Grafton Integrated Health Network, the organization that developed the Ukeru Method, to provide training and technical assistance. Experts from the organization worked with Woods to assess its culture, develop an implementation plan, provide training, and review and revise policies and procedures. They then developed data collection and feedback systems while providing ongoing technical assistance and consultation. The foundation of the Ukeru Method is that all interventions be built on an approach of comfort versus control. The main components of the method are:

- Communicating verbally and nonverbally
- Managing and de-escalating conflict by converting or diverting aggression
- Building an environment focused on comfort versus control
- Recognizing the traumatic experiences of individuals who receive services for developmental, behavioral, and mental health needs

The Ukeru Method also includes a system of blocking equipment and techniques to protect staff and others during episodes of physical aggression to eliminate or minimize the need for physical restraint and seclusion. As a result of adopting the Ukeru Method, Woods experienced tremendous success in creating a more comforting, supportive, and safe environment for clients and staff alike. This success is reflected in a

reduction in restraints by 53.5% year over year in the first year of implementation and an additional 15% reduction year over year in the second year. Woods staff, residents, and students celebrate the Ukeru culture at Woods through various activities, challenges, and events, including Ukeru Day, a campus-wide Ukeru dance party, and an aerial photograph of clients and staff.

Sandy Bloom, the leading architect of the Sanctuary Model, also endorsed and validated the notion of caring organizational cultures, as mentioned in chapter 4. Bloom's theory perceives organizations as living organisms that are just as complex as the people they employ and serve. As such, they suffer from trauma due to unrelenting stress, loss, and system fragmentation and need to be nurtured just the same.^{lxxix} Bloom's Sanctuary Model highlights the negative impact of fear-based organizations and systems. The Comfort Key reinforces the tenets of the Ukeru Method and the Sanctuary Model. It has two service statements, each with corresponding behaviors, so services are consistently delivered with comfort. The Comfort Key encourages employees to always support with heart and make relationships matter.

- **I support with heart.**
 - Greet and welcome others
 - Be approachable, smile, and make eye contact
 - Keep conversations positive and professional
 - Value and respect others
 - Be courteous and respectful
- **I make relationships matter.**
 - Support a person in need while being mindful of safety
 - Take a sincere interest in the well-being of others
 - Show gratitude and appreciation
 - Be open to asking for and receiving help
 - Actively listen to others

The Engagement Key

The Engagement Key encourages employees to perform their jobs with courage, integrity, and ownership, to engage with everyone proactively, to work as a team and build partnerships, and to communicate effectively. The Engagement Key has four service statements, each with corresponding behaviors so services are consistently engaging. The Engagement Key encourages employees to perform their roles with courage, integrity, and ownership; to proactively engage with everyone; to work as a team member and build partnerships; and to communicate effectively.

- **I perform my role with courage, integrity and ownership.**
 - Take ownership and be accountable to self and others
 - Complete tasks with intentional detail
 - Be emotionally and physically present
 - Be curious and ask questions
- **I proactively engage with everyone.**
 - Look for opportunities to empower others
- **I work as a team member and build partnerships.**
 - Seek to understand rather than to judge
 - Recognize and appreciate successes
- **I communicate effectively.**
 - Share information in a timely manner
 - Respond promptly to requests
 - Seek information

The Three Keys to Unlocking Potential initiative is driving and unifying force for culture change at Woods. Training of the Three Keys occurs through facilitated workgroups over several weeks. They challenge staff to think about how to operationalize the keys and how they can personally help to influence the culture in their work areas. The keys are constantly reinforced through other forums, including the on-boarding of new employees, ongoing employee education and training, staff meetings, individual supervision meetings, and employee recognition through various forms of communication. The Woods Employee Culture and Community Committee (EC³) works to ensure that the tenets of the Three Keys to Unlocking Potential initiative are infused into the fabric of everyday life at Woods.

CULTIVATING A CULTURE OF CARE - LESSONS LEARNED

- Look to other industries and organizations for inspiration, motivation, and guidance.
- Great leaders set an organization's strategy and purposefully align the entire organization around its vision and values.
- An organization's vision should be aspirational and believable, creating a context for change.
- Organizational values define what is essential to an organization and influence how people behave.
- Quality standards clarify to all employees what behaviors are expected and valued.
- The more change initiatives are aligned with each other, the more sustainable they become.

Key Reflections for Discussion

- The Woods team realized they needed to look externally for an organizational culture model they could adopt and adapt. How does an organization make this decision? What are the decisional factors to consider when contemplating the characteristics of a desired culture? What process can ensure organizational values and beliefs support the desired culture? Quality standards are one tool to communicate acceptable and valued behaviors; what are other important tools?
- The concepts of shared values and shared beliefs are undergirded by a shared mental model or a unified way of processing information. These concepts promote collectiveness, cohesion, and the ability to move succinctly as a team. Still, they are challenging to achieve because people are complex and generally present with an established value system. How does an organization ensure that its hiring practices assess for this alignment? Furthermore, how would an organization hold existing employees accountable for upholding shared values and beliefs? How does an organization hold itself accountable for demonstrating its belief systems?

CHAPTER VII: BUILDING ORGANIZATIONAL CAPACITY FOR EQUITY, DIVERSITY, AND INCLUSION

“Our ability to reach unity in diversity will be the beauty and the test of our civilization.”

– Mahatma Gandhi, political and spiritual leader

THEORETICAL FRAMEWORK

According to Critical Race Theory, racism and inequitable racial outcomes stem from multifaceted, evolving, and elusive social and institutional constructs and structures designed to benefit white people and disenfranchise people of color rather than from prejudices and racist actions perpetrated by individuals.^{lxxx} Kendal Thomas, the co-editor of *Critical Race Theory: The Key Writings That Formed A Movement*, writes that “Critical Race Theory is an effort really to move beyond the focus on finding fault by impugning racist motives, racist bias, racist prejudice, racist animus and hatred to individuals, and looking at how racial inequality is embedded in structures in ways of which we are very often unaware.”^{lxxxi}

Corporate leadership roles and organizations in the social sector has historically excluded persons of color. Many corporations have begun to tackle systemic racism within the microcosm of their organizations using the tenets of Critical Race Theory to examine, challenge, and change their structures, cultures, policies, and practices.

CREATING AN EQUITABLE, DIVERSE, AND INCLUSIVE ORGANIZATION

Woods is fortunate to have an active and dedicated Board of Trustees comprised of individuals with diverse backgrounds, experiences, and expertise. One member of the Woods Board, former National Football League player Ron Davis, serves on 18 community Boards and has more than 15 years of professional experience in the area of Equity, Diversity, and Inclusion (EDI) in his capacity as the Director of Diversity and Community Development at Parx Casino. Ron encouraged and supported Woods to adopt best practices in this area, first by inviting Woods’ Vice President for Human Resources and Chief Culture Officer to attend The Conference Board’s diversity and inclusion conferences and later by becoming an active member of the Woods EDI Planning Committee. The Conference Board is a member-driven think tank delivering trusted insights and predictions for leaders to navigate the most significant issues impacting business and better serving society. The Conference Board’s diversity and inclusion conferences are among North America’s longest-

running and best-attended EDI events. They provide attendees with interactive sessions, in-depth case studies, and inspiring presentations by thought leaders on EDI topics. This includes aligning an EDI strategy to support the organization's business and culture; recognizing implicit biases in yourself, others, and the organization; best practices for engaging allies, and applying analytics to increase EDI effectiveness. These conferences introduced the Woods leadership to the EDI arena and inspired them to focus on EDI at Woods.

The principles of EDI align directly with the mission, vision, and values of Woods and its belief that people thrive when they are welcomed, respected, and included. As a corporate citizen committed to fair and inclusive social systems and workplaces and as part of its culture-shaping initiatives, Woods responded to a competitive request for proposals. The proposal was selected by the Alliance for Strong Families and Communities to participate in a national cohort program designed to build organizational capacity for EDI.

As shared in Chapter 2, the Alliance is a strategic action network of thousands of committed social sector leaders who, through their influence, are working to achieve a healthy and equitable society. They aggregate the best sector knowledge and serve as an incubator for learning and innovation to generate new solutions to the toughest problems. They accelerate change through dynamic leadership development and collective actions to ensure systems provide equal access to all in our nation to reach their potential through health and well-being, educational success, economic opportunity, and security improvements. The Alliance network envisions a healthy and equitable society that is just, fair and inclusive, enabling all people to participate and reach their full potential. Building on this vision, the Alliance, backed by grant funding from the American Express Foundation, created the Building Organizational Capacity for Equity, Diversity, and Inclusion cohort program. It was created to advance significant change for leaders, organizations, and the human services sector. 15 organizations and 30 leaders, including a senior leader and an emerging leader of color from each organization, were selected to participate in the EDI cohort. The cohort experience included:

- Lessons.
- Case studies.
- Study tours of best practices and promising organizations.
- Leadership development opportunities.
- The sharing and dissemination of success stories and lessons learned.

Participating organizations deepen their capacity to attract, develop, and retain leadership talent and advance the knowledge base in the sector and beyond. The cohort offers the Alliance network and sector:

- Organizational leaders, including emerging leaders of color, trained with a better understanding of themselves and the principles and practices of EDI;
- Organizations equipped with plans to strengthen their diversity, equity, and inclusion practices; and
- The creation of replicable models demonstrating organizational excellence in creating environments and cultures that attract, develop, and retain racially diverse leaders in human service organizations.

The Alliance believes that organizations do not achieve impact by accident but through dedication and rigorous attention to ambitious practices and values. To this end, it has identified the following 10 Commitments of High-Impact Nonprofit Organizations, which were also shared in Chapter 2 concerning strategy, to serve as a framework and pathway for impact:

- Leading with Vision
- Governing for the Future
- Executing Mission
- Partnering with Purpose
- Co-Creating with the Community
- Investing in Capacity
- Measuring that Matters
- Innovating with Enterprise
- Engaging All Voices
- Advancing Equity

As a strategy playbook for excellent, distinctive, and influential community-based human-serving organizations, each Commitment outlines research-based practices foundational to achieving lasting impact. Organizations that uphold the Commitments effectively focus on achieving immediate outcomes with lasting impact. Further, they do not consider their work only as programs and services. Instead, it is advancing change and supporting the vision for success defined by the individuals, families, and communities with whom they work. High-impact organizations make internal policy and culture changes that support and sustain improved well-being; strong, sustainable relationships; and community history and pride. As a condition of their participation, the organizations participating in the

EDI cohort agreed to a Commitment assessment that evaluates operational practices and the culture and values that distinguish human-serving organizations. The assessment results allow organizations to benchmark against peer organizations, prioritize areas of improvement, and seamlessly access related Alliance resources.

As a cohort participant, Woods learned about the principles and practices of EDI and is working to achieve a healthy and equitably workplace that promotes access, opportunity, and prosperity for all its employees. Woods is developing its competencies, practices, and policies to ensure equity, diversity, and inclusion. The Woods EDI Planning Committee includes diverse representatives from all levels of the organization, including the Board of Trustees. Its need emerged from an initial EDI planning process that drove the creation of a vision statement, a common understanding of key terminology, an organizational assessment, and the development of EDI strategic goals and objectives. Woods' EDI plan addresses building diverse talent pipelines while fostering an organizational culture to support the long-term sustainability of equity, diversity, and inclusion. Woods' initial EDI planning process and strategic objectives offer examples of how organizations can build capacity for equity, diversity, and inclusion while opening leadership pathways for everyone. The processes are included in Appendices I and J. All plans, including this one, are living documents that evolve as organizations develop and grow.

The Woods EDI Planning Committee, which calls itself Passionate about Creating Change (PACC), is comprised of representatives from across the organization. These include Board members, executives, senior and middle managers, supervisors, and direct service staff. The Committee initially met weekly and spent much time creating a safe learning and working environment for candid, honest, and courageous conversations. Recognizing that this work can be uncomfortable and complex, the group's first order of business was to generate the following commitments to create a space in which members can be their authentic selves, speak their truth, and feel safe in being vulnerable:

- Be present.
- Vegas Rules. What is said here stays here and what is learned here leaves here. Our work products are public, but our process is private.
- Take your hat off because titles don't matter here; in this forum, everyone has an equal voice as a member of the team.
- R-E-S-P-E-C-T.
- Be comfortable with the uncomfortable.

- These are courageous conversations; be brave and speak your truth.
- Remember WHY we are here.
- No bullshit.
- Feel free to ask why.
- Situations, not people, are discussed.

After establishing these rules of engagement and getting to know each other through several team-building exercises, the Committee members spent time developing a shared understanding of the terminologies and concepts about the work of EDI. Some of the discussion topics included the following:

- Equity
- Diversity
- Inclusion
- Culture
- Racism
- Implicit/unconscious bias
- White privilege
- Microaggression
- Sexism
- Identity
- Systems of oppression

Once the process of understanding these and other constructs pertaining to EDI's work was complete, the Committee shifted its attention to conducting an organizational assessment to inform and lay the groundwork for developing an action plan. In addition to a traditional strengths, weaknesses, opportunities, and threats (SWOT) analysis, the Committee used the 'Diversity, Equity and Inclusion Organizational Self-Assessment Tool' developed for the Diversity & Inclusion Charter of Peel.^{lxxxii} This tool helps assist all types of organizations, including private, public, nonprofit, government, and volunteer-driven, to address EDI issues regardless of their experience in doing so. As a result of its assessment processes, the Committee identified the following four areas for focus: 1) Human Resources; 2) Policies; 3) Education and Training; 4) and Organizational Culture.

In the area of human resources, the Committee set the goal of establishing a diverse workforce at all levels of the organization by ensuring equity and inclusion in recruitment, hiring, and professional

advancement policies and practices. The Committee identified four strategies for this goal:

- 1) Analyzing employee demographic data to identify employee applicants, hires, promotions, and disciplinary action trends;
- 2) Diversifying employee recruitment approaches to under-represented groups;
- 3) Promoting EDI via interviewing and hiring practices; and
- 4) Promoting the Woods Career Paths through an EDI perspective.

In the area of policies, the Committee set the goal of incorporating EDI objectives into the organization's policies by:

- 1) Developing an overarching EDI policy;
- 2) Conducting a comprehensive review of organizational policies from an EDI perspective; and
- 3) Engaging the Employee Council to identify effective and meaningful employee feedback mechanisms.

In education and training, the Committee set the goal of providing employees with opportunities to develop knowledge and skills to work effectively within a diverse environment. The Committee identified four strategies toward this goal:

- 1) Incorporating EDI content and curricula in as many employee training classes as possible;
- 2) Identifying and providing training courses that help to level the playing field for all employees, (e.g., technology for older adults and ESL);
- 3) Diversifying marketing of Woods' education cohort programs to under-represented groups; and
- 4) Providing the Board of Directors with information about EDI initiatives at Woods.

In the area of organizational culture, the Committee aimed to demonstrate a strong commitment to EDI by promoting a welcoming and inclusive work environment and incorporating EDI principles and perspectives in the training and rollout of the Three Keys to Unlocking Potential culture-shaping initiative. Several of the Committee's strategies align with the employee engagement and culture-shaping strategies discussed earlier, such as the educational cohorts, career paths, and the Three Keys to Unlocking Potential initiative. The more change initiatives are tied with one another, the more successful and sustainable they are.

After the executive team and Board approved the EDI Strategic Plan, the EDI Planning Committee formed subcommittees around each of the four focus areas. The subcommittees comprised Committee members and other interested staff responsible for implementing the strategies. The subcommittees are a way of expanding the Committee's circle of influence and driving the EDI action plan. The EDI Committee monitors its subcommittees' progress, successes, and challenges. Ron Davis, mentioned earlier as a member of Woods' Board, expresses his gratitude for being a part of these processes.

"I am forever grateful to be part of a Woods culture that respects and values people with differences. Fundamentally, Woods is a diverse community committed to helping and serving, and bringing their best work daily. Seeing their dynamic engagement and compassion come alive as we worked as a team to build the DEI program was a pleasure. I am forever humbled and grateful to be a small part of this effort. Woods family, I love you!"

EQUITY, DIVERISTY AND INCLUSION – LESSONS LEARNED

- Organizations that embrace the principles and practices of equity, diversity, and inclusion (EDI) create welcoming and dynamic cultures in which everyone benefits.
- Meaningful and sustainable EDI initiatives occur within the context. They are aligned with broader organizational development and cultural change initiatives.
- The first step in launching an EDI initiative in the workplace is education, which outside organizations and subject matter experts can support.
- Organizations can build capacity for EDI by providing opportunities and safe spaces for employees to engage in courageous conversations about EDI, developing a shared understanding of the issues and terminologies pertaining to EDI, conducting an organizational EDI assessment, developing EDI goals and objectives, implementing action steps, and monitoring progress.

Key Reflections for Discussion

- The Woods team sought external help in building its capacity for EDI. What resources may an organization consider as it aims to critically assess itself and make changes from a Critical Race Theory perspective? Racial inequality is embedded in social and institutional structures and constructs of which we are often unaware. What are some ways an organization may raise awareness of how its structures, culture, policies, and practices result in inequitable racial outcomes? Woods developed an EDI Plan focused on human resources, policies, education and training, and organizational culture. What other areas may an organization choose to concentrate its EDI efforts on?
- EDI work can be uncomfortable and difficult. Woods invested much time and resources in preparing its EDI initiatives and created safe spaces for EDI topics to be raised, explored, and addressed. What are some obstacles an organization may anticipate in launching its = EDI initiatives and how might it plan for these potential barriers?

CHAPTER VIII: MISSION-DRIVEN GROWTH, PROGRAM IMPROVEMENT & PARTNERSHIPS

“In this world you’re either growing or you’re dying, so get in motion and grow.”

- Lou Holtz, former American football player, coach, and game analyst

THEORETICAL FRAMEWORK

The Greiner Business Growth Model offers a theoretical framework that identifies the phases of growth that businesses generally experience and the accompanying crises that are generally present during each step.^{lxxxiii} Larry Greiner first proposed five phases in 1972. The growth curve originally concluded with the fifth phase, Growth Through Collaboration, in which the phase ends with a crisis of internal growth. Further growth is only possible via partnerships with other organizations. In 1988 Greiner added a sixth phase, Growth Through Extra-Organizational Solutions, in which growth may continue through mergers, outsourcing, networks, and affiliations with other organizations.^{lxxxiv}

MISSION-DRIVEN GROWTH AND PROGRAM IMPROVEMENT

Fundamental changes in the intellectual disabilities and healthcare sector, including shifts in ideology, service delivery, regulations, and funding, require partnerships and innovative business models. These enable organizations to respond to market demands. There is a general view that in the next decade, only a fraction of current nonprofit intellectual and developmental disabilities and behavioral health service organizations will remain in business. This is because many will become insolvent or absorbed into larger organizations following the trend of hospital systems. Government entities and payers are looking to large organizations to organize the market through partnerships, joint ventures, mergers, and acquisitions. One study reports that under current funding schemes, the expenses of approximately one-third of all intellectual and developmental disability service providers in Pennsylvania exceeded yearly revenues over a five-year period.^{lxxxv} The same study reports that the average operating margin among these service providers is 1.5%, which is far below the 3-5% standard generally used as an indicator of financial health in the nonprofit sector.^{lxxxvi} Woods adopted a growth approach similar to hospital systems by expanding its market share and enhancing its services through affiliations with other organizations.

This chapter focuses on Woods’ growth and program improvement initiatives in the context of its affiliations because it achieved many of its

transformational objectives by leveraging its partnerships with its affiliate organizations. The Woods affiliate organizations were instrumental in Woods' transformation, expanding and enhancing Woods' continuum of care via their programs and services and, just as importantly, in terms of their experience and expertise, which were leveraged to support organic growth and program improvement. Woods' affiliate partners supported many of its transformation initiatives regarding growth and program improvement.

Woods' inorganic growth strategy was born out of its challenges and the opportunities it believes affiliations afford. The challenges included environmental threats, declining census, shorter lengths of stay, reduced funding, and fixed overhead costs. As discussed earlier, Woods faced several existential threats due to the industry trend and paradigm shift from congregate, place-based care to integrated, community-based services. Several referral sources from multiple states stopped making referrals to Woods due to policy and funding changes. In addition to prohibiting new admissions, some state agencies initiated aggressive campaigns to return individuals served by Woods to their states of origin. For example, concerted efforts by New Jersey state agencies to return all residents to the Garden State threatened to reduce Woods' census by 33%. Shorter stays and reduced reimbursement rates resulting from managed care compounded these challenges.

In response to the declining census ensuing from the irrefutable shift to local and community-based services and supports, Woods adopted a growth strategy via mergers and acquisitions. Between 2012 and 2015, Woods expanded the scope and scale of its community-based services due to three acquisitions of community-based organizations. The new leadership team continued this inorganic strategy to expand the organization's impact and increase its capacity to innovate, develop a care continuum, and enhance the quality and outcomes of its services. The Mission-Driven Growth and Program Improvement section of the Woods 2017-2020 Strategic Directions Plan is grounded in the organization's underlying belief that there is always room for improvement and individuals and their families deserve access to comprehensive and coordinated systems of care throughout the stages of their lives. Toward this end, Woods cultivated its continuum of care, client base, and resources through inorganic and organic growth strategies. Under the new leadership structure, a Strategic Opportunities Committee of the Board was established to identify and vet business opportunities. Since its establishment, Woods and its affiliates have acquired several more organizations in addition to organically developing new programs and expanding existing ones. As a result of these growth initiatives, Woods increased its client base from under 2,000 to over 22,000 individuals. Woods serves 98% of these people in community-based settings, and has

more than doubled its consolidated revenues. As one of the country's largest nonprofit intellectual and developmental disabilities service organizations today, Woods has achieved long-term financial security and is able to enhance the impact of its mission and presence in the marketplace by attracting excellent partners who share its vision for the future.

Since Woods adopted its inorganic growth strategy, more and more nonprofit health and human service organizations are considering consolidation and partnerships as successful strategies. Affiliations provide organizations with opportunities to broaden their continuum of services. Moreover, they can expand their geographical reach, diversify their revenue streams, and develop new program models. These models can be consumer-driven, accessible, affordable and high quality. The results and impact of Woods' affiliation with strategic partners have been significant and transformative; the case studies at the end of this chapter describe them.

THE BENEFITS OF AFFILIATION

In Woods' experience, when organizations with compatible missions join forces, the impact is always more significant than the sum of the entities. Synergy is created by bringing like-minded organizations together. The collective knowledge, experiences, and talent pool grows exponentially with each new partnership. Affiliations have enabled Woods to scale programs more rapidly and successfully because of the shared expertise and resources available throughout its network of organizations. Additionally, the benefits of affiliation positively impact organizational workforce issues, financial health, and strategic positioning. In regard to workforce issues, Woods and its affiliate organizations are more effective in retaining high performers and valued employees who might otherwise leave the organizations to pursue professional opportunities elsewhere. The opportunities for professional advancement are higher within an integrated enterprise comprised of several organizations. In addition to helping to retain excellent employees, affiliations also help to attract talent because people want to work for growing and dynamic organizations that offer opportunities for advancement. Regarding financial health, Woods and its affiliate partners are individually and collectively stronger financially because of their partnerships. Each affiliation has enhanced individual and consolidated profit and loss statements and balance sheets. This is attributed in part to shared expertise, collaborative initiatives, shared infrastructure, and access to new sources of funding and markets.

Woods and its affiliates are positioned to grow given the the impact of affiliation, which includes but is not limited to the following:

- Strengthened compatible missions;
- Enhanced peer group and talent pool;

- Access to a network of strategic thinkers;
- Enhanced financial stability and economies of scale;
- Strengthened programmatic and infrastructure capacity;
- New opportunities for career advancement for staff;
- Enhanced network of partners, clients, and funders;
- Access to new sources of philanthropic and public funding;
- Enhanced ability to secure larger private/public contracts; and
- Ability to accelerate the growth of existing programs and entry into new markets.

THE WOODS AFFILIATE PARTNERSHIP

How Woods structures its affiliations is just one of the many merger and acquisition options available to nonprofit organizations. There is no one right way for organizations to partner. Nonetheless, this affiliation model has served Woods and its affiliates very well. Under this arrangement, the affiliate organization is structured as a nonprofit membership corporation with Woods as the Sole Member. The affiliate partner retains its own corporate identity, 501(c)(3) status, and Federal Tax ID number. The affiliate organization has its own Board of Directors that retains fiduciary responsibilities, and existing Board members continue to serve on the organization's Board. The Woods Board maintains a majority of seats or votes on the affiliate Boards. It has certain Reserved Powers which require its approval, such as incurring a certain level of debt. Existing affiliate employees are retained while program sites and services remain the same. Woods makes financial investments in the affiliate organization at the time of the affiliation transaction, which is relatively rare in nonprofit transactions. These funds are used for business development purposes to help affiliate partners grow and innovate. Organizations can affiliate directly with Woods or an existing affiliate partner, depending on their mission, size, and program alignment.

THE AFFILIATION PROCESS

Woods' process to affiliate with other organizations is simplified here in six steps using the analogy of a marriage. This is an oversimplification of a process that is often very extensive and intensive, involving a significant commitment of time, energy, and resources from both organizations. It is explained in the context of a relationship below with negotiations being the dating phase, and a legal agreement being the marriage.

Step 1: Once a potential partner is identified, the first step in the process is determining whether or not there is a strategic and cultural fit. Some organizations refer to this as the ‘dating phase’.

Step 2: Once a decision is made to become engaged, they negotiate the terms of the ‘marriage’, and they a non-binding Letter of Intent. Both parties agree to be exclusive at this point and ‘not to date others’.

Step 3: The due diligence process generally takes about 90 days, depending upon the organization’s size. During this stage, both parties dive deeply to ensure there are no deal breakers. The Due Diligence Checklist that Woods uses is included in Appendix J and covers the following areas:

- Corporate documents and contracts
- Real and personal property
- Programs and services
- Litigation
- Regulatory matters/compliance
- Personnel policies, contracts, compensation and benefits, retirement plans
- Environmental issues
- Financial matters
- Insurance and risk management
- Information technology

Step 4: Once due diligence is completed, both organizations' boards approve the final terms of the affiliation.

Step 5: There may be additional approvals required by government, licensing, and funding entities.

Step 6: Binding legal documents are agreed upon and signed, and the ‘marriage’ is ‘consummated’.

Woods expanded its mission, reach, and impact by affiliating and partnering with like-minded and mission-aligned organizations. These included Brian’s House and Tabor Children’s Services in Pennsylvania and Allies, Archway Programs, and Legacy Treatment Services in New Jersey. The following case studies illustrate each affiliation’s strategic reasons and benefits, which directly align with Woods’ Strategic Directions and Transformation Plans. The effects of Woods’ affiliations have far exceeded its expectations, resulting in a stronger balance sheet, immediate growth and diversification of its programs and revenue streams, tactical accomplishments, and, most importantly, an enhanced continuum of care and improved services. Woods enhanced its capability, proficiency, and

knowledge through its inorganic growth strategy. This includes expertise in social enterprises from Allies, behavioral health services from Legacy Treatment Services, child welfare services from Tabor Children's Services, special education from Archway Programs, and community housing from Allies and Brian's House. Woods' growth strategy also resulted in a monumental shift in its primary locus of care from congregate, campus-based settings to integrated, community-based settings. Before 2012, 25% of Woods' services were delivered in community settings. As a result of its affiliations, 98% of the 22,000 individuals served by Woods receive services in community settings. Other examples and outcomes are discussed in the following case studies.

Woods is one of the nation's largest and well-capitalized nonprofit intellectual and developmental disabilities service organizations. It achieved long-term financial security and enhanced its mission's impact, market presence, and financial strength by attracting excellent partners who share its vision for the future, its culture, and core values. Woods continues to seek partners in Pennsylvania, New Jersey, and New York. The following case studies illustrate Woods and its affiliates leveraging each other's experiences and expertise in mutually beneficial ways. Readers are referred to *Partnerships for Health and Human Service Nonprofits: From Collaboration to Mergers*^{lxxxvii} for comprehensive information and guidance about identifying the right partnership strategy, joint ventures in the social sector, merger myths, and merger case studies.

THE WOODS AND ALLIES AFFILIATION

In response to the declining census and the irrefutable trend toward community-based services, Woods adopted an inorganic growth strategy starting in 2011 via the acquisition of community-based service providers. At this time, Woods was serving approximately 700 individuals, most of them in congregate, campus-based settings, and more than 65% were from other states. The industry trend and paradigm shift from place-based to community-based services and supports, in addition to concerted efforts by several states to return individuals from out-of-state placements, had resulted in a steady and significant decline in Woods' census. Not only did one of Woods' largest referral and funding sources, the New Jersey Department of Human Services Division of Developmental Disabilities, not make a single referral in several years, it also embarked upon an aggressive campaign to return all of its out-of-state citizens to New Jersey. In addition to disrupting the lives of individuals who called Woods home and their families who relied on Woods' particular expertise, the Return Home New Jersey initiative threatened to reduce Woods' census and funding significantly. In 2012, about one-third of the individuals Woods

served were from New Jersey. Woods received over 50% of New Jersey's state appropriation for Private Institutional Care.

There were multiple strategic reasons for affiliating with a service provider in New Jersey. Not the least of these was developing ways to maintain relationships with Woods residents and their families as they returned to New Jersey and the state's referral and funding sources. Moreover, the New Jersey Division of Developmental Disabilities and the Department of Children and Families strongly encouraged Woods to develop programs in New Jersey. Several indicators demonstrated the service needs and business opportunities in New Jersey. In 2012, there were 8,100 individuals on a waiting list for intellectual and developmental disabilities services and support, more than half of whom had priority status. Furthermore, the New Jersey Division of Development Disabilities committed to moving at least 200 individuals from State Developmental Centers to community-based settings in the next year and requested \$40 million from the state legislature to expand community-based services. A comprehensive Medicaid Waiver awaiting approval promised additional funding for state-wide intellectual and developmental disabilities services and support through federal Medicaid matches.

An affiliation with an established service provider, Allies New Jersey, Inc. (Allies), provided Woods with rapid entry into New Jersey. Incorporated in 1999, Allies provided residential, day, and employment services to 250 adults with intellectual and development disabilities in 16 out of 21 counties in New Jersey. Allies' geographic reach in New Jersey enabled Woods to establish an immediate and expansive footprint in the state. Allies' compatible mission, excellent reputation, and strong relationships with state stakeholders provided Woods with a platform for expanding and diversifying services and funding sources. Because Allies is one New Jersey's largest providers of residential services for individuals with intellectual and developmental disabilities, Woods could leverage its expertise, experience, and relationships to launch its own community-based homes. These offered short-term intensive treatment homes and psychiatric services tailored to meet the special needs of individuals with intellectual and developmental disabilities, co-occurring behavioral health challenges, and complex medical conditions in New Jersey.

Shortly after the affiliation, Allies leveraged Wood's experience and expertise in serving children and adolescents to expand its continuum of care and include residential treatment services for children and adolescents. Using Wood's affiliation model and financial investment in the organization, Allies acquired two of its own affiliates. Through a combination of inorganic and organic growth, Allies is now nearly twice its size since its affiliation with Woods, with programs in almost every county in New Jersey.

Regarding program improvement initiatives, Allies has been instrumental in helping Woods and other affiliates address the astounding unemployment rate for persons with intellectual and other disabilities by developing, operating, and growing social enterprises. Woods and its affiliates are a proponent of the social enterprise model as one of many innovative ways to combat the unemployment rate among individuals with disabilities. Allies has been operating highly successful social enterprises for many years and assisted Woods and its affiliates in developing and expanding several of the social enterprises discussed in the previous chapter. These include Yellow Daffodil Flower and Gift Shop, Blue Violet Flower Shop, Common Grounds Café, Woods Wear, BeechTree Bath Products, Artists out of Woods, and the Common Market. Together these social enterprises provide opportunities, resources, and support that enable hundreds of individuals with disabilities to develop work skills and obtain competitive and integrated employment.

THE WOODS AND LEGACY TREATMENT SERVICES AFFILIATION

Woods is committed to ensuring that those it serves have access to the life-long services they need through a comprehensive continuum of care and a multi-state network of aligned service providers. Woods' 2017-2020 Strategic Directions Plan and its Transformation Plan recognized the need for high-quality behavioral health services as part of the Woods population health continuum of care. The alignment and integration of specialized primary and behavioral healthcare would make Woods one of the first and leading population health management organizations for children and adults with intellectual and developmental disabilities, medical complexities, and behavioral challenges. To this end, Woods sought to partner with a behavioral health organization to serve as the behavioral healthcare platform of its broader population health strategy. For this, Woods affiliated with Legacy Treatment Services, Inc. (Legacy), one of the largest providers of behavioral health services to children, adolescents, and families in New Jersey.

Headquartered in Hainesport, New Jersey, Legacy is a nonprofit human service agency dedicated to improving the lives of children, adults, and families struggling with emotional, behavioral, and developmental challenges. Legacy was established in 2014 as the result of a merger between The Children's Home and The Drenk Center, and later with Community Treatment Solutions, which together have more than 250 years of experience. The Children's Home was established in 1864 as an orphanage for children. The agency began providing therapeutic treatment in residential settings in 1937. The Drenk Center, founded in 1954 by Judge Lester A. Drenk, began as a counseling program for juveniles and

their families. Since 1954, The Drenk Center has steadily expanded its services to meet community needs in outpatient settings. Community Treatment Services (CTS) was created in 1990 as a community-based alternative to residential placement for children and youth with complex needs. The agency expanded its services over time to meet the multi-faceted needs of children, youth, and families.

Each of these organizations was an expert and preferred provider for its services. Every agency was known for its innovation, responsiveness to the communities it served, and willingness to do whatever it took to provide top-tier care. These three organizations came together to form Legacy, which is committed to meeting the increasingly complex needs of vulnerable children, adults, and families. Legacy provides services in 14 of 21 counties in New Jersey, including Prevention Services; Crisis Intervention Services; Outpatient Behavioral Health Services; Addiction Services; Out-of-Home Care and Family Reunification Services; Housing and Residential Services; Education Services; Youth Detention Alternatives; and Intellectual and Developmental Disabilities Services.

Legacy's comprehensive continuum of behavioral health services, stellar reputation, and significant market share aligned exceptionally well with Woods' strategic and transformational initiatives. The potential for horizontal and vertical integration between Legacy programs and those of Woods and its other affiliate organizations is very promising. Before and upon affiliation, Woods leveraged Legacy's expertise to develop and implement new clinical models, treatment approaches, and programs to better meet the various behavioral health needs of the children and adolescents served by Woods.

With Legacy's expert consultation and technical assistance, Woods transformed its behavioral health program's leadership, staffing credentials and ratios, and treatment interventions. A new program leadership structure, including creating a Vice President of Clinical Services position and additional Clinical Director positions, was established to implement and sustain the new clinical programs. The Vice President of Clinical Services is a member of the executive leadership team and is responsible for overseeing clinical services, coordinating staff training, ensuring the implementation of evidence-based approaches and practices, and developing consistent policies, processes, and documentation across all clinical programs. By enhancing the composition of service teams, a core service team model was established. These included, as appropriate, board-certified behavior analysts (BCBA), family-based therapists, registered behavior technicians (RBT), community integration specialists, allied therapies, direct support professionals, and program managers. Additionally, the number of clinicians working with individuals was doubled and the average clinician-to-client ratio was reduced from over 20 individuals per clinician to an average of 8 per clinician. Four new clinical

models were designed using evidence-based, outcome-driven interventions and treatment-based assessments. These helped meet the special behavioral needs of the children and adolescents served by Woods. Behavioral health programs were designed specifically for individuals:

- 1) with a primary diagnosis of autism spectrum disorder;
- 2) with histories of trauma and significant adverse childhood experiences;
- 3) with challenging behaviors related to psychiatric diagnoses; and
- 4) who have achieved and maintain stability and continue to benefit from the supports of a therapeutic residential treatment program.

These programmatic initiatives resulted in positive outcomes, including significant reductions in critical incidents, elopements, and severe physical aggression.

Woods also leveraged Legacy's expertise as an organization accredited by the Council on Accreditation (COA). This international, independent nonprofit organization accredits human and social service providers. With Legacy's assistance, Woods conducted a self-assessment and adopted policies, procedures, and practices to conform to COA's internationally recognized best practices and standards. Upon a rigorous and independent review by COA surveyors, Woods achieved COA accreditation in April 2020.

In addition to strengthening the compatible missions of Woods and Legacy, affiliations between the two enhanced the infrastructure capacities of both organizations. For example, Woods adopted Legacy's Electronic Health Record, and Legacy adopted the general ledger system used by Woods and its other affiliates. Woods' strategic direction and transformational objectives regarding shared infrastructures are discussed in the next chapter. The Woods and Legacy affiliation enhanced each organization's network of strategic thinkers with their eyes on the future. It has resulted in both organizations' service enhancements, growth, program effectiveness, and operational efficiencies.

THE WOODS AND ARCHWAY PROGRAMS AFFILIATION

Archway Programs (Archway) affiliated with Woods in 2013. Headquartered in Atco, New Jersey, with several locations in Southern New Jersey, Archway serves 1,600 children, adolescents, and adults with intellectual and developmental disabilities and behavioral health diagnoses. Its services include early intervention services for infants and toddlers; intensive in-home services for youth with autism; special education; before

and after school programs; vocational support, community housing and supports; and partial care programs. Despite its financial challenges at the time, an affiliation with Archway aligned very well with Woods' desire to enhance and grow its school programs. Woods worked with Archway to quickly and successfully resolve its financial challenges and position the organization for growth. In addition to expanding its established programs, Archway laid the groundwork for significant organic growth by obtaining approval from the New Jersey Department of Education to operate private special education classrooms in public schools. Woods' 2017-2020 Strategic Directions Plan and Transformation Plan looked to Archway to help develop and implement a replicable school model and re-establish Woods as a leader in the field of special education. They established cohesive leadership and operating structures for Woods' education programs to implement and sustain transformational changes and strategic objectives. These included creating a Superintendent of Schools, an Educational Operations Officer, Principals for each school, a Director of Pupil Services, and Instructional Supervisors. Woods appointed Archway's School Administrator to the role of Woods' Education Operations Officer. Interdisciplinary committees were established to enhance therapeutic support; classroom instruction; the use of technology; the professional development of teachers, aides, and support staff; and transitional and vocational programs for students ages 14-21.

Several nationally recognized evidence-based practices were successfully implemented, including the School-Wide Positive Behaviors and Interventions Supports Program. The Pennsylvania Positive Support Network recognized Woods' schools for implementing the program with high fidelity, as most students had only one or fewer major behavioral incidents since implementation.

Two evidence-based curricula for special education students, Corrective Reading and Reading Mastery, were adopted. 77% and 75% of Woods students improved their reading and math skills, respectively. They secured grant funds to support transformation-related activities like the School Wide Positive Behaviors and Intervention Support Program, curricular materials and equipment, the professional development of teachers and staff, and vocational programming. The education program enhanced its transitional and vocational programs through a contractual arrangement with the Pennsylvania Office of Vocational Rehabilitation and by expanding vocational programming and employment opportunities in the community through a grant awarded by the Pennsylvania Department of Education. These and other strategic and transformational initiatives resulted in enhanced educational programs and services improved programmatic and student outcomes, and program growth. In January 2020, the Woods schools placed first in the Social Innovations Journal Annual Awards Ceremony in the social justice category in recognition of

the program's transformation, including its implementation of the School-Wide Positive Behavior Supports approach and increased academic achievement. Woods Schools Fellowship launched Teach with Heart as a strategy for recruiting and retaining teachers. The fellowship provides teachers with loan forgiveness in exchange for service at Woods Schools. These programs enable Woods to maintain a thriving education program despite a nationwide shortage of teachers. Through its relationship with La Salle University and other universities and colleges, Woods is positioned to recast its school programs as demonstration schools. These operate with universities, colleges, and other teacher education institutions to train future teachers, conduct research, and promote professional development.

THE WOODS AND TABOR CHILDREN'S SERVICES AFFILIATION

Founded in 1907 as an orphanage, Tabor Children's Services (Tabor) has a rich history of serving children and families in need. It currently operates as a community-based organization, providing a comprehensive range of programs and services that ensure children, youth and families are safe and secure in their homes and communities. In addition to Foster Care, Treatment Foster Care, Special Needs Adoption, In-home Protective Services, Intensive Family Support, Family Reunification, Supervised Independent Living, and Youth Mentoring programs, Tabor provides child welfare services for two police districts in Northwest Philadelphia through a contract with the Philadelphia Department of Human Services. Tabor offers programs for abused and neglected children and young adults who are 'aging out' of the child welfare system. The organization serves approximately 700 children, adolescents, and families at risk annually throughout Bucks County, Philadelphia, and the Lehigh Valley in Pennsylvania.

Woods became affiliated with Tabor in 2014 for several reasons. Programmatically, Tabor's compatible mission and programs presented Woods with opportunities to broaden its continuum of care and social impact for children at risk and their families. Tabor's locations, particularly in Philadelphia, presented opportunities to expand Woods' service area. Financially, an affiliation with Tabor gave Woods opportunities to diversify its revenue streams and improve its balance sheet. For example, the affiliation with Tabor resulted in an immediate increase in Woods' consolidated new assets by more than 14 million dollars. Strategically, collaboration with Tabor provided Woods with an entrée into the child welfare systems in Buck County, Montgomery County, and Philadelphia City, Pennsylvania. This is significant because more than one-third of referrals to Woods are made through child welfare systems.

Tabor benefitted from its affiliation with Woods, particularly regarding Woods' business and financial acumen. Before its affiliation with Woods, Tabor subsidized operating losses year after year by dipping into its reserves and endowment, which were steadily eroding. Woods worked with Tabor's leadership and Board to assess their projects' financial viability and take needed action to achieve financial stability, including closing insolvent programs and selling land. Within two years of its affiliation with Woods, Tabor's programs achieved financial stability after many years of significant losses.

THE WOODS AND BRIAN'S HOUSE AFFILIATION

Brian's House, Inc. (Brian's House) has been an affiliate of Woods for more than two decades. With locations in Bucks, Chester, Montgomery, and Philadelphia Counties in Pennsylvania, Brian's House serves more than 200 adults with intellectual and developmental disabilities through several programs, including Community Housing and Supports, Day Habilitation, Vocational Training, and Supported Employment.

Guided by its Strategic Directions and Transformation Plans, the Woods leadership team leveraged Brian's House's experience to grow and enhance its community residential programs in Pennsylvania. In 2019, Brian's House functionally merged into Woods. The Executive Director of Brian's House was appointed Vice President of Community Housing at Woods, Pennsylvania. The role's mandate was to consolidate, grow, and enhance the Brian's House and Woods community residential programs. Until this time, these were operated and managed separately by Brian's House and Woods. To solidify and promote its new role in the Woods system of care, Brian's House was rebranded as Woods Community at Brian's House. As a result of these changes, Brian's House significantly increased its service capacity. It continues to grow as Woods invests in community housing and programming for young adults transitioning from the children's care system and adults in need of services. The rate at which this organic growth occurred is largely attributed to the new integrated program and organizational structures designed and implemented to facilitate collaboration and coordination between Brian's House and Woods. For example, in her new role as Vice President of Community Housing at Woods, Pennsylvania, Brian's House Chief Executive Officer works closely with the Woods Senior Vice President of External Business Development. They cultivate a coordinated continuum of services that ensures Pennsylvania residents graduating from Woods schools and residential treatment programs continue to receive services from Woods community residential programs as adults if they choose. Since this time, Woods Community at Brian's House has developed homes close to the Woods schools so that graduates may experience a smooth transition to the

adult system of care and into the community. The proximity of these homes to Woods allows for continued access to primary healthcare through the Woods Medical Center and specialized behavioral support through Woods clinical programs. The proximity also enables graduates to engage in adult programs offered by Woods, including vocational and employment services and supports. This is important to the individuals served and their families; 73% of Pennsylvania residents graduating from Woods schools choose to move into homes operated by Woods Community at Brian's House.

STAKEHOLDER PERSPECTIVES IN THEIR OWN WORDS

Roy Leitstein, Legacy Treatment Services Chief Executive Officer

As a sound and mission-driven organization dating back to 1864, Legacy Treatment Services (Legacy) was exceptionally thoughtful about its affiliation with Woods Services. Legacy's Board of Trustees and executives sought several essential characteristics in a viable partner. While experts could debate the importance of these characteristics, one attribute, above all others, was considered paramount—a culture of evolution. As cited in the prevailing literature pertaining to business management and organizational change, successful organizations require a culture of evolution. Legacy started as an orphanage for children who were made parentless during the Civil War. Over time it evolved into a behavioral healthcare organization. It was looking to affiliate with an organization that embraces organizational change and understands the importance of organizational evolution.

Woods is led by an exceptionally dynamic leader, Tine Hansen-Turton. She presented Woods to the Legacy Board of Trustees and executives as an organization determined to evolve into a comprehensive healthcare organization while paying homage to its past. Much can be said of the challenges pertaining organizational change, but the process of organizational evolution is nothing short of meticulous. If organizational change is hiking the Appalachian Trail, organizational evolution is reaching the summit of Mt. Everest.

One of the most evident challenges for Tine and her team was getting Woods stakeholders to understand that evolution was necessary. Woods was a historically successful organization and well respected in its industry. Yet, the organization's leadership recognized the need to challenge the status quo and to develop best-in-class services, including therapeutic treatments. The need to enhance its services and strengthen its operations was a mantra among Tine and her team, which was genuinely open to learning about Legacy's services and how it operated. Organizational osmosis between the two organizations was alive and well during this collaborative process. The thirst for knowledge was palpable,

the team spent many hours discussing how best to implement and communicate change. Furthermore, passionate members crushed the notion of abandoning any effort or failing to execute changes before they could take root and grow. This cannot be understated. Wood's leadership made it clear that the organization would change for the better for a myriad of reasons.

One of the most essential behaviors displayed by the Woods and Legacy team members during the affiliation and evolutionary process was a suspension of ego. Placing behavioral healthcare and social services leaders in a room and tasking them with organizational evolution is one heck of a social experiment. Chaos and utopia are both plausible outcomes, with the first being the more likely result. While utopia was not feasible, the leaders of both organizations suspended their egos and judgments, coming together to find ways to enhance how they operated.

The affiliation between Legacy Treatment Services and Woods was attained by letting go of egos, embracing a desire for evolution, and sharing a passion for helping those that need it the most.

MISSION DRIVEN GROWTH AND PROGRAM IMPROVEMENT – LESSONS LEARNED

- Nonprofits are in the mission business. Merger and acquisition decisions should be driven by mission alignment, cultural fit, and strategic intent. Avoid the temptation to grow just for the sake of growing. Being big is not necessarily a strategy unless you are building a market share.
- As a general rule, the Board Chairs and the Boards have to support a merger and acquisition strategy for it to succeed. Keep the Board informed and involved throughout the process.
- It is critical to cultivate trust at the CEO, Board, and senior management-levels throughout the merger and acquisition process.
- Both parties must be clear and transparent about their reasons and motivation for affiliating. This minimizes the risk of unrealistic expectations and disappointments later.
- Explore all partnership strategies, not just mergers and acquisitions.
- The process usually requires more time and money than expected.
- A lack of knowledge about how to approach, plan and implement mergers and acquisitions is one of the top reasons they fail. Use outside experts, including M&A facilitators, brokers, attorneys, accountants, and others.
- Time is of the essence. Be focused and diligent once the process starts. Deals are less likely to happen if the process is drawn out.

- One of the myths about mergers and acquisitions in the social sector is that acquired organizations are always in financial trouble. Unfortunately, many struggling nonprofits tend to hold on longer than they should. By the time they are ready to consider affiliations, it may be too late to salvage their programs. Alternatively, many successful nonprofit organizations are taking a page from the for-profit sector playbook and using M&A as an effective and powerful tool to achieve their goals, advance their missions, and increase their impact.

Key Reflections for Discussion

- In the sixth and final stage of Greiner's Business Growth Model, Growth Through Alliances, organizations solve their challenges and grow by partnering with complementary organizations. Expansion at this stage generally creates an identity crisis in which the organization must refocus on its vision, mission, and strategy. What are some of the key leadership skills needed for an organization to progress at this stage? How can organizations prepare for growth through alliances?
- Woods achieved many mission-driven growth and program improvement initiatives by affiliating with organizations aligned with its strategic goals and operational objectives. How can organizations identify and pursue ideal alliances?

CHAPTER IX: INFRASTRUCTURE AND ENTERPRISE SHARED SERVICES

“There are two levels of synergy: there are operating synergies, which, you know, you’d have to be stupid not to try to take advantage of, and then there are strategic synergies. In other words, in what positions would you be more sustainable, more long term, and so on.”

- John C. Malone, American billionaire businessman, landowner and philanthropist

THEORETICAL FRAMEWORK

To underscore the importance of organizational synchrony, Peter Senge, a leading scholar in systems thinking and organizational learning, highlights the importance of leaders who can see the organization as one whole system to keep all of its parts moving in unison.^{lxxxviii} This is especially important in large complex systems like Woods, where many moving parts and adaptability and flexibility are often required. In systems thinking, it is critical to recognize that any shift will impact other structures within the organization and that predetermining as many corresponding impacts will help leaders avoid unwanted consequences and result in a more well-informed planning process.

INFRASTRUCTURE INVESTMENTS

Guided by its strategic directions and transformation plans, Woods developed a robust system of care through and across its affiliates in New Jersey and Pennsylvania. It has become a sizeable nonprofit population health network and advocacy organization providing innovative, comprehensive, and integrated medical, allied and behavioral healthcare, education, housing, workforce, and care management services for children and adults with intellectual disabilities and complex medical, genetic, and behavioral health challenges. However, despite tremendous progress in achieving its strategic and transformational goals, Woods faced growth and diversification plan execution challenges. This was due to historical under-investment in the organization’s infrastructure. The Woods leadership and Board of Trustees recognize that its management structure, information systems, and business processes must be robust, flexible, and efficient. This will help effectively manage the organization’s growing services and scale complexity. As a result of its 2017-2020 Strategic Direction Plan and Transformation Plans, Woods invested in infrastructure by cultivating its talent pool, improving its information technology and systems, and enhancing its operations. For this, they used funds made available through its operations, the Woods Foundation, individual and corporate giving,

grants, and other sources. Having made these investments, the Woods network is developing a centralized and shared infrastructure, a major focus and priority of the Woods 2020-2023 Strategic Directions Plan, adopted in January 2020. This chapter discusses the infrastructure investments and progress that Woods has made toward a centralized and shared infrastructure 2017-2020 and its vision and strategy for a centralized and shared back office services administration.

Woods cultivated its talent pool and enhanced its staffing patterns by adding nearly 70 staff positions during this transformative period. Many of these positions had to support strategic and transformational initiatives. The list below provides examples of strategic and transformational investments Woods made, many of which have already been discussed.

Medical Services – Woods opened a state-of-the-art on-site medical center as part of its strategy to enhance and expand services and realign itself with the principles of population health. Investments were made in building renovations, furnishings and equipment, an electronic medical record, and staff positions, including a Chief Medical Officer/Vice President for Medical Affairs and Managed Care, Program Administrator, Practice Manager, Radiology Technician, and Nurse Practitioners.

Clinical Services – Woods developed four new clinical programs to align clinical approaches to the varied behavioral health needs of the children and adolescents served by the organization. Additionally, Woods adopted an evidence-based and trauma-informed crisis management practice. It invested in establishing a cohesive leadership and operating structure, hiring additional clinicians, and staff training and equipment. New positions included a Vice President of Clinical Services, a Director of Allied Therapies, and other Clinicians with specific credentials and expertise.

Residential Services – Woods made concerted efforts to enhance its residential services by improving its facilities and creating Staff Mentors positions to support, coach, and mentor direct care staff. This resulted in more supportive environments, consistent and therapeutic approaches, and improved client engagement. New positions included additional Residential Managers and Staff Mentors.

Education Services – Woods created a new leadership and operating structure to support transformational changes. These were designed to re-establish Woods as a leader in the field of

special education. It implemented it by developing a school system that shares common structures, standards of care, operating practices, policies, and procedures based on industry standards and best practices. Investments in this area included:

- Enhanced curriculum, instruction, and assessment materials and tools.
- The School-wide Positive Support Program is a nationally recognized evidence-based behavioral approach.
- The integration of behavioral and clinical supports in the classrooms.
- Salary adjustments for teachers.
- A teacher fellowship program.
- The creation of a Superintendent of Schools, an Education Operations Officer, and several Education Supervisors.

Vocational Services – Woods expanded its social enterprises to address the lack of employment opportunities for individuals with disabilities. The Yellow Daffodil Flower and Gift Shop expanded to a second location in the community. The Common Grounds Café expanded its operations to include hot meals and a coffee bar. BeechTree Enterprises, which produces and sells bath products, relocated its operations to the community and hired non-disabled employees to create an integrated workplace. The Woods Wear Print Shop and Common Market were launched as new social enterprises. Investments in this area included building renovations, furnishings and equipment, and new staff positions, including program managers and staff.

Care Coordination – Effective coordination of care is the hallmark of population health management. Woods created an Associate Vice President of Care Coordination position to drive service coordination and integration among its programs and external service providers, families, funders, licensing entities, and other stakeholders.

Employee Engagement and Development – Woods committed to creating and sustaining a culture that embraces and supports diversity, equity, inclusion, and its employees' personal and professional growth. Investments in this area included:

- Enhanced employee benefits.
- Highly discounted college cohort programs.
- Fellowship programs.
- Tuition subsidies and student loan payment programs.
- Enhanced employee training.

New positions in this area included a Chief Culture Officer and additional Training Specialists and Recruiters.

Information Technology and Systems – The strategic and transformational investments Woods made in information technology and systems are discussed in the case study at the end of this chapter.

Finance - Building on the successful implementation of a common general ledger system across the Woods enterprise, a cross-affiliate team worked on joint purchasing and shared back-office financial functions. In particular, functions with repetitive transactions, including payroll and accounts payable, were seen as areas of opportunity. Key to success is the roll-out of standardized systems, workflows, and digitized document management. In addition to these investments, the following positions were added to the finance department: Associate Vice President for Business Architecture and Business Initiatives, Business Systems Specialist, and Billing Supervisor.

Legal and Corporate Compliance – Woods added a second in-house attorney to help provide legal services to its affiliates, the Medical Center at Woods, and other related corporations and entities. Legal services include:

- Contract negotiations, labor and employment issues.
- Interpretation of statutes and regulations.
- Corporate compliance.
- Mergers and acquisitions.
- Administrative hearings, the selection and oversight of outside law firms; litigation management.
- Corporate governance; and general legal advice.

Policy and Thought Leadership - Investment in government relations has proven invaluable concerning Woods' ability to shape public policy impacting the intellectual and developmental disabilities industry, service providers, and individuals and their families. As part of its Strategic Directions and Transformation Plans, Woods re-established itself as an industry thought leader, advocate, and convener on disability and child welfare issues. This is discussed in greater detail in a subsequent chapter. Regarding strategic investments in this area, Woods created a Vice President

of Government Relations and Policy position and a Strategy Development Director position. Additionally, Woods engaged with lobbying and public relations firms.

SHARED INFRASTRUCTURE AND RESOURCES

Systematic underfunding ranks high among the greatest threats confronting intellectual and developmental disabilities service organizations today. For example, Pennsylvania's state budget has increased by approximately 90% over 22 years in contrast to the state's funding of intellectual and developmental disabilities services, which has increased by just 23% over the period.^{lxxxix} Factor in inflation, which increased by 72% during this time, and the intellectual and developmental disabilities sector is left behind by nearly 50%! This continuous underfunding has devastating consequences for intellectual and developmental disabilities, including extensive waiting lists, a dire workforce crisis, serious quality-of-care issues, and insolvency. Consequently, many intellectual and developmental disabilities service providers have retrenched and economized by cutting services, reducing their workforce, and tapping into cash reserves. These strategies are untenable, and one-third of Pennsylvania's intellectual and developmental disabilities service providers lose money year after year. The service providers not losing money generally operate on the fringe of insolvency. One of Woods' responses to the existential challenge of underfunded services is to leverage its expanded size and scope through enhanced levels of integration and coordination among its affiliate organizations.

As a result of its organic and inorganic growth strategies, Woods has become one of the nation's largest and best-capitalized intellectual and developmental disabilities service organizations. It currently comprises of six service organizations, including Allies, Archway Programs, Brian's House, Legacy Treatment Services, Tabor Children's Services, and Woods Services. On a consolidated basis, Woods has an annual operating budget of more than 300 million dollars, employs more than 6,000 staff, and serves more than 22,000 individuals. The Woods population health continuum of services includes residential programs, behavioral health services, schools, medical and dental care, vocational services, social enterprises, neuro-rehabilitation, and child welfare services. One of the benefits and advantages of achieving this level of size and scope is the opportunity to create synergies and efficiencies.

Many companies, particularly in the for-profit sector, have adopted a shared services model as a competitive advantage. The essential feature of the shared services approach is providing administrative support and knowledge-based services by one entity or business unit to two or more entities or business units. A broad number of support areas can be

effectively restructured around the shared service model. Many functions that lend themselves to a shared services approach are routine, transaction-based, and high-volume tasks. The primary objective for these activities in a shared service model is to achieve the lowest cost while maintaining high-quality standards. Shared services generally result in increased efficiency via:

- 1) Economies of scale, technology, standardization and coordination, and the elimination of redundancies;
- 2) Increased effectiveness via shared expertise and specialized skill sets; and
- 3) Enhanced adaptability by freeing program leaders to focus on market issues instead of administrative ones.

Despite these benefits, very little investment regarding consolidation or integration occurs in the intellectual and developmental disabilities sector. This is because the industry is unorganized and fragmented, especially compared to hospitals, health systems, and the healthcare industry.

Recognizing the need to leverage its size for long-term success, Woods and affiliates are working to integrate their back-office infrastructures by utilizing the practices of a shared service operating model. The financial benefits realized through economies of scale and eliminating redundancies may be significant. However, the benefits of a shared services model, also described as centralization and centers of excellence, go well beyond cost savings. Shared services also help organizations develop critical capabilities and achieve greater organizational depth by bringing together scarce resources. For example, by sharing the cost of highly specialized experts, programs can access resources in they might not otherwise be able to afford. These could include risk management, outcome evaluation, legal, financial analysis and planning, and communications and public affairs. Also, by standardizing processes based on best practices and sharing technology platforms, organizations build effective, reliable, and scalable platforms for growth that can be extended to new and expanded programs, additional partners, and other geographical regions with relatively low incremental costs. Program leaders that can rely on centrally managed back offices for compliance, controls, and information can better focus on customers, market issues, and business strategies.

Up until this time and with a few exceptions, each Woods affiliate operated somewhat separately and autonomously. Very few activities were shared across affiliates. Additionally, available data was primarily focused on budget and cash management with no consistent business metrics readily available among affiliates. To achieve greater integration and coordination among all its operating units, Woods embarked upon an initiative to assess its current operations and identify opportunities for

shared services that would generate cost savings, free up resources, and provide improved data management and reporting. In assessing Woods' current state with the help of a consultant, the following observations regarding integration and coordination were made:

- While their missions are similar and congruent, the affiliates differed regarding the scope of the programs and services they offered, funding sources, regulatory environments, resource levels, technology, and specific markets served.
- With some exceptions, each affiliate performed its own support functions with different levels of resources and minimal coordination or collaboration.
- Business support functions were minimally staffed, and staff commonly performed multiple and unrelated functions.
- The affiliates reasonably met their basic needs.
- Information technology infrastructures and applications were decentralized, mixed, and incompatible.
- Corporate reporting was done by manual submission and consolidation.
- Business metrics were inconsistent among affiliates and mainly driven by finance.
- Available data drove budget and cash flow focus versus strategic planning and decision-making.
- Each regulatory and funding agency had complex requirements.
- Funding models were changing, causing stress to revenues.
- Employee recruitment and retention was a critical need.
- Compliance monitoring varied among affiliates.

Based on an assessment of its current state and readiness to implement a shared services approach, Woods identified several foundational goals that it needed to accomplish before centralizing and coordinating its back-office functions, including:

- 1) Establishing an enterprise-wide culture, structures, and processes that promote collaboration.
- 2) Standardizing policies and procedures based on best practices.
- 3) Developing a master information technology strategic plan that results in a common technology platform and application environment.

The Shared Services and Outsourcing Network, the largest and most established community of shared service and outsourcing professionals in

the world, cites a 60 to 70% failure rate of all new shared services initiatives.^{xc} Managing the transition to a shared services model is complex. It requires informed decision-making, flexibility, and internal buy-in, ownership and understanding from the Board, executives, senior directors and front-line managers. Woods determined that an incremental approach embracing inclusive and informed decision-making processes and building upon early successes would ensure the effective implementation of a shared services approach. For this reason, Woods balanced best practices and time-tested principles with financial constraints and pragmatism. The Woods leadership recognized that the state of its information technology and systems posed one of the greatest challenges to successfully implementing a shared services approach. One of Woods' first steps towards a shared service approach was an in-depth assessment of its technology and developing a master technology shared services strategic plan. This would help build a common technology architecture that would serve as the platform for shared services across business functions. This process is discussed in the case study at the end of this chapter.

SHARED SERVICES VISION AND STRATEGY

The consultants that Woods engaged in assessing its readiness to adopt a shared services business model recommended that Woods begin by moving toward shared platforms and standardized processes. These would start in information technology, finance, communications, and human resources. They concluded that well-executed centralization and integration efforts would lead to cost savings, increased operational efficiencies, improved compliance and risk management, free affiliates to focus on services and business growth, and provide an overall scalable platform for enterprise growth.

Since the consultant's report, Woods and its affiliates have begun to integrate services. To date, the following has occurred:

- All but one affiliate has selected and used a common human resources information system.
- Woods and its affiliates selected and implemented a common financial system.
- Office 365 has been deployed to all affiliates but one.
- Affiliate Chief Financial Officers have a dotted oversight line to the Woods CFO.
- Legal oversight has been established across Woods and the affiliates.
- The Woods and affiliate communications and human resource teams meet and collaborate as needed.

FUTURE SHARED SERVICES OPERATING AND GOVERNANCE MODEL

The following shared services operating and governance models and goals were established by the Woods Shared Services Plan, developed in 2020 and provided in Appendix L.

Senior Vice President of Shared Services – In August 2020, the Archways Program Chief Executive Officer Woods joined the Woods Executive Leadership Team as Woods' first Senior Vice President of Shared Services. They became responsible for the long-term planning, integration, management, and oversight of critical administrative and back-office strategic functions across the Woods network, including finance, human resources, information technology, procurement, compliance, and risk and safety. This new role brought together the critical strategic and administrative activities under one leader to further increase strategic and operational effectiveness, efficiency, and speed of essential functions. This enabled the Woods network to act quickly and nimbly.

Shared Services Governance Committee – The Senior Vice President of Shared Services reports to a Shared Services Governance Committee comprised of the Woods Services President and Chief Executive Officer, Chief Administrative and Legal Officer, Chief Financial Officer, Senior Vice President of Human Resources, Associate Vice President of Training and Development, Associate Vice President of Information Technology, and affiliate leaders.

Legal – All legal activities, including, but not limited to, governance, corporate compliance, contract management, corporate transactions, M&A, litigation management, and the selection and supervision of outside counsel, are centralized under the Woods Chief Administrative and Legal Officer.

Communications, Grants and Development – All communication and fund development activities, including but not limited to broad-based marketing and communications support and funding proposals, are centralized and coordinated under the Woods Vice President of Communications and Development.

Finance – Centralized financial functions encompass a fully optimized financial system, audit oversight, standard financial data, standardized policies and procedures regarding compliance and reporting, and a joint procurement and vendor management system.

Human Resources – A single-source system is used, to the extent feasible, to manage all employee records, human resource activities, and compliance. Technology is leveraged to support critical human resource functions. Certain actions are centralized, including benefits administration. Human resource directors at the affiliate level report to the Senior Vice President of Human Resources at Woods. A leadership council standardizes human resource policies and procedures.

Training and Development – A single-source learning management system has been implemented across the Woods network. To the extent possible, training is centralized.

Information Systems and Technology – Information technology and system processes are centralized. Affiliate IT and IS Directors report to the Director of IT at Woods. A common IT and IS architecture has been developed and implemented across the Woods network. An IT shared services infrastructure was built, including help desks, data centers, servers, storage, etc.

Government Relations – All government relations activities and strategies, including but not limited to selecting and managing lobbyists and coordinating organizational memberships in state and federal associations, and other membership organizations, are centralized and coordinated under the Vice President of Government Relations and Policy.

Corporate Compliance, Risk Management, and Performance Quality and Improvement – A centralized, robust, proactive, and nimble Risk and Compliance Management Program was established. A centralized internal audit system works in sync with each organization's internal controls and risk management systems. Key efforts include an inventory of stakeholder requirements to track and trend compliance and risk indicators associated with regulatory bodies, funders, interest groups, and contractual obligations. Essential functions and focus areas include:

- 1) Risk management;
- 2) Licensing, credentialing, accreditation, and provider enrollment;
- 3) Management of key governance documents, such as policies, procedures, corporate code of conduct manual, business continuity planning, and more.

The Performance Quality and Improvement (PQI) team developed a data-driven reporting system for tracking back office and program performance data, benchmarking against best practice, regulatory, contractual/funder, and accreditation standards. Although its primary

function is quality, PQI works with the Compliance team to develop key performance indicators and thresholds. If there is an indicator that falls outside of the accepted threshold, the PQI and Compliance team develop a corrective action plan.

Program Performance Quality and Improvement (PQI) – Oversight of all program PQI and certification and accreditation efforts are centralized.

Licensing, Credentialing, Accreditation and Provider Enrollment – Licensing, credentialing, accreditation, certification, and provider enrollment processes and functions are centralized. Tracking of all licensing, funder audits, incident reporting, and reporting up to the compliance and risk management teams are standardized and centralized. A standardized system of collecting, tracking, and reporting program performance is developed.

Compliance and Risk Management – All compliance functions, including records management, are centralized as appropriate. A plan to track compliance with regulatory bodies, funders, and contractual obligations is developed. A centralized risk and control management function is developed utilizing the Governance, Risk Management, and Compliance (GRC) industry maturity model. A compliance risk profile and overall approach to managing risk is created and curated. Standardization of risk reporting and tracking across Woods and are affiliates is established.

Medical Services – Medical services are centralized for clients and staff as feasible and appropriate.

CASE STUDY: INFORMATION TECHNOLOGY SHARED SERVICES ASSESSMENT AND PLAN

When the Woods 2017-2020 Strategic Directions Plan was formulated, the organization's information technology and applications were either outdated, non-existent, or lagging in best practices. There was no overarching information technology strategy or master plan. The lack of state-of-art technology presented significant risks to the business. It threatened to impede initiatives to grow and expand the enterprise, integrate and coordinate back-office functions, and reduce costs through economy of scale and efficiencies. Information technology impacts several business factors, including growth, speed to market, mergers, and acquisitions, corporate compliance, and costs. Acquisitions are more challenging, and new partners are harder to on-board when standard

information technology services and applications are lacking. Overall costs are higher due to the needed redundant resources when information technology systems and services are disorganized and fragmented. Common information technology architecture is the best practice for shared business services. The lack of a shared infrastructure makes it difficult to choose common platforms or to outsource functions. The cost of information technology, and its value to the business, is optimized in an integrated and coordinated shared services model. Otherwise, resources, standards, governance and headcount are duplicated in multiple business units, resulting in lost efficiencies and potential business risks. These risks include disaster recovery, business continuity, and information security.

Recognizing the risks of antiquated and disjointed information structures, systems, services, and the needed enterprise-wide strategic IT plan, Woods assessed its information technology thoroughly. This helped identify several observations. First and foremost, there was a lack of a cohesive strategy across the enterprise. Each affiliate managed its information technology budget and services independently. There was no central information technology governance across the affiliates, which resulted in a lack of planning, design, and standards. The affiliates shared very few applications. Consequently, there were many redundancies regarding applications, networking, services, planning, and security. The lack of alignment of essential information technology business functions presented significant challenges and risks to the organization's capacity to operate efficiently and grow and scale. In addition to these observations, it was clear that information technology at Woods was falling behind when it came to innovation, particularly in the areas of bringing your own device (BYOD), cloud computing, mobility, and information security. On the positive side, the team was loyal and knowledgeable and recognized the opportunities to improve and optimize information technology services. However, the team was underfunded and understaffed and needed additional resources to support a more sophisticated technology environment.

Several recommendations were born out of the desire to enhance Woods' infrastructure capacity through a shared services approach and the assessment of Wood's information technology, including:

- Establishing a point person responsible for strategy, budget, governance, standards, and shared services for information technology and systems.
- Moving all information technology resources, except those supporting unique affiliate services, to Shared Services.
- Creating an information technology strategy aligned with business strategies.

- Establishing common information technology architecture for infrastructure and applications.
- Standardizing enterprise applications (e.g., general ledger, human resources information systems, electronic health record, etc.)
- Standardizing and centralizing key information technology processes and services.
- Building an information technology shared services infrastructure.
- Outsourcing certain functions to third parties.
- Leveraging information technology to drive innovation and industry leadership.

These objectives support organic growth, rapid on-boarding and integration of new organizations, and information technology investment and value. They also align the organization's information technology strategy with its business strategy, mitigate growth risks, revenue protections, and compliance and operations. Simultaneously, they reduce redundancy among people, processes, and technology. The first order of business was to recruit talent. Woods created and filled several information technology and systems staff positions, including Director of Technical & Support Services, Manager of Technical and Support Services, Network Administrator, Support Specialists, Programmers and Systems Analysts, and a Manager of Clinical Systems. Overseeing this team was a Vice President of Information Systems that the Chief Financial Officer supports. All were hired to lead and execute critical information technology and systems initiatives. Additionally, the organization convened a team of information technology leadership from each affiliate to identify and implement mutually beneficial ways of achieving efficiencies and integration in information technology and systems. At this time, Woods and affiliates began coordinating their information technology operational and capital budgets to leverage purchasing power and align with a coordinated strategic information technology plan. Woods closed a 20-year technology gap by implementing technology and systems that facilitate data-driven service coordination and organizational decision-making. Investments included implementing an electronic health record, a human resource information system, a payroll system, a general ledger system, and a document management system. These common systems drive standardization, positioning Woods for back-office integration and shared services. For example, a shared service help desk software platform enabled the pooling of support staff among Woods and its affiliates. Creating a single network environment for Woods and its affiliates allowed for the consolidation of mail servers, firewalls, and security servers to the

cloud and greater sharing of information. They developed a comprehensive and integrated system of identifying, collecting, and reporting critical operational data to facilitate active and strategic decision-making. Although Woods started with information technology, it is undergoing similar assessments and planning to drive integration in finance. This includes payroll, accounts payable, accounts receivable, employee recruitment, employee benefits administration, procurement, facilities management, legal, public relations, and risk management.

STAKEHOLDER PERSPECTIVES IN THEIR OWN WORDS

George Richards, Woods Senior Vice President of Shared Services and Archway Programs Chief Executive Officer

George Richards joined the Woods family in 2016 as Chief Financial Officer (CFO) of Archway Programs, a Woods affiliate. In 2018 he assumed the additional role of Chief Executive Officer (CEO) of Archway Programs. The Woods leadership team leveraged George's remarkable ability to manage numerous roles and functions and his experience and expertise in strategic planning, project management, and process improvement by appointing him as Woods' first Senior Vice President of Shared Services in 2020. In this capacity, George is responsible for the planning and implementation of the integration of key administrative and back-office functions across the Woods enterprise to enhance its operational effectiveness and efficiency and its strategic competency by enabling it to act quickly and nimbly.

George understands the distinction between project management and change management and sees his role as bringing people together and helping them to embrace and make changes for the common good of the Woods network. People generally dislike change, particularly when it involves giving up control. Given this dynamic, compounded by personalities, organizational cultures, and internal politics, which exist in all organizations—never mind multiple organizations—George emphasizes the importance of patience and giving people time to understand the vision and benefits of a shared services model. George thinks that his roles as Archway Programs' CEO and CFO help him better appreciate the other CEO's and CFO's perspectives on the integration process. This gives him credibility and enables him to establish trusting relationships. Alternatively, George also thinks that by having a role on the Woods leadership team, the affiliate CEO's have a better appreciation for the big picture and strategy at the enterprise level. The dual roles that affiliate CEO's have at the affiliate and enterprise levels help to build trusting relationships and break down organizational barriers, which are critical to the integration process.

Woods' shared services plan identifies the following eleven areas of integration: 1) finance; 2) human resources; 3) training; 4) communications, grants, and development; 5) legal; 6) compliance and risk management; 7) information systems and technology; 8) medical services; 9) government relations; 10) Program Performance and Quality Improvement; and 11) licensing, credentialing, accreditation and provider enrollment. George notes that while there may be some financial benefits to realizing efficiencies through a shared services model, Woods' primary goal is strategic. Woods believes that a shared services structure will make it more effective and efficient and make Woods more attractive to potential affiliates and partners and other nonprofit organizations interested in outsourcing its back-office functions. On-boarding new affiliates and partners are much more manageable when back-office functions are centralized and integrated. George points to several of Woods' accomplishments in this area and the impact these milestones have had so far. A standard general ledger platform shared by Woods and its affiliates has resulted in more efficient workflows, more accessible access to financial data, and robust economic analysis. This common platform also made it easier to implement other data analytics programs, such as budget forecasting software, across the enterprise. Additionally, a shared general ledger platform has allowed two Woods affiliates to eliminate highly compensated CFOs through attrition. They have been replaced with Controllers that also report to the Woods Chief Financial Officer. George is excited about the progress Woods and its affiliates are making toward more efficient workflows through other standard information systems such as Microsoft 365, which brings together best-in-class productivity applications with cloud-based services, device management, and advanced security-connected experience. Another advantage of the shared services model is the greater purchasing power that large organizations can leverage. For example, Woods and its affiliates saved 60% on individual licensing fees when they terminated their contracts with an electronic employee training system and renegotiated a contract as a consolidated enterprise.

In addition to using many of the principles and practices of change management theories, George attributes two other factors to Woods' progress toward adopting a shared services structure. The first is Woods' financial investments by covering the costs associated with purchasing and implementing new information technology and systems. This expedites the integration process for affiliate organizations that may not have the funds or want to use their capital for other purposes. The second is the governance structure that Woods established through its Shared Services Governance Committee. The Committee comprises George as the Woods Senior Vice President for Shared Services, the President and CEO of Woods, the Woods Executive Vice President and Chief Financial Officer,

and the Senior Vice President and Chief Administrative and Legal Officer. This team determines the vision and goals, makes final decisions, and intervenes as appropriate in all matters regarding shared services at Woods.

As a final thought, George is motivated by the impact a more efficient and effective organizational structure has on programs and services and, ultimately, on the individuals that Woods and its affiliates serve.

INFRASTRUCTURE AND ENTERPRISE SHARED SERVICES – LESSONS LEARNED

- Thriving organizations need robust, flexible, and efficient structures, technology, and processes to effectively manage the organization's complexity and scale.
- During periods of transformation and growth, organizations must cultivate their talent pools by attracting staff with needed expertise to support and sustain strategic and tactical initiatives.
- One of the benefits and advantages of mergers and affiliations is the opportunity to consolidate operations to create synergies and efficiencies. Many companies, particularly in the for-profit sector, have shifted to a shared services model as a competitive advantage.
- Shared services involve centralizing administrative functions of a company that they once performed in separate divisions or locations. The essential feature of the shared services approach is providing administrative support and knowledge-based services by a single entity to multiple business units.
- Shared services result in increased efficiency via economies of scale, technology, standardization and coordination, and the elimination of redundancies. Increased effectiveness also includes shared expertise, specialized skill sets, and enhanced adaptive abilities by freeing program leaders to focus on market issues rather than administrative matters.
- The benefits of the shared services model, which can also be described as centralization and centers of excellence, go well beyond cost savings. Shared services can help large-scale organizations develop critical capabilities and achieve greater organizational depth by bringing together scarce resources.
- Organizations build effective, reliable, and scalable growth platforms by standardizing processes based on best practices and sharing standard technology platforms to extend to new and expanded programs, additional partners, and other geographical regions with relatively low incremental costs.

- Many functions that lend themselves to a shared services approach are transaction-based, routine, high-volume tasks that are highly sensitive to scale.
- Other functions that lend themselves to a shared services approach are expertise-based.
- Managing the transition to a shared services model is complex. It requires informed decision-making, flexibility, and internal buy-in, ownership and understanding from the Board of Directors, executives, senior directors and frontline managers. An incremental approach that embraces an inclusive and informed decision-making process and builds upon early successes is the best way of ensuring the effective implementation of a shared services approach.

Key Reflections for Discussion:

- The Woods team recognized the need for a more robust and integrated infrastructure across the Woods enterprise. It was needed to support, scale, and sustain its transformation, but what happens if an existing stakeholder group does not buy in to this new vision? Why may some stakeholder groups resist to an integrated and centralized infrastructure model? What leadership characteristics and strategies are needed to support and facilitate this shift?
- Managing the transition to a shared services model is complex and challenging. How did the Woods leadership team ensure its efforts to improve and integrate its infrastructure were successful? What are some other ways a large and complex organization such as Woods can ensure the effective implementation of a shared services approach? Why is this important in driving organizational change?

CHAPTER X: STRATEGIC POSITION, POLICY AND THOUGHT LEADERSHIP

“How wonderful it is that nobody need wait a single moment before starting to improve the world.”

– Anne Frank, Jewish holocaust diarist

THEORETICAL FRAMEWORK

Bolman and Deal, authors of *Reframing Organizations*,^{xc} emphasize the political frame because it is crucial to understanding an organization's responsibilities to internal and external stakeholders, especially those receiving public funds and accountable to elected officials. Additionally, Bolman and Deal offer the following assumptions for their political frame:

- 1) Organizations are coalitions of different individuals and interest groups;
- 2) Coalition members have enduring differences in values, beliefs, information, interest, and perceptions of reality;
- 3) Most important decisions involve allocating scarce resources - deciding who gets what;
- 4) Scarce resources and enduring differences put conflict at the center of day-to-day dynamics and make power the most important asset; and
- 5) Goals and decisions emerge from bargaining and negotiation among competing stakeholders jockeying for their interests.^{xcii}

Similarly, Crutchfield and Grant in *Forces for Good* posit that organizations that want to impact significant systemic change must influence the political process.^{xciii} Their research found that high-impact organizations participate in both programming/direct service and advocacy.

These findings help explain why organizations must consider the political frame important. Diversity in perspectives and allocation of scarce resources creates an environment where power and conflict are inevitable.^{xciv} Organizations that learn to harness this frame and collaborate with stakeholders will be in the best position to shape their sector in meaningful ways.

WHY POLITICAL ENGAGEMENT MATTERS

This year marks the 30th anniversary of the Americans with Disabilities Act (ADA), universally recognized as a groundbreaking legislative achievement. It opened doors for millions to more fully participate in the workspace, access services, and enjoy other benefits most people take for granted. The ADA has been so successful that more than 50 countries have enacted parts of it in their laws. However, opposed by the business community out of concern for costs, passing ADA took dedication from advocates who wrote letters, made phone calls, met with politicians, and participated in demonstrations. It also took the unwavering support of congressional champions and their staff who steered the bill through the political process. Good ideas and intentions alone were not enough; passing the ADA required knowledge, information sharing, courage, and persistence with decision-makers by professional lobbyists and citizens alike.

Thirty years later, people with intellectual and developmental disabilities continue to face discrimination and challenges that only political processes can resolve. Just as Mollie Woods had to cultivate relationships, build visibility, and generate support from policymakers to realize her vision, advocates today must do the same. Many individuals touched by Woods cannot advocate for themselves; the people who care for and serve them must ensure their voices are heard.

LAYING THE GROUNDWORK FOR CHANGE

Prior to developing and implementing its 2017-2020 Strategic Directions Plan, Woods had no government relations staff. The organization's political advocacy occurred through trade associations, occasional meetings between politicians and various members of its leadership team, and inconsistent use of contract lobbyists. With the support of the Board of Trustees, Woods' CEO established an internal government relations team. She knows from her experience in healthcare policy that dedicated government relations and policy staff are necessary to keep up with the ever-changing regulatory and legislative landscape. They also help identify and respond to opportunities and threats at the local, state, and federal levels. Crutchfield and Grant suggest that organizations must "build or buy" skills to carry out advocacy work. Of the 12 organizations featured in their book, 11 have a strong presence in Washington, D.C.^{xv} Woods' access at all government levels and political capital is critical to positioning itself as a leader and influencing and shaping policies impacting the lives of the people it serves. The ability to create political change relies on consistent monitoring of developments, a regular presence in state capitols and Capitol Hill, deep

relationships with influential policymakers, and an in-depth knowledge of government and lawmaking. Investing in a government relations team comprised of internal and contract staff helps pay dividends in the long-term. It also allows an organization's leadership to focus on the big picture and its strategic vision and goals. Woods hired someone with a diverse background in legislative, regulatory, and policy affairs in the nonprofit, private, and public sectors at both the state and federal levels to serve as its Vice President of Government Relations and Policy. This experience and expertise allow this position to leverage long-standing relationships with key decision-makers who can help position Woods and its clients for success. Responsible for government relations and advocacy efforts on behalf of Woods and its affiliate organizations, the Vice President of Government Relations and Policy manages Woods' hired contract lobbyists, liaises with trade associations and other stakeholder organizations, and builds coalitions of support for Woods' initiatives. The role also involves directly lobbying with policymakers as a subject expert on issues impacting the organization and the sectors in which it operates. .

Once Woods established a strong government relations team dedicated to achieving proactive and defensive policy objectives, it began identifying ways to amplify its voice and message. As a relatively small nonprofit organization with limited resources and strict limitations on political activity, Woods is disadvantaged in a political world that includes large, well-established heavy hitters with unlimited financial resources. In addition to working with Pennsylvania and New Jersey affiliates to expand networks and influence policy through professional advocacy efforts, Woods collaborated with like-minded organizations to achieve common goals. For example, Woods was instrumental in creating the Pennsylvania and New Jersey Health and Disabilities Consortium, a cross-state consortium of organizations serving individuals with intellectual and developmental disabilities.

The Pennsylvania and New Jersey Health and Disabilities Consortium is a member-controlled Pennsylvania nonprofit corporation comprising large nonprofit human services providers of medical, behavioral, clinical, and educational services to children and adults with developmental disabilities and complex medical and behavioral healthcare needs. In anticipation of emerging trends and changes in the sector, the Consortium works primarily to enhance and sustain the growth of the intellectual and developmental disabilities industry by:

- Promoting best practices and supporting industry standards;
- Having a combined effort to support and uphold exceptional educational programs promulgated by IDEA, the Individuals with Disabilities Education Act, by ensuring sound public policy, programmatic, reimbursement, and compliance trends in all states;

- Proposing and testing common standards of operation to ensure the highest quality of care;
- Presenting a united voice on key issues affecting members, including public policy development and stakeholder education for advocacy;
- Having a unified effort to promote the concept of population health management and social determinants of health for people with developmental disabilities and behavioral challenges and to respond to questions about this evolving industry trend; and
- Reaching out to the existing medical health, and human services community and creating new partnerships, joint ventures, and synergies to advance common interests.

The Consortium was established partly in response to the anticipated impact of managed care on the sector, including how services are delivered and funded. Until this time, cost savings were not optimized across sectors, and there has been little incentive for cross-sector solutions because service providers have relied on siloed funding in direct government contracts. This will change as a result of managed care. But while managed care systems have excellent administrative infrastructures, they often lack an understanding of the services, especially given the lifelong needs of highly vulnerable and special populations. Collectively, members of the Consortium have hundreds of years of experience serving this population. They came together to explore ways to create meaningful partnerships with each other and managed care organizations to sustain a population health safety net for people in Pennsylvania and New Jersey with lifelong intellectual and developmental disabilities, medical conditions, and behavioral challenges. Guided by the Triple Aim framework developed by the Institute for Healthcare Improvement, member organizations work together to ensure that they have the right: 1) Experience of Care (e.g., more options for self-determination, opportunities for community family engagement, and a greater voice in advocacy); 2) Effectiveness of Care (e.g., common quality metrics and processes, clinical best practices, and shifts from agency to healthcare standards); and 3) Efficiency of Care (e.g., expenses and vendor relationships, technology, revenue and contract management, and administrative sophistication); in addition to 4) Staff Engagement (e.g., competency, retention, and satisfaction).

Specifically, the objectives of the Consortium are threefold:

- 1) To ensure the sustainability of accessible and quality care services by experienced health and human services providers for children and adults with intellectual and developmental disabilities who need continuous support at over their lifespan;

- 2) To promote collaboration among health and human services providers to accomplish other goals in the industry, such as identifying and potentially implementing effective, high-quality, and efficient care coordination, methods of service delivery, and outcomes; and
- 3) To explore the formation of an entity led or co-led by experienced providers who serve children and adults with intellectual and developmental disabilities and behavioral and medical complexities with Medicaid/Medicare managed care organizations.

The Consortium has established committees to explore, define, research, and evaluate existing and new structures for service delivery, care management and coordination, and value-based reimbursement systems. These committees help understand the potential roles of the Consortium members in a managed care landscape while identifying and defining standard methods of service delivery and administrative support. They also take responsibility for planning various components required to become a managed care organization for intellectual and developmental disabilities and behavioral health services. The information generated by the Consortium's committees is used to inform how Consortium members may adopt common standards, models, and administrative efficiencies. It also guides decisions about the Consortium members' roles in care coordination in a managed care landscape.

The Consortium has convened the following committees:

- Policy Committee – Charged to 1) identify the right companies and third-party supporters as potential partners; 2) market the collective expertise and strength of the newly formed Consortium as a group that plans to come to the two states with a proposal to develop care management, managed care, or other entity types for people with intellectual and developmental disabilities and behavioral health challenges; 3) focus efforts to identify and measure the value proposition of the potential new business venture; and 4) develop a strategy to put forth the concept to potential government funders.
- Primary Care and Care Coordination Committee – Charged to 1) identify models and structures of care coordination/care management being implemented in various states; 2) identify shared definitions and elements of care coordination; 3) define a model of care coordination that incorporates integrated primary care, pharmacy, and coordination of specialty care; 4) incorporate already existing measures such as HEDIS, PCMH, NCQA LTSS

measures; and 5) compile findings into documents to use as the basis for future activities such as writing proposals.

- Outcome Metrics and Quality Measures Committee – Charged to identify what data needs to be collected for care coordination and primary care, utilizing resources drawn from models and structures for care coordination and managed care entities.
- Information Systems Committee – Charged to 1) assess the capacity and systems of Consortium members; and 2) determine what data systems could be used and coordinated across multiple entities.
- Human Resources/Training Committee – Charged to 1) assess the systems used by Consortium members, such as Learning Management Systems, identify which trainings are being used; and identify which trainings are driven by regulations and which are unique; 2) identify standards of training which supports the requirements of care coordination or managed care entity for the target population; and 3) identify opportunities to improve the efficiency of care (e.g., cost sharing/cost savings) among providers.
- Joint Purchasing and Benefits Committee – Charged to 1) look at back-office ways of saving money; and 2) focus on efforts and opportunities to improve the efficiency of care (cost sharing/cost savings) among providers.

The work of the Consortium committees has been prolific. It includes several important developments, such as the creation of industry Quality and Safety Standards, by which all Consortium members agree to abide, and the definition of Life Cycle Care Management Providers. They set the stage for federal recognition through legislation. These are included in Appendix M. Additionally, the Consortium has engaged in crucial policy and advocacy work, including ensuring priority access to COVID-19 vaccines for individuals with intellectual disabilities. Appendix N includes the advocacy brief.

In addition to its work through the Consortium, Woods has placed renewed emphasis on giving a voice to its most precious resources, its clients, their families, and employees. Moving policy requires connecting to the heart and putting a face on the central issues. Woods' Communications team creates videos, articles, and blog posts by allowing clients, families, and employees to tell their stories in their own words. These powerful messages are vehicles for advocacy that highlight why Woods' services, philosophy, and model of care are so essential.

POLICY ACCOMPLISHMENTS

Woods' investment in its policy infrastructure has resulted in increased visibility and incremental progress. For example, in 2017, the Woods government relations team assumed a leadership role to protect the service choices for individuals with intellectual and developmental disabilities. The team led efforts to push back against amendments proposed by the Pennsylvania Department of Human Services (DHS) to the State's Medicaid waiver plan. These amendments would have resulted in the closure of vocational day programs for people with intellectual and developmental disabilities called sheltered workshops. These workshops provide employment opportunities for people who cannot work in the community because of the severity of their disability or who prefer a sheltered work environment. Following the publication of the draft amendments, Woods began working with state trade associations and its professional network of peers to assemble a coalition of impacted individuals, family members, and service providers. The next step was to develop an effective defensive policy strategy quickly. The proposed changes resulted from an ideology within the DHS Administration that views segregated service environments for people with intellectual and developmental disabilities as inherently discriminatory; simply lobbying the DHS was not going to be effective. However, the first step the coalition took was registering concern with DHS through meetings, phone calls, letters, and the official public comment process.

Building upon its success in forming a strong and expansive coalition of impacted individuals, families, and organizations that touched every county in Pennsylvania, Woods utilized this group's reach to mobilize state legislators through grassroots tactics. Teams provided talking points to coalition partners to easily engage and empower others to call and e-mail their legislators. This army of advocates and legislative partners worked with the coalition to bring attention to the issue through rallies, committee hearings, and letters to DHS. These legislative tools are very effective ways to influence actions by administrations without having to pass laws.

In addition to the workshop issue, Woods has organized similar calls to action on topics such as its industry's workforce crisis, traumatic brain injury awareness, the importance of preserving the Affordable Care Act (ACA) for people with disabilities, and the importance of safeguarding residential service options. Woods plays a central role in several national, state, and local associations that influence policy. Names include the American Network of Community Options and Resources (ANCOR), Pennsylvania Advocacy and Resources for Autism and Intellectual Disabilities (PAR), the Rehabilitation Community Providers Association (RPCA), and the Bucks County Women's Advocacy Coalition, among others. This increased visibility has provided Woods with opportunities for

partnerships with other organizations, like the consortium of providers discussed earlier, and with politicians, some of whom have become champions for the causes relevant individuals with intellectual and developmental disabilities.

Identifying champions who connect with an organization's mission is a critical component of any strategy for advancing an organization's policy agenda. Champions help navigate the legislative process, provide support in the face of opposition, and propel innovation. Woods works especially hard to build and foster relationships with state and federal policymakers from its geographical region by inviting them for tours and special events at Woods. Woods also creates opportunities to recognize and honor elected officials who have gone above and beyond the call of duty for people with intellectual and developmental disabilities. These occasions allow officials to become familiar with Woods and its clients. They also provide opportunities for officials to receive positive public and media attention. It is vital to have knowledgeable policymakers so they can help you act quickly and when threats arise in the political arena.

Wood's political champions have lent credibility to its model of care. Simultaneously, they have assisted in accessing desperately needed relief funds while introducing legislation that would establish a special population's definition for people with intellectual and developmental disabilities. They also brought along a new payment model. Part of this new payment system is based on Woods' patient-centered medical home model; it integrates medical, behavioral, and dental care for vulnerable patients with intellectual and developmental disabilities. Woods piloted this innovative care model in 2018 and demonstrated that service recipients experience improved outcomes at lower costs. Because of Woods' established relationships with advocates, allies, and policymakers, the government relations team could share these findings with Pennsylvania and New Jersey policymakers. They responded by visiting Woods to learn more. Some of these visits were arranged by legislative champions and others by family members acting as their champions and advocates.

LOOKING TO THE FUTURE

Woods' policy agenda focuses on finding innovative ways to enhance services and the quality of life for people with intellectual and developmental disabilities. Key goals include the following.

Establishing an Adapted PACE Model for Persons with Intellectual and Developmental Disabilities

Decades of research show that the Program of All-Inclusive Care for the Elderly PACE/LIFE (PACE) effectively improves healthcare

outcomes, promotes independence, and lowers costs. The model works so well because it caters to super-utilizers, a vulnerable senior population with multiple underlying health conditions and a host of chronic care needs. Woods is working with policymakers and managed care partners in Pennsylvania and New Jersey to bring these benefits to another super-utilizer group – people with intellectual and developmental disabilities.

Approximately 30% of persons with intellectual and developmental disabilities have co-occurring mental and physical conditions requiring highly specialized care. Another factor contributing to the need for comprehensive and integrated care is the high number of unnecessary emergency room visits among persons with intellectual and developmental disabilities. In addition to the cost, avoidable emergency room visits can lead to increased morbidity for persons with intellectual and developmental disabilities caused by secondary infections and other conditions. The emergency room setting could also be highly traumatizing for some individuals with intellectual and developmental disabilities with elevated anxiety levels. Extending the PACE/LIFE program to people with intellectual and developmental disabilities could reduce the trauma and costs associated with emergency room encounters.

The proposed adapted PACE pilot that Woods is developing brings together all the services required for this population to remain as healthy and independent as possible. These services would be centralized and coordinated through a one-stop-shop that provides primary and urgent healthcare coordinated with specialists, behavioral healthcare and supports, pharmaceutical management, long-term services and support (LTSS). These include Home and Community-Based Services (HCBS), as well as social services that impact social determinants of health. The main components of the model are: 1) Long-Term Support Services/Care Coordination, including skilled nursing and adult day services; 2) Behavioral/Mental Health Services, including treatment for depression, anxiety, trauma, psychiatric disorders, and dementia; 3) Patient-Centered Medical Home and Pharmacy Management, including primary care, chronic care, dental care, emergency services, home care, laboratory/x-ray services, specialty services, physical and occupational therapies, and prescription drugs; and 4) Social Service Support, including meals, nutrition counseling, transportation, personal care, caregiver training, support groups, and respite care.

Achieving Federal Recognition

Even though many individuals with intellectual and developmental disabilities have underlying health conditions that put them at high risk for contracting and experiencing complications from the COVID-19 virus, many service providers like Woods experienced difficulty accessing

Coronavirus relief funds. This conundrum highlights one explanation as to why the intellectual and developmental disabilities sector is falling through the cracks. Specifically, federal law does not recognize or define the intellectual and developmental disabilities population. Woods is attempting to change this with the help of its congressional champions. Woods introduced a bill in the United States Congress to give persons with intellectual and developmental disabilities, and their care providers, a special population designation under the Public Health Service Act. This definition is important because it would place the intellectual and developmental disabilities service sector on the same footing as other providers caring for vulnerable populations. It would open up new funding sources. More importantly, it would ensure that intellectual and developmental disabilities providers receive the proper recognition for their care and are considered federal regulators dealing with emergencies.

Promoting Choice

The idea that every American should enjoy a certain level of freedom, dignity, and autonomy is central to our national culture. Yet, states across the country are continually enacting new rules restricting where people with intellectual and developmental disabilities can live, work, and spend their time. Woods is teaming up with individuals, family members, lawmakers, and advocates to reaffirm choice, autonomy, and dignity for persons with intellectual and developmental disabilities. Here is just one story that describes the challenges advocates are facing. It shares the experience of a man employed in a sheltered workshop that the State of Pennsylvania is trying to close.

Scott is a 43-year-old man from Philadelphia who was born with Fragile X Syndrome, a genetic disorder. Despite his considerable challenges, including not being able to count or spell, Scott spends 20 hours each week packaging items like cough drops and beverage cans for Associated Production Services. Scott has worked for Associated Production Services for 19 years. The company's 500-person workforce is comprised almost entirely of people with intellectual and developmental disabilities who work in the sheltered workshops for below minimum wage.

When asked why his family chose a disabled-only work environment for Scott, his father, Ted, points out that they only decided this after Scott failed at five other jobs in the community. Like many on the autism spectrum, Scott battles anxiety and doesn't deal well with change. Ted says the key advantage of the workshop environment is structure. Associated Production Services offers a structured, predictable routine that is hard to find outside the workshop. Ted puts it best when he says, "Private companies can't promise that kind of structured employment where my son

can thrive.” He goes on to say that Scott’s job has given him “purpose and self-esteem.”^{xvii}

Woods believes that individuals with intellectual and developmental disabilities and their families know best what they need to succeed. They should be able to choose the home and work environments that are best suited for them. Woods’ government relations team continues to give voice to these issues and shine a light on them.

STRATEGIC POSITION, POLICY AND THOUGHT LEADERSHIP - LESSONS LEARNED

- A dedicated government relations and policy staff is necessary to keep up with the ever-changing regulatory and legislative landscape and to identify and respond to opportunities and threats at the local, state, and federal levels.
- An organization's access to government is critical to its ability to influence and shape policy that impacts its work and the lives of those it serves.
- Organizations must change policies that negatively impact the people they serve.
- The ability to create political change relies on the consistent monitoring of developments, a regular presence in state capitols and Capitol Hill, deep relationships with influential policymakers, and an in-depth knowledge of government and lawmaking.
- Investing in a government relations team, comprised of internal and contract staff, pays dividends in the long term and frees an organization's leadership to focus on the big picture and the strategic vision and goals for the organization.
- Small organizations with limited resources and nonprofits with strict limitations on political activity are disadvantaged in the political world including large, well-established heavy hitters with unlimited financial resources. One way organizations can extend their reach and influence is by working with like-minded organizations to achieve common goals through coalitions.
- Shaping policy requires personalizing central issues. Videos, articles, and blog posts that give people impacted by policy the opportunity to tell their stories are powerful vehicles for advocacy.
- Identifying champions who connect with the organization's mission is a critical component of any strategy for advancing an organization's policy agenda. Champions help navigate the legislative process, provide support in the face of opposition and propel innovation.
- It is important to have policymakers who are knowledgeable about your organization so they can help you act quickly when threats arise in the political arena.

Key Reflections for Discussion

- The social services world lags behind many sectors in technology and other forward-leaning markets yet remains one of the most publicly scrutinized and volatile sectors with constantly changing policies and regulations. How does a nonprofit social services agency begin understanding its role and power in shaping policies and regulations, especially amidst public scrutiny? What leadership skills are needed to build an organization's political capital while managing frequently shifting regulations?
- The Woods team recognized the importance of their political environment and how it could be advantageous to know their stakeholders and disadvantageous. Many nonprofits try to remain apolitical for a myriad of reasons; however, what are some of the short and long-term advantages of having a policy agenda? Disadvantages? What infrastructure challenges might a nonprofit experience in beginning policy/advocacy conversations?

CONCLUDING REMARKS – A LENS ON THE FUTURE

“The Woods Schools have always been pioneers. One of our earliest objectives has been constant pioneering research in the techniques of care and training of the exceptional child, and the dissemination of that research to the medical profession and educators for the benefit of all exceptional children. We must continue in that tradition – to pioneer and to grow – for that is living itself.”

– Mollie Woods Hare

The pandemic’s impact has caused many to question our values and how we live and manage our lives. The pandemic has also forced businesses, at least those resilient enough to survive it, to find and quickly adopt new ways of delivering services, meeting changing customer needs, managing reduced budgets, and navigating uncertain economic, regulatory, and market landscapes. For many organizations, the pandemic served as a hard lesson in creating learning cultures of innovation and honing the capacity to manage change and pivot swiftly and effectively. In addition to creating new ones, the Covid-19 pandemic exacerbated many challenges already confronting the health and human services sector, including staff shortages, limited resources, rising healthcare costs, and racial inequities. We discussed these problems, and many others, throughout this book in the context of creating and sustaining organizational change. Woods attributes its ability to successfully respond to the pandemic to the continuously cultivated and applied organizational development and change management principles. This strengthens its capacity, infrastructure, and partnerships to manage change.

Highly public attacks on Woods’ character and staff led to rapid and significant transformation. The Woods management team and Board of Trustees invested substantial time and money into laying a solid foundation constructed with the building blocks of effective organizational development. With the right team, culture, infrastructure, and partnerships in place, the organization is poised to respond to the ever-changing shifts in the market, including revenue streams and structures and customer preferences. Woods has the capacity to make critical decisions about its future and the ability and resources to execute them successfully. Strategic planning and quality improvement are continuous and iterative processes. Woods recognizes that it must continually invest and re-invest the time, effort, and capital necessary to ensure that it has the capacity in regard to its talent, resources, organizational culture, infrastructure, and partnerships to change and grow with the times.

The Woods Management Team and Board of Trustees developed and adopted a 2020-2023 Strategic Directions Plan that is organized by six key strategic priorities:

- 1) Corporate Mission-Driven Growth
- 2) Employee Engagement
- 3) Enterprise Shared Services
- 4) Strategic Position, Policy, and Thought Leadership
- 5) Re-envisioning Our Campus
- 6) Strategic Directions Common to Woods and Affiliates

According to this Plan, the Woods Senior Management Team continues to work diligently on many strategic initiatives to improve and enhance programs and services. Many of Woods' strategies and accomplishments, particularly in services and programs, affiliate partnerships, development, communications, and government relations, are interconnected and working together to garner unprecedented resources and support at the federal, state, and local levels that are now better accessible.

The next phase of Woods' transformation is well underway, with more lessons to be learned as we forge new frontiers and lay the groundwork for the future for people with complex disabilities and advancement of managed care. Woods is ready for the next chapter of its ever-unfolding story and looks forward to a bright and promising future with the support of its constituents, partners, and stakeholders. We will continue to change and grow; after all, "that is living itself."

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APPENDICES

Appendix A: Corporate Structure

Appendix B: Strategic Directions and Transformation Plan 2017-2020

Appendix C: Transformation puzzle - 2018 Transformation Plan

Appendix D: Career Pathways

Appendix E: Social Innovations Lab Description and Purpose

Appendix F: Social Innovations Lab Promotional Flyer

Appendix G: PowerPoint Presentation regarding The Three Keys to Unlocking Potential Program

Appendix H: Initial Equity, Diversity and Inclusion Planning Process

Appendix I: Equity, Diversity, and Inclusion Strategic Plan

Appendix J: Mergers and Acquisitions Process – Due Diligence Checklist

Appendix K: Woods Services Shared Services Plan

Appendix L: Consortium – Life Cycle Care Management Org Definition and Quality and Safety Standards

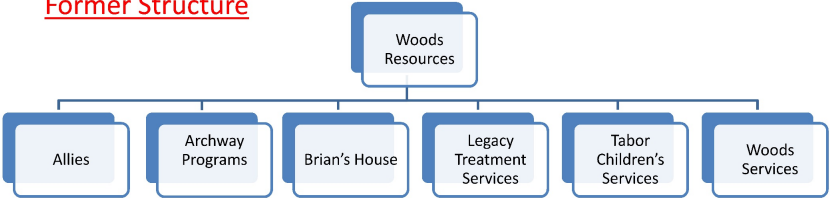
Appendix M: Consortium - Advocacy Regarding Priority Access to COVID-19 Vaccines

Appendix N: Recommended Reading List

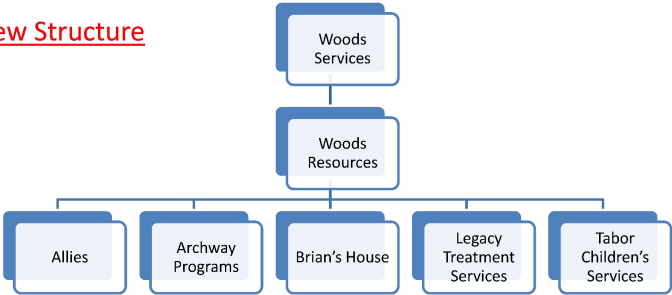
Woods Corporate Structure

Appendix A

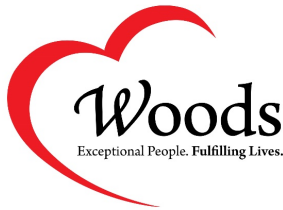
Former Structure



New Structure



Appendix B



Transformation and Strategic Directions Plan

Woods Services is a nonprofit multi-service population health management and advocacy organization founded more than 105 years ago. Woods provides innovative, comprehensive and integrated health, education, workforce, behavioral health and care management services to children and adults in the intellectual and developmental disability, child welfare, behavioral and brain trauma public health sectors.

Mission

Woods supports children and adults with disabilities or challenges to achieve their highest potential and independence through innovative and individualized approaches that promote learning and personal fulfillment.

Vision

We envision a world where an individual has opportunities and supports that promote self-determination, the joy of achievement and a fulfilling life.

Approach

We achieve our mission, vision and values through our multi-service healthcare and human service offerings. We develop innovative approaches and utilize evidence-based best practices to improve the health and well-being of the people we serve through individualized person-centered services, partnership, innovation, research, advocacy, and training.

Our approach is carried out through Woods and its five affiliate organizations:



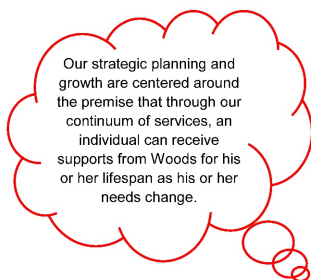
Allies, Inc. supports more than 350 adults in community homes located in 20+ counties throughout New Jersey. Allies and its affiliates are dedicated to providing meaningful employment, habilitation and recreational opportunities to people with disabilities in the communities of their choice. www.alliesnj.org

Archway Programs offers an array of programming for 1,600 children and adults in southern New Jersey that include a before and after school program, two special education schools, early intervention services, youth, adolescent and adult partial care, and four group homes for adults with developmental disabilities. www.archwayprograms.org

Brian's House supports 113 adults diagnosed with developmental disorders in 30 community homes located in Chester and Delaware counties. Brian's House provides life skills development, vocational training, job coaching and job placement and serves 210 individuals through its residential and day programs. www.brianshouse.org

Legacy Treatment Services is a vibrant agency utilizing cutting-edge technology and evidence-based practice in treatment and clinical care for more than 15,000 people. Its mission is to change the behavioral health and social service outcomes for people of all ages from surviving to thriving. www.legacytreatment.org

Tabor Services has been meeting the needs of 1,400 at-risk children, young adults and families through a Community Umbrella Agency (Tabor Community Partners) in Philadelphia, as well as providing therapeutic foster care, supportive independent living and mentoring services in Lehigh and Bucks Counties for more than a century. www.tabor.org



Woods for Life Continuum

Strategic Priorities

The purpose of the Strategic Directions and Transformation Plans is to develop a roadmap that is completely aligned with Woods' mission, vision and core values and positions **Woods to be the leading multi-service healthcare and advocacy organization** in the U.S. for people with exceptional challenges and complex needs.

The strategic priorities are organized into four focus areas:

- I. **Mission-driven growth and improved services through Woods for Life Continuum**
- II. **Employee engagement**
- III. **Enterprise shared services**
- IV. **Strategic position, policy and thought leadership**



AUTISM



DEVELOPMENTAL
DISABILITY



BRAIN INJURY



EMOTIONAL &
BEHAVIORAL CHALLENGES



PRADER-WILLI &
GENETIC DISORDERS



MEDICAL
COMPLEXITIES



Mission-driven growth and improved services

Pursue enterprise-wide development and funding opportunities, identify new programs, services and population health opportunities, develop a culture of social innovation and social enterprise creation. Expand Woods' programs into New York and New Jersey to provide those aging-out with an opportunity to remain with "**Woods for Life**" including:

Investing in current programs (organic growth) especially in Pennsylvania, New Jersey and New York that focus on the needs of our current population. Expand service lines in order to provide those currently receiving services with the opportunity to choose a **Woods for Life Continuum of Services** as their needs change throughout their lifespans.

- A. Adopt Evidence-based and Innovative School Models
 - 1. Establish Woods as a leader in the field by adopting evidenced-based (e.g., School Wide Positive Behavior Support Program) and innovative education approaches and developing a school model that is replicable
- B. Reduce and Eliminate the Use of Restraints
 - 1. Adopt evidence-based approaches to reduce, with the goal of eliminating, the use of restraints and become a model for others in becoming restraint free.
- C. Enhance Clinical Services
 - 1. Adopt best practices and evidence-based approaches to ensure that the behavioral health needs of children and adults with intellectual disabilities and behavioral challenges are met.
- D. Open the Medical Center at Woods
 - 1. Improve medical management, care coordination and service integration for individuals served; reduce ER visits and unnecessary hospitalizations.
- E. Enhance Quality Improvement Processes
 - 1. Obtain nationally recognized accreditation supported by a data-driven approach to quality improvement and outcome evaluation; build capacity to participate in more research and evaluation initiatives.

Exploring new and expanded program areas including mergers and affiliations (inorganic growth) in Pennsylvania, New Jersey, New York and other states that focus on the needs of our current population.



Employee engagement

Establish Woods as an "Employer of Choice" for our sector. We will enhance employee benefits and services, recognize and reward excellence, and provide talent development and educational advancement opportunities to help with recruitment and retention of the most highly qualified and caring staff.

- A. Establish the Employee Development and Training Department as a Talent Management Center of Excellence
 - 1. Foster a learning culture that results in a talented, satisfied, and stable workforce by creating a supportive culture that develops, educates, and promotes employees from the time of hire and onward.
 - 2. Develop career paths and professional development opportunities.
 - 3. Partner with colleges and universities to provide on-site and discounted educational cohort programs.
 - 4. Implement new strategies to promote inclusion, diversity and equity plan.



Infrastructure/Enterprise shared services

Explore investment in full or limited shared services infrastructure model to support alignment, growth and scaling.

- A. Create a System for Integrated Care and Education
 - 1. Realign Woods' organizational structure with health system structures and become a Center/ System for integrated care and education.
- B. Enhance Finance Functions
 - 1. Enhance Woods' finance infrastructure to efficiently and effectively support operations and growth.
 - a. General ledger being implemented across all affiliate organizations
- C. Optimize Automation of Systems and Become Paperless Over Time
 - 1. Improve the efficiency and cost of operations, enhance the use and sharing of information, and improve collaboration through automation.
 - a. An Electronic Medical Record (Care360) has been implemented in the Medical Center
 - b. An Electronic Health Record (Care Logic) is being implemented in stages beginning in June with Beechwood NeuroRehab
- D. Enhance Infrastructure and Capacity in the Human Resources Department to Drive Strategies that are Focused on Employee Recruitment, Retention, and Performance
- E. Enhance Facilities
 - 1. Enhance program environments.
- F. Enhance Communications
 - 1. Enhance relationships with stakeholders by effectively communicating organizational transformation and accomplishments.



Strategic Position, Policy and Thought Leadership

With more than 100 years of experience in the field of intellectual and developmental disabilities, Woods has a long-standing history in researching, developing and advocating for forward-thinking and innovative practices that improve the lives of the people it serves as well as to influence best practices for the industry.

Through this plan, Woods is seeking to identify possibilities for research and evaluation partnerships, and opportunities to position Woods as an advocate and convener on disability, child welfare and brain injury issues at the local, state and federal levels.

- A. Enhance Relationships with Stakeholders, Including Funders and Regulators by Effectively Communicating and Demonstrating Organizational Transformation
- B. Rebrand Woods Services as an Integrated Healthcare and Education System
- C. Develop Mollie Woods Museum
- D. Develop Industry State and Federal Policy Strategies in Partnership with Like-Minded Organizations to Address Challenges and Opportunities
- E. Develop a Reputation for Thought Leadership in the Areas of Policy, Research and Training

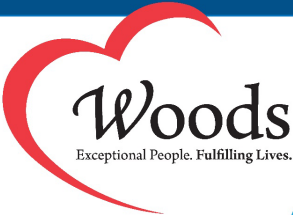
The Interlocking Pieces of Transformation at Woods



BUILDING OUR FUTURE TOGETHER

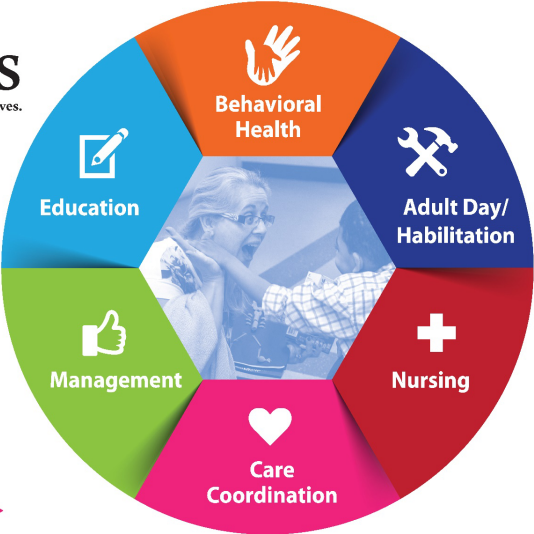
Woods is committed to creating and sustaining a culture that embraces and supports **DIVERSITY, INCLUSION**, and the personal and professional **GROWTH** of our employees.





Let's work
together
to create a
personal
career path
just for you.

CAREER PATHS AT WOODS ▶



Building Our Future Together: Career Opportunities at Woods

Adult Day/ Vocational Career Path

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WE OFFER GREAT BENEFITS!

EDUCATION

We offer the following benefits to support your education and professional development.

- Tuition reimbursement
- Student loan repayment program
- Highly discounted on-site college degree programs
- Discounted tuition with participating colleges and universities

HEALTH & WELLNESS

Good health is critical to the overall well-being of you and your family and we offer generous health benefits.

- Onsite medical center
- Medical, vision, and prescription coverage choices including a zero payroll deduction plan
- Multiple comprehensive dental and orthodontia plans
- Company-paid life insurance and long-term disability insurance
- Numerous voluntary insurance programs

RETIREMENT

We know at some point you will want to stop working and enjoy more leisure time and therefore we provide a generous contribution and match to your 403b plan that you take with you no matter when you leave Woods.

- Retirement plan with company contribution and match

WORK/LIFE BALANCE

In today's fast-paced world, maintaining a healthy balance between work and life can be a challenge. In addition to creating a culture of caring at work, we also offer benefits that we hope help to reduce some of life's stresses.

- Generous paid holiday, vacation & sick time
- Employee Assistance Program
- Employee discounts with Verizon
- Friends & Family Discount at Faulkner-Ciocca Dealerships
- Employee referral bonus
- Onsite flower and gift shop (Yellow Daffodil)
- Onsite café and snack shop (Common Grounds Café)

ARE YOU READY TO PURSUE YOUR CAREER PATH?

Let's get started! The path shown is an illustration of only one possible progression within a specific area. The great news is that career progression is flexible; anyone can move from one path to another to create their own personal career path! If you would like to discuss how to get started, please schedule a meeting with Human Resources to discuss next steps.



Choose a career at Woods and together we will build our future

www.woods.org/careers

We envision a world where an individual has opportunities and supports that promote self-determination, the joy of achievement, and a fulfilling life.



Thea Taimanglo
Administrator, Adult Day and Vocational Services

"I actually didn't get the first job I applied for at Woods, but was called back for another so, even before my first day, I had mentors who saw strengths in me that I didn't see in myself! I showed up every day, gave 110% and it was noticed! I love to share my story and brag to interviewees about the opportunities to learn, grow and be exposed to other career options right within Woods. I was never the kind of person who knew exactly what she wanted to be when she grew up, but finding Woods ... helped me find my way!"

Thea's Career Path at Woods:

Certified Therapeutic Recreation Specialist
Recreation Coordinator
Program Specialist
Residential Manager
Director of Vocational Services
Director of Vocational & Habilitative Services
Administrator, Adult Day and Vocational Services

Building Our Future Together: Career Opportunities at Woods

Behavioral Health Career Path

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Direct Support Professional

Level I

HS diploma, GED or a college degree.

Level II

12 college credits in a human services field (RTF) or an associate's degree (Beechwood).

Level III

BA/BS degree

Staff Mentor

Minimum of three years' experience working in a residential setting serving individuals with I/DD (1 year of experience at Woods).

Clinician

Master's or Doctoral degree in psychology or related discipline. One of the following licensures are preferred: LPC, LSW, LCSW, or licensed psychologist. Background in the development and implementation of behavioral interventions and various modalities of psychological treatment. Experience in group and individual therapy. Expertise/training in the use of psychological assessment tools is preferred.

BCBA

(Board Certified Behavior Analyst) Master's or Doctoral degree in psychology or related human services field. Background in the development and implementation of behavioral interventions and various modalities of psychological treatment. Expertise/training in the use of psychological assessment tools.

Psychologist MA

MA/MS, and PA License in Psychology. Background in the development and implementation of behavioral interventions and various modalities of psychological treatment. Experience in group and individual therapy. Expertise in conducting standard psychological (including psychometric) evaluations.

Certified School Psychologist

MA/MS, and PA Certification in School Psychology. Background in the development and implementation of behavioral interventions and various modalities of psychological treatment. Experience in group and individual therapy. Expertise in conducting standard psychological (including psychometric) evaluations.

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Joseph Petrycki, MS
Clinician

"I feel so blessed. I started working as a Staff Counselor III and was able to pursue my Master's degree within my first year knowing that Woods had a Tuition Assistance program. After earning my degree and completing my internship, I was promoted to a clinician position. Now, I am in my last year of classes to become a Board Certified Behavior Analyst (BCBA). Working with the residents and their families here at Woods is truly a fulfilling and life-changing job."

Joe's Career Path at Woods:
Staff Counselor III
Job Coach
Staff Counselor III
Master's level internship
Clinician MS

Building Our Future Together: Career Opportunities at Woods

Care Coordination Career Path

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EMPLOYEE Spotlight



Tiffany Tucker
Program Specialist

"Having been in finance for years with dreams to get back to my passion of working with disabled/disadvantaged youth and psychology, I thought Woods to be a great place for someone who had been displaced too long in an unfulfilling field. I came in as a Job Placement Coordinator understanding that Woods could provide me with the experience I needed to transition back onto a career path that I LOVED. As a Program Specialist, the knowledge I have learned with working with residents and all the supports associated with their well-being just confirmed that I was CAPABLE to continue in this field. With the assistance of Woods, I am currently in pursuit of my Master's Degree in Clinical Mental Health Counseling by utilizing tuition reimbursement. I cannot wait to explore this organization as I continue to progress."

Tiffany's Career Path at Woods:
Level II Job Placement Coordinator
Program Specialist

Building Our Future Together: Career Opportunities at Woods

Education Career Path

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Direct Support Professional / Teacher's Aide

- Level I**
HS diploma, GED or a college degree.
- Level II**
12 college credits in a human services field (RTF) or an associate's degree (Beechwood).
- Level III**
BA/BS degree
- Staff Mentor**
Minimum of three years' experience working in a residential setting serving individuals with I/DD (1 year of experience at Woods).

Emergency Certified Teacher

BA/BS degree and teacher certificate in some area other than special education or BA/BS degree and enrolled in a special education program with at least 9-12 credits, or BA/BS degree in a human services related field and 2 years of experience with people with I/DD. Enroll in a PA certification program leading to a Level I Certificate.

Teacher (BA)

BA/BS degree and current PA Professional Certificate in Mentally and/or Physically Handicapped or Special Education N-12. Level I Certification required.

Teacher (MA)

MA/MS degree and current PA Professional Certificate in Mentally and/or Physically Handicapped or Special Education N-12. Level II Certification required (Woods can help teacher attain this).

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EMPLOYEE Spotlight



Cindy Hutchinson
Teacher

"Woods has given me the opportunity to have a good position and support a family. They worked with me when I became a single parent and needed to adjust my work days and hours so that I could be with my very young children. I was also able to get medical insurance for my children through Woods. These adjustments led me down a new career path and a job which enabled me to get a mortgage."

Cindy's Career Path at Woods:
Intern at Holland and TWE
Residential Counselor
Program Specialist
Teacher, Emergency Certification
Teacher, M.Ed

Building Our Future Together: Career Opportunities at Woods

Management Career Path

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Direct Support Professional

Level I
HS diploma, GED or a college degree.
Level II
12 college credits in a human services field (RTI) or an associate's degree (Beechwood).
Level III
BA/BS degree
Staff Mentor
Minimum of three years' experience working in a residential setting serving individuals with I/DD (1 year of experience at Woods).

Supervisor

BA/BS degree and 1 year of experience working with persons with I/DD, or 60 credit hours and 3 years of experience working with persons with I/DD.

Manager

BA/BS degree, 2 years of experience working with persons with I/DD and 2 years of supervisory experience.

Assistant Director

BA/BS degree, 2 years of experience working with persons with I/DD and 2 years of management and supervisory experience preferred.

Director

BA/BS degree, MA/MS degree preferred, 3 years of experience working with persons with I/DD and 3 years management and supervisory experience.

Administrator

MA/MS degree preferred, minimum of 5 years of experience in I/DD field and 10+ years of management experience.

Executive

MA/MS degree and 10+ years of senior management experience preferably in healthcare or I/DD field.

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Beverly A. Hock, M.Ed.
Program Administrator, Mollie Woods

"Woods was my first job out of college. I remember driving onto campus for my interview - by way of the main gate - and thinking "this is where I want to work". Part of what has kept me at Woods so long is I have been given lots of opportunities to move around the company, which has broadened my experiences and improved my skills. I was able to get my master's degree while working at Woods - benefiting from the tuition reimbursement program."

Beverly's Career Path at Woods:
Recreation Specialist
Program Specialist, Brookwood
Director of Recreation, Mollie Woods
Residential Director, Mollie Woods
Manager, Beechwood of NJ
Residential Manager, Forrest Hall
Residential Director, Crestwood
Residential Director, Mollie Woods
Program Administrator, Mollie Woods



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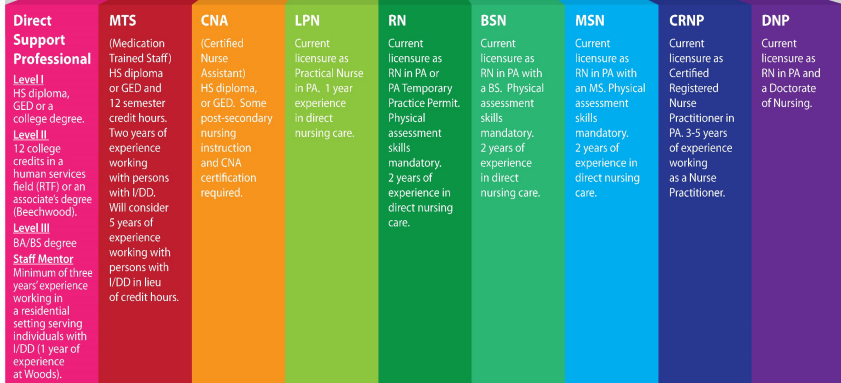
www.woods.org/careers

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Building Our Future Together: Career Opportunities at Woods

Nursing Career Path

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Joe Montenegro
Woodlands Nursing Supervisor

"I am very grateful that I was able to utilize Woods' Tuition Reimbursement Program when I was pursuing my R.N. degree. I am now utilizing it to obtain my BSN at Rider University and plan to continue further with Woods' help to obtain my Master's in Health Administration. The Reimbursement Program is such a big help."

Joe's Career Path at Woods:
Residential Counselor
Medically Trained Staff (MTS)
R.N. for Woodlands Nursing
Woodlands Nursing Supervisor

Appendix E

SOCIAL INNOVATIONS Journal, Institute & Lab

Overview of the Social Innovations Lab

The Social Innovations Institute & Lab™ takes participants through a process of innovation that transforms both emerging and established leaders and their organizations into sharper, smarter, better versions of themselves. Generally held in six sessions over 2-3 months, the Social Innovations Institute & Lab™ is an intensive sustainable innovation process that includes idea exploration, testing and plan execution to hone entrepreneurship and innovative thinking skills while developing, and eventually executing, new or improved business models.

Lab participants will learn from international and national experts with real-life experience and research knowledge of how to create new healthcare education and program opportunities, design their business models, and attract both seed money and sustainable funding, as well as develop policy implementation strategies. In addition, to the lab facilitation, each participant will be provided with a license/account to the Social Innovations Virtual Institute Framework and Copy of The Social Innovator's Playbook: a process to develop great products and services, dedicated employees, and great teams: A Company's Guide to Creating Innovation from the Bottom Up. All participants will receive a certificate of completion from the Social Innovations Institute.

Purpose and goals of the Social Innovations Lab

The Social Innovations Lab serves as a useful tool for organizational development and employee engagement. The Lab is open to employees at all levels of the organization and all job categories, with the philosophy that good ideas can emerge from all areas. Employees may work alone or in small groups, which can promote collaboration that often occurs across departments and disciplines. In addition, the organization may identify potential leaders as they progress through the Lab. Finally, investing in employees' professional development through this approach results in positive attitude and morale.

Lab topics:

- 1) Defining Social Entrepreneurship
- 2) Turning an Idea/Social Issue into a Social Innovation and Enterprise
- 3) Target Audience
- 4) Creating a Leadership/Organizational Strategy
- 5) Development of a Business Plan
- 6) Creating the Financial Model
- 7) Developing Market Strategy
- 8) Scaling/End Game Strategy/Movements
- 9) Social Investing and Social Return on Investment (SROI)

What's a Social Enterprise?

Social enterprises are businesses whose primary purpose is the common good. They use the methods and disciplines of business and the power of the marketplace to advance their social, environmental and human justice agendas. Three characteristics distinguish a social enterprise from other types of businesses, nonprofits and government agencies: 1) It addresses an intractable social need and serves the common good either through its products or services; 2) its commercial activity is a revenue driver, whether earned income within a non-governmental agency's mixed revenue portfolio, or a for profit company or government unit; and 3) the common good or solving a social issue is its primary purpose.

Appendix F



OPEN TO ALL STAFF



Do you have an idea for a new line of business for our organization, an idea to improve services for people with intellectual and developmental disability, or those being served in the child welfare, behavioral and brain trauma public health sectors, or a way to improve employee morale or engagement?

SOCIAL IMPACT



SOCIAL ENTERPRISE



POLICY AND SYSTEMS



THE SOCIAL INNOVATIONS INSTITUTE & LAB IS COMING TO WOODS!



WHAT IS IT?

Idea exploration, testing and execution
Workshops to strengthen entrepreneurship and innovative thinking
Classes and Curriculum for business model development



WHO IS IT FOR?

All staff with an innovative spirit



WHEN IS IT?

June 26 & 27, July 10 & 11, August 28 & 29 (10:00-1:30)
September 18 (12:30-2:30) - Pitch Event (invite your colleagues!)

*If you provide direct services during these times, please speak with your program manager about your interest.

The Lab inspires people and organizations to **dream**.

It provides staff with the tools and knowledge to launch and grow their ideas.

The Woods Services Foundation will provide grants to help with the start-up expenses of the top proposals.

LOCATION: WOODS SERVICES

SESSIONS BEGIN JUNE 26 & 27

TO REGISTER EMAIL [PETER.SHUBIAK@WOODS.ORG](mailto:peter.shubiak@woods.org) BY JUNE 15TH

Woods

Unlocking Potential



The Transformation of Woods Services

Strategic Directions and Transformation Plan

As a result of momentous changes driven by a Strategic Directions Plan (developed February 2017) and a Transformation Plan (developed January 2018), Woods has responded to the rapidly changing disability and behavioral healthcare field and positioned itself as the premier population health provider for individuals with complex clinical and medical diagnoses and severe behaviors.

Strategic Focus

1. Mission Driven Growth and Enhanced Services
2. Employee Engagement and Development
3. Infrastructure and Enterprise Shared Services
4. Strategic Position, Policy, and Thought Leadership

How Far We Have Come

The changes we have made position us for success!

- | | |
|--|--|
| ✓ Medical Center at Woods | ✓ Career Paths |
| ✓ Reduction in Restraints | ✓ On-site, Discounted Degree Cohort Programs |
| ✓ Affiliation with Legacy | ✓ Infrastructure Investments |
| ✓ New Clinical Programs | ✓ Human Resources Information and Payroll System |
| ✓ New Education Program Leadership Model and Evidence-based Programs | ✓ General Ledger |
| ✓ Expansion of Social Enterprises | ✓ Electronic Medical Record |
| ✓ Enhanced Employee Benefits | ✓ Electronic Health Record |
| | ✓ Co-established PANJ Health & Disabilities Consortium |

The Importance of Culture

“Culture eats strategy for breakfast”

High performing organizations successfully engage their employees and customers by creating and sustaining intentional corporate cultures that are aligned with their mission, values, and strategies.

Our culture will ultimately determine our success in executing and sustaining the meaningful change we seek through our Strategic Directions and Transformation Plans

Culture-shaping Initiatives:

- UKERU – Restraint Reduction using Culture of *Comfort versus Control*
- School-Wide Positive Behavior Support Program
- Enhanced Employee Benefits and Career Development
- Population Health Management
- Equity, Diversity, and Inclusion
- Leadership Coaching and Development Using an Emotional Intelligence Model
- **Unlocking Potential – A Culture of Excellence Initiative**

Unlocking Potential

A Culture of Excellence Initiative

- Based on the tenets of Disney’s Culture of Excellence Business Model
- Creates an intentional culture that is aligned with our mission, vision, and values
- Provides a clear and consistent framework and language for all employees
- Identifies and prioritizes key service standards for all employees
- Makes it clear what behaviors are encouraged and rewarded
- Developed with input from 100 employee interviews and dozens of focus groups

Our Vision

We envision a world where everyone has the opportunities and supports that promote self-determination, dignity, respect, the joy of achievement and a fulfilling life.

Our Goal

To become **the premier** population health provider that supports children and adults with disabilities and challenges to achieve their highest potential.

Our Keys to Unlocking Potential

We hold the keys!

Safety



Comfort



Engagement



Safety Key to Unlocking Potential

I always put safety first

- Ask “is there a safer way?”
- Focus on my job and be fully present

I ensure the care and safety of others and myself

- Identify, correct and report concerns
- Think before reacting in high stress moments
- Practice self-care

I protect the emotional safety of others

- Be mindful of word choice and body language
- Consider how my actions affect the well-being of others
- Be trauma-informed



Comfort Key to Unlocking Potential

I support with heart

- Greet and welcome others
- Be approachable, smile and make eye contact
- Keep conversations positive and professional
- Value and respect others
- I am courteous and respectful

I make relationships matter

- Support a person in need while being mindful of safety
- Take a sincere interest in the well-being of others
- Show gratitude and appreciation
- Be open to asking for and receiving help
- Actively listen to others



Engagement Key to Unlocking Potential

I perform my role with courage, integrity, and ownership

- Take ownership and be accountable to self and others
- Complete tasks with intentional detail
- Be emotionally and physically present
- Be curious and ask questions

I proactively engage with everyone

- Look for opportunities to empower others

I work as a team member and build partnerships

- Seek to understand rather than to judge
- Recognize and appreciate successes

I communicate effectively

- Share information in a timely manner
- Respond promptly to requests
- Seek information



A Fresh Start

Woods' repositioning as the premier population health provider necessitates consideration of rebranding. As we align our culture, services, policies and procedures, etc. around this model, a new brand places a "public face" on the transformation for all our stakeholders.

At each transformative stage in Woods' 105 year history, a new brand was introduced:



1960s and 70s. Tagline: **To help each resident reach his highest level of achievement, whatever it may be.**



Along with its Diamond Jubilee in 1973, Woods Schools introduces new logo



1990s creation of new programs and period of growth for Woods, now called Woods Services. Tagline: **Enabling people with special needs to reach their full potential.** In 2012, we added color!



Introduced in 2013 as Woods celebrated its Centennial and began to grow through affiliations. The tagline: **Exceptional People. Fulfilling Lives.** resonated with all stakeholders.

Branding demands commitment; commitment to continual re-invention; striking chords with people to stir their emotions; and commitment to imagination. It is easy to be cynical about such things, much harder to be successful."

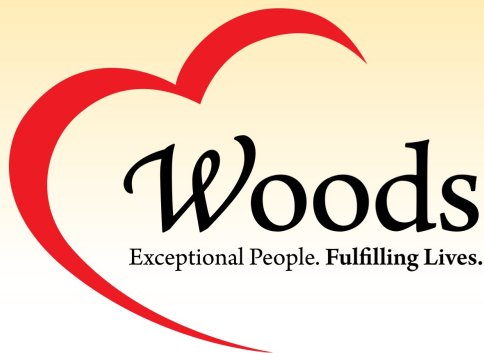
– Sir Richard Branson

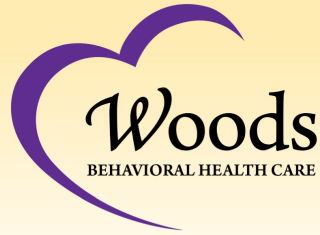
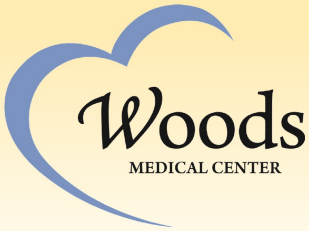
The New Woods

Through focus groups and individual interviews, we've identified our brand promise as

Support with Heart

Our new logo exemplifies our brand promise and our vision. It has flexibility to grow with the organization as we move toward a shared services structure.





Implementation Plan

March

- Develop Unlocking Potential training curriculum
- Identify Ambassadors/Influencers
- Identify training cohorts
- Develop training schedule
- Introduce to Board and Executive Leadership

**April through
end of Year**

- Facilitate Executive Workgroup, Department Leadership Teams and Identified Key Influencers
- Begin Department Team Workgroups
- Rollout of logo and brand promise and concepts begins





Core Values

RESPECT

We treat everyone with dignity, care and consideration



OWNERSHIP

We accept responsibility



TEAMWORK

We work together towards common goals



COURAGE

We have the strength and conviction to stand up for what is right



OPENNESS

We encourage and accept feedback from everyone



DIVERSITY

We value and celebrate our differences



INNOVATION

We explore and implement cutting edge practices

Appendix H

WOODS SERVICES CREATING A CULTURE OF EQUITY, DIVERSITY, AND INCLUSION PLANNING PROCESS

Phase 1 – Prepare for Start-Up (February – April 2018)

Action Steps:

- Inform senior leaders and the board of the EDI initiative and planning process. (Chief Culture Officer)
- Announce the EDI initiative to stakeholders. (VP for Communications)
- Develop EDI planning process (Chief Culture Officer, Emerging Leader, and OD Consultant)

Phase 2 – Establish a Framework that Ensures Broad Input (September - October 2018)

Action Steps:

- Establish an EDI Strategic Planning Committee that is diverse and inclusive of all levels of the organization. (Chief Culture Officer and Emerging Leader)
- Create a safe learning and working environment for candid and honest conversations. (Chief Culture Officer, Emerging Leader, and OD consultant)
- Develop a clearly articulated EDI vision statement, business case, and working definitions. (EDI Strategic Planning Committee)

Phase 3 – Assess Needs and Develop EDI Strategic Plan (October - December 2018)

Action Steps:

- Lay the ground work and conduct an organization-wide cultural assessment. (EDI Strategic Planning Committee)
- Develop an EDI Strategic Plan. (EDI Strategic Planning Committee)
- Present the EDI Strategic Plan and budget implications to senior management for approval. (Chief Culture Officer)
- Communicate EDI Strategic Plan with stakeholders. (VP for Communication)

Phase 4 – Implement EDI Initiatives (January – June 2019)

Action Steps:

- Execute EDI Strategic Plan. (Assigned Responsibility)

Revised October 2018

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Revised October 2018

Appendix I

WOODS SERVICES
EQUITY, DIVERSITY, AND INCLUSION STRATEGIC PLAN – FY20-23

PRIORITY 1: Human Resources		
GOAL: To establish a diverse workforce at all levels of the organization by ensuring equity and inclusion in recruitment, hiring, and professional advancement policies and practices.		
STRATEGY What will we do to achieve this goal?	INDICATORS OF SUCCESS How will we know when we have achieved the strategy? What concrete actions steps will need to be completed?	MEASURE OF SUCCESS How will we measure success for this strategy?
1. Analyze employee demographic data to identify trends in employee applicants, new hires, promotions, and disciplinary action	1. Trends are identified to help inform policies and practices.	Changes are made to policies and practices based on the review of demographic data and identification of trends.
2. Diversify employee recruitment approaches to under-represented groups.	1. Under-represented groups are identified. 2. Recruitment approaches are assessed. 3. New outreach and recruitment strategies are determined and implemented.	There is increased representation among identified under-represented groups in employee applicants and new hires.
3. Promote EDI via interviewing and hiring practices.	1. Interviewers and hiring managers receive enhanced EDI training. 2. Trainees are asked about their training experience and its impact.	Interviewers and hiring managers report increased awareness of EDI issues, such as implicit biases, as a result of the EDI training they received.
4. Promote the Career Paths through an EDI perspective.	1. A mentor/sponsorship program is established.	Mentees from identified under-represented groups for each of the six Career Paths are paired with mentors/sponsors.

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Appendix J

Woods Services Due Diligence Checklist -- Summary

Affiliations and Mergers

Corporate and tax exemption documents and contracts

- Organizational documents – Certificate of Incorporation, By-Laws, Operating Agreement, etc.
- Charitable organization reports filed with Secretaries of State
- Tax exemption determination letter or other IRS tax documents
- Copies of 990s for the past three years
- List of board of trustees
- Organizational charts and job descriptions for key employees
- Copies of contracts and agreements

Real estate/property

- List of locations
- Copies of mortgages, leases, and deeds
- Maintenance anticipated

Programs and services

- List of programs and program descriptions, including populations and numbers of people served
- Copies of licenses and accreditations
- Copies of recent licensing and accreditation audits
- Copies of incident reporting
- Sampling of client records (de-identified)

Litigation

- Description of all litigation within last seven years involving executives or trustees
- Description of settlements within last three years
- Description of contractual disputes which may represent a liability

Regulatory matters/compliance

- Copies of reports to funding agencies and licensing bodies within last five years
- Permits and approvals, and any canceled or terminated licenses

Personnel policies, contracts, compensation and benefits, retirement plans

- Personnel list
- Pending grievances
- Copies of executive or management position descriptions and controls; list of vacancies in any critical position
- Personnel policies
- Workers compensation claims
- Employee handbook
- Staff turnover and retention rates
- Employee benefit and retirement plans
- Human resources information systems

Environmental issues

- Copies of environmental reports, tests and studies, including those related to petroleum or asbestos
- Copies of policies and procedures related to assessment and monitoring of environmental quality in the workplace and client locations

Financial matters

- Copies of audited financials for the past three years
- Unaudited financials for current year
- Contact information for auditors and tax accountants
- Internal documentation related to accounting policies and financial processes
- Report of revenues by source for current and past three years
- Bank statements
- Fixed asset detail listings by asset category for current year and prior year
- Copies of loan agreements
- Accounting software

Insurance and risk management

- Copies of all types of insurance policies and claims
- Copies of safety, risk management, disaster, emergency preparedness and business continuity plans

Information technology

- List of physical sites with IT presence
- Description of internet connectivity, hardware, software, networking hardware, and hosting services
- Description of telephone system and capacity
- IT policies and procedures
- Copies of IT related service, maintenance, purchase and lease contracts



WOODS SERVICES SHARED SERVICES PLAN

Woods Services, together with its affiliates, are a large life-cycle nonprofit population health network and advocacy organization providing innovative, comprehensive and integrated medical, allied and behavioral healthcare, education, housing, workforce and life-cycle and case management services for children and adults with life-long intellectual disabilities and complex medical, genetic and/or behavioral health challenges. Woods and affiliates are sometimes referred to herein as the “Woods Network.” Under its previous Strategic Directions Plan, initiated in 2017, Woods has developed a strong system of care through and across its affiliates in NJ and PA. In the current Strategic Directions Plan, adopted in January 2020, the Woods Network is now ready to focus on centralized and shared back-office services administration.

WHY WOODS SHARED SERVICES?

While Woods and affiliate system of care partners have enjoyed some shared services across the agencies, with this Plan, Woods intends to create a fully integrated and centralized system for shared back-office services across the Network.

SHARED SERVICES VISION AND STRATEGY

In 2016, Taygan Point Consultant Group presented Woods and its affiliates with a recommendation to begin to centralize services by moving toward a shared services platform and standardizing processes, including technology, such as IT, Finance Communications and HR.

Well executed centralization and integration efforts will lead to cost savings, increased operational efficiencies, and improved compliance and risk management, free up affiliates to focus on client support and business growth, and provide for an overall scalable platform for organizational growth.

Since the report in 2017, Woods and affiliate leadership have begun to integrate services but not in a systematic way. To date, the following has occurred:

- All but one organization (Allies) have selected and use a common HR system, Paycom.
- Woods and affiliates implemented a unified financial system, Great Plains. However, it still does not have one payroll system.

-
- Office 365 has been deployed and connected by all affiliates, but for Allies.
 - CFO's of affiliate agencies have a dotted oversight line to the Woods CFO.
 - Legal oversight has been implemented across Woods and affiliates, including, to a limited degree, Allies.
 - Communications and HR leadership meet and collaborate when needed.

FUTURE SHARED SERVICES OPERATING AND GOVERNANCE MODEL

Establish a new SVP of Shared Services Position at Woods – August 2020

In August 2020, Woods will select a Senior Vice President (SVP) of Shared Services. Reporting to Woods' President and Chief Executive Officer, the SVP of Shared Services will play a crucial role on the Executive Leadership Team and will be responsible for providing long term planning, integration, management and oversight of key administrative and back-office strategic functions across the Woods Network. This new role brings together the critical strategic and administrative activities under one leader with the intention of further increasing the strategic and operational effectiveness, efficiency and speed of these critical functions to assist the Woods Network to focus on its mission to serve people with developmental disabilities and behavioral challenges across their life-span, quickly and nimbly. This position provides executive leadership of critical functions for the organization including Finance, HR, IT, administration, procurement, compliance, risk and safety.

The SVP of Shared Services will ensure that resources are aligned to support the overall strategic direction of the Woods Network and to strengthen the organizational functioning of the organization, thereby enabling excellent programming and growth.

Shared Services Governance Committee – September 2020

The SVP of Shared Services will report to the Shared Services Governance Committee, which is made up of the CEO, CALO, CFO, SVPHR, AVP Training and Development, AVP of IT and affiliate leadership.

Shared Services Operations and Completion Timelines:

Executive Leadership - ongoing

- Corporate-wide strategy support for affiliate senior management and leadership.

Legal – September 2020

- Centralize all legal activities including, but not limited to, governance, corporate transactions and M&A, litigation management and selection and supervision of outside counsel under Woods CALO.
- All legal issues for Woods and affiliates are overseen and guided by Woods CALO.

-
- Analyze and provide oversight for regulatory matters.
 - Supervise a centralized contracts management system and review of contracts.
 - Oversee the maintenance of all Woods Network records and responses to requests for same.
 - Crisis management leadership.

Communications, Grants and Development – January 2021

- Centralize and coordinate all communication, grants and fund development activities under Woods VP of Communications and Development.
- Assess Woods and affiliates staff capacities and talents in both the communications, development and grants areas.
- All communications and development staff will report to VP of Communications and Development.
- Develop and enhance brand recognition.
- Centralize web design and create a Woods brand family of logos, etc.
- Provide broad-based marketing and communications support, including crisis communications.
- Support proposal development in response to Requests for Proposals and other funding opportunities.
- Create and/or select a single grants management process supported by information systems across all of Woods and affiliates.
- Integrate all fundraising development procedures and strategies.
- Research cost savings and other efficiencies utilizing the same donor and event software.
- Oversee new program development and provide program guidance.

Finance – August 2021

- Fully centralize and create single source finance system across the Woods Network, including audit oversight at Woods.
- Assess Woods and affiliate finance staff capacities and talents.
- Standardize recording and financial data.
- Establish and standardize policies and procedures for compliance and reporting.
- Maximize the unified financial system, currently Great Plains.
- Migrate finance activities from affiliates into centralized Finance function.
- CFO's/Controllers of affiliate agencies report to Woods CFO and have a dotted line to affiliate CEO.
- Begin to create a joint procurement and vendor management system.

Human Resources – August 2021

- Identify and use, to the extent feasible, existing single source system across Woods and affiliates to manage employee records, HR activities, and compliance.

-
- Develop Human Resources model across affiliates, which incorporates
 - Assess Woods and affiliate staff capacities and talents.
 - Centralize and share recruiting across the Woods Network and cross-promote jobs. Pilot implementation.
 - Migrate HR activities from affiliates into centralized HR function.
 - Maintain local control for some local needs by continuing to have offices at each affiliate organization, i.e. interviewing/hiring and most routine HR actions.
 - Change Human Resources leads to Managing Directors reporting to SVP of Human Resources at Woods and establish a HR leadership council to standardize and curate policy and procedures.
 - Organize uniform positions across the Network, i.e. direct care staff, nurses, teachers, etc.
 - Work to leverage human resources technology to support critical operations,
 - Consolidate benefits administration under Woods.

Training and Development – August 2021

- Identify and use, to the extent feasible, existing single source learning management system (LMS) for online distribution of courses and to track training across the Woods Network.
- Assess Woods and affiliate staff capacities and talents and develop a competency based training program for critical roles.
- Centralize training and development across the Woods Network, while maintaining local control for local needs. Pilot implementation.
- Create and implement a centralized system to track the professional and educational development of Woods and affiliate employees, for the purpose of identifying potential candidates for advancement across affiliates.
- Make Woods and affiliate created online training courses available to all.
- Partner with training staff across Woods to create online training courses specific to each organization.

Information Systems and Technology – January 2021

- Centralize IS and IT functions, processes, services and standards across the Woods Network.
- Assess Woods and affiliate staff capacities and talents.
- Build upon and leverage technology and centers of excellence from affiliates.
- Affiliate IT and IS Directors/Leads will report to Director of IT at Woods and be stationed at the local affiliate offices.
- Develop and implement common IT and IS architecture (applications and infrastructure), i.e. Office 365 and SharePoint and build systems and processes across all of the Woods Network.
- Develop and implement, where practical, common EMR/EHR architecture.
- Build out IT infrastructure shared services (data center, servers, storage, desktop, etc.)

-
- Use consultants as needed.
 - Leverage IT and IS to drive innovation and industry leadership.

Government Relations – January 2021

- Centralize and coordinate all government relations activities and strategies under Woods' VP of Government Relations.
- Hire and/or select and manage all lobbyists.
- Manage all organizational memberships in state and federal associations, as well as other relevant membership organizations.

Compliance and Risk Management (Internal Audit) and Performance Quality and Improvement (PQI) – September 2021

- Centralize efforts to develop a robust, proactive and nimble Risk and Compliance Management (i.e. internal audit) function. A shared services internal audit will work in synch with Woods and affiliates' system of internal controls and governance functions to mitigate risk and improve controls, compliance and financial operations.
- Key efforts include developing an inventory of stakeholder requirements in order to track and trend compliance and risks indicators associated with regulatory bodies, funders, interest groups and contractual obligations. Key functions or efforts that will work in close partnership with Woods and affiliates' internal audit function will be:
 - Risk Management - ensure standardization of risk reporting and tracking across Woods and affiliates. Create and curate a risk profile for Woods and affiliates.
 - Licensing, Credentialing, Accreditation, and Provider Enrollment (tracking compliance (deadlines, rules, etc.).
 - Management of key governance documents such as policies, procedures, corporate code of conduct manual, business continuity planning and more.
- The PQI team will work to develop a data driven system of reporting and tracking back office and program performance data, benchmarking against best practice, regulatory, contractual/funder and accreditation standards. Although the main function is quality, PQI will work in close partnership with the internal audit function to develop key performance indicators and thresholds. If there is an indicator that falls outside of the accepted threshold, the PQI and Compliance team work on a corrective action plan.

Program Performance Quality and Improvement (PQI) – September 2021

- Centralize oversight of all program PQI, certification and accreditation efforts.

Licensing, Credentialing, Accreditation and Provider Enrollment – September 2021

-
- Centralize licensing, credentialing, accreditation, certification and provider enrollment processes and functions.
 - Standardize the coordination and tracking of all licensing, funder audits and incident reporting, reporting up to the compliance and risk management.
 - Develop a standardized system of reporting and tracking program performance data collected and sharing it with the Program PQI function.

Compliance and Risk Management – September 2021

- Centralize all compliance functions, including records management where appropriate.
- Inventory and examine compliance stakeholders and develop a plan to track and trend compliance with regulatory bodies, funders and contractual obligations.
- Define and develop a centralized Risk and Control Management (internal audit) function, utilizing the Governance, Risk Management and Compliance (GRC) industry maturity model.
- Create and curate a compliance risk profile and overall approach to and method to manage risk.
- Ensure standardization of risk reporting and tracking across Woods and affiliates.
- Utilize the established compliance and risk management methodology to make data based decisions, i.e. analysis of controls.

Medical Services – July 2021

- If appropriate and feasible, medical services will be centralized for clients and/or staff, including, but not limited to, the determination of need, establishment of services, oversight, quality control, and compliance.

AFFILIATE MANAGEMENT CONTRACT

For FY21, Woods will implement its initial Woods management services contract with affiliate organizations. Woods will provide technical assistance and management support services to Affiliates for a monthly fixed fee. The fee will be between \$8,000 per month (\$96,000/Year) to \$15,000 per month (\$180,000), depending on affiliate budget.

In FY 2022, Woods will have a centralized approach to shared services. If shared services staff are not on Woods payroll, but on affiliate organizational payroll, they will have a contract with expectations of sharing staff in i.e. lease back arrangements. Staff job descriptions will be changed accordingly.

Pennsylvania and New Jersey
Health and Disabilities Consortium

LIFE CYCLE CARE MANAGEMENT (LCCM) PROVIDER PROPOSAL

8/4/2020

Summary:

Life Cycle Care Management providers (LCCMs) who provide 24/7 comprehensive services throughout the life cycle to people with intellectual disabilities, autism and complex co-occurring conditions should be defined as a sector by the Secretary of Health and Human Services. This will allow for the value of these providers, similar to hospitals or nursing homes, to be recognized in order for them to be easily identified for assistance. The COVID-19 pandemic has highlighted the critical role that LCCM providers play in delivering life-sustaining services, while at the same time, the lack of mechanisms to recognize this critical role through funding and other support which other sectors have received during this public health crisis.

Background:

Nationally, children and adults with complex needs associated with intellectual and developmental disabilities (IDD), autism, co-occurring mental and behavioral health conditions, as well as acquired brain injury are usually served by small non-profit organizations, typically human services organizations, which provide comprehensive services to these populations. People with IDD, autism, mental and behavioral health conditions and acquired brain injury require individually-tailored care which may need to be accessed in a variety of settings and at varying levels of intensity throughout the life cycle. These services are usually funded by government and a combination of education and Medicaid dollars until the age of 21. At that time, these individuals age out of the school system and begin receiving adult services through Medicaid and Medicare.

Over the past several decades, larger nonprofit agencies recognized the nature of the life-long need for care of complex populations across the life cycle. To address these complex needs, they have developed a population health management system which takes into account most or all the services a person with complex would need throughout the life-span, adapting services to needs which may periodically change. These providers have become **Life Cycle Care Management providers (LCCMs)**.

Unlike human services, healthcare organizations are usually defined in law and by the Center for Medicaid and Medicare Services. For example, hospitals are defined as institutions that are built, staffed and equipped for diagnosis of disease and treatment, both medical and surgical, of the sick and injured, as well as for their housing during that process. However, **Life Cycle Care Management providers**, which have their roots in education and human

services, also need to be defined in law to officially recognize and reinforce their value to the sector, as well as to federal, state, local and private funders. This sector is very complex and diverse in both who they serve and who funds their services. The payer mix can include Medicare and Medicaid, private insurance, school districts, private funders, and others. In addition, Life Cycle Care Management agencies often serve people from different states, and therefore many services provided outside of the home state go uncompensated.

During the COVID-19 crisis, the lack of knowledge of the critical role that **Life Cycle Care Management providers** play became apparent. ***In spite of serving people 24-7 with all their needs, including medical services, and continuing to employ staff around the clock, the lack of formal legal recognition left the federal government with no way to identify and assist these providers financially.*** Therefore, Life Cycle Care Management providers, regardless of their funding sources, have suffered financial challenges in their efforts to ensure the health and safety of those they serve. Much of the expense is attributable to the early adoption of PPE to protect both staff and clients. ***To capture the value of these complex and essential providers, a simple and thorough way of defining the sector should be authorized by the Secretary of Health and Human Services.***

Life Cycle Care Management Organization (LCCM) Definition and Services:

(A) "LCCM", the term "LCCM" means a Life Cycle Care Management organization that directly provide or coordinate comprehensive benefits and services for persons with intellectual and developmental disabilities, autism, co-occurring mental and behavioral health conditions, as well as acquired brain injury delivered across the life cycle. Any licensed state provider providing Intellectual and Developmental Disability (IDD), autism, co-occurring mental health, and/or acquired brain injury services, funded by Home and Community Based Services Waiver and/or unmatched state, county and local funds, can be an LCCM.

LCCM provider means an entity that provides comprehensive benefits and services to people with intellectual and developmental disabilities, autism, co-occurring mental and behavioral health conditions, as well as acquired brain injury at all ages. LCCM providers have the following characteristics:

- (i) is a public or private entity, or a private nonprofit entity organized for charitable purposes under section 501(c)(3) of the Internal Revenue Code;
- (ii) serves individuals with developmental disabilities as defined in section 102 of the Developmental Disabilities Assistance and Bill of Rights Act of 2000; or autism, co-occurring mental health conditions, or acquired brain injury;
- (iii) offers comprehensive services as defined in Section (B); and
- (iv) self-manages or coordinates all services on site, in the community or through referral relationships;
- (v) includes congregate care, intermediate care facilities and home and community-based waiver providers meeting the above requirements and offering the services described in Section (B).

(B) "Comprehensive benefits and services" are defined as comprehensive health care, behavioral health, long-term care, residential placement and social service support for individuals of all ages with intellectual and developmental disabilities, autism, co-occurring mental, behavioral, neurological, and physical health conditions, as well as acquired brain injury. Key services include:

- 1) Behavioral/Mental Health (addressing conditions including, but not limited to Autistic Disorder, Psychiatric Disorders, Mood Disorders, Anxiety Disorders, Impulse Control Disorders, Adjustment Disorders, Trauma, and Dementia and other Cognitive Disorders);
- 2) Primary Care and Pharmacy Management; (coordination or delivery of services including but not limited to dentistry, chronic disease management, emergency services, home care, hospital care, laboratory, radiology services, specialty services, physical, recreational, and occupational therapy, prescription drugs);
- 3) Social Service Support (addressing social determinants of health, including but not limited to meals, nutrition counseling, transportation, personal care, caregiver training, support groups, and respite care);
- 4) Behavior Services as part of a biopsychosocial approach for people with co-morbid mental health disorders, inclusive of evidence-based, functional assessment and behavior planning to increase adaptive skills and reduce maladaptive (problem behavior);
- 5) Long-Term Support Services/Care Coordination (including but not limited to skilled nursing, adult day services);
- 6) Residential Services (the whole range of residential services including but not limited to housing support through congregate, campus-based, intermediate care, or in home and/or community-based settings) and
- 7) Employment Services (including but not limited to job readiness training, vocational rehabilitation, job retention, and community integration, with the goal of employment).

(C) "LCCM eligible individual" means an individual who:

- (i) having developmental disability as defined in section as defined in section 102 of the Developmental Disabilities Assistance and Bill of Rights Act of 2000; or autism, co-occurring mental and behavioral health conditions, or acquired brain injury;
- (ii) as eligible to receive services through an organization meeting the requirements for an LCCM provider as defined in (A) of this section; and
- (iii) residing in the service area of an LCCM provider or able to be served in the service area of a provider.

Contact:

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Pennsylvania and New Jersey Health and Disabilities Consortium Quality and Safety Standards

Overview

The Pennsylvania and New Jersey Health and Disabilities Consortium (Consortium) was formed three years ago to explore ways to improve the quality of integrated, cost-effective care and support for people with intellectual and developmental disabilities (IDD), autism, behavioral challenges, mental health disorders, brain injury and medical conditions whose complex needs continue throughout their lifespan.

The Consortium is comprised of ten large non-profit, mission-based provider organizations which collectively serve tens of thousands of adults across Pennsylvania and New Jersey requiring complex lifelong care. These agencies are: Bancroft, Chimes, Devereux, Elwyn, Legacy Treatment Services, Kencrest, Melmark, Merakey, RHD and Woods Services. Provider organizations such as these -- and the hundreds of smaller agencies in the region -- are the back bone of the human services industry, licensed and contracted with state departments and managed care organizations to provide essential supports and services to individuals living with disabilities.

Services for people with IDD and autism and co-occurring conditions are provided through a network of unconnected systems and funding streams, which vary by state and community. As a result, services are often fragmented and not well-coordinated. While a myriad of state regulations ensures the safety of those served, the IDD sector itself has not yet adopted standards for evidence-based treatment, health care and outcome measures. For this reason, the Consortium Members have come together to define principles and standards of care.

The Consortium Members agree to abide by the principles set forth here, in order to ensure that the clients served by the members receive the highest quality of care. The Consortium is comprised of Life Cycle Care Management organizations (LCCM), which directly provide or coordinate comprehensive benefits and services for persons with intellectual and developmental disabilities, autism, co-occurring mental health conditions and brain injury delivered across the life cycle.

LCCMs provide comprehensive benefits and services, defined as comprehensive health care, behavioral health, long-term care, residential placement and social service support for individuals with intellectual and developmental disabilities, autism, co-occurring mental health conditions, as well as acquired brain injury of all ages. Key services include:

1) Behavioral/Mental Health (addressing Autism Spectrum Disorder, Psychiatric Disorders, Mood Disorders, Anxiety Disorders, Impulse Control Disorders, Adjustment Disorders, Trauma, and Dementia and other Cognitive Disorders)

2) Patient-Centered Medical Home and Pharmacy Management; (primary care, dentistry, chronic care, emergency services, home care, hospital care, laboratory/x-ray services, specialty services, physical, recreational, and occupational therapy, prescription drugs);

3) Social Service Support (meals, nutrition counseling, transportation, personal care, caregiver training, support groups, and respite care);

4) Long-Term Support Services/Care Coordination (skilled nursing, vocational training and supported employment services, structured adult day services); and

5) Residential Services (housing support through congregate, campus-based, intermediate care, or home and community-based settings).

The Consortium serves in an advisory capacity to identify and inform standardized guidelines that are evidence-based to ensure the highest quality of care throughout all LCCMs. The Consortium works collaboratively to:

- set expectations for Members regarding clinical quality;
- support Members by providing clinical quality assurance resources; and
- evaluate service delivery through outcomes studies.

Standards

The scopes of services provided by each LCCM are subject to each state's mandated professional scopes of practice and regulations governing licensed providers and services, and are supported by evidence-based guidelines. Providers' scope of services may change to reflect advances in technology and the evolution of best practices in the provision of high-quality service delivery and care coordination.

The Pennsylvania and New Jersey Health and Disabilities Consortium strives to promote the ability of individuals served to achieve the highest level of independence, and to ensure the use of the least restrictive services and settings possible. To foster the highest quality of service delivery, the Members of the Consortium commit to the following:

Quality and safety

All Consortium Members are committed to monitoring quality, safety and risk on an ongoing basis, and applying the data derived from quality review to implement operational, financial and clinical improvements. Mechanisms of review may include but are not limited to:

- Peer review;
- Interdisciplinary provider review;
- Collecting aggregate data on selected quality and safety outcomes;
- Conducting utilization reviews, contract compliance and risk management reviews;
- Putting in place systems and protocols for incident management and corrective action;
- Collecting data on clients' perceptions of care.

All Consortium Members use trauma-informed, evidence-based standardized guidelines and protocols to deliver quality services. In addition, Consortium Members standardized protocols and guidelines to enhance the decision-making process in clinical assessments.

Consortium Members are subject to state oversight, involving extensive and frequent monitoring and review by licensing bodies and funding agencies, which includes scheduled and unscheduled visits, chart reviews, personnel and training record checks and inspections. All Consortium Members maintain a third-party compliance system for reporting abuse, neglect or fraud. In addition, all members conduct annual surveys to assess consumer satisfaction.

All Consortium Members possess a third-party certification or accreditation of their choice and agree to maintain these to demonstrate their adherence to these standards, or otherwise be able to document that their services are subject to third-party review and accord with these standards. Accrediting bodies include but are not limited to CARF, Council on Accreditation, and the Joint Commission.

Workforce development, training and credentialing

All Consortium Members utilize evidence-based screening and selection tools for potential employees to ensure the highest quality of service delivery and safety for all clients and employees.

All Consortium Members require employees to undergo mandated government, criminal record and child abuse screenings and clearances prior to beginning employment.

All Consortium Members have mechanisms in place to ensure that licensed providers maintain active credentials for license, training and experience, with rigorous background checks.

All Consortium Members utilize evidence-based abuse prevention programs and administer on-going training of staff and licensed providers to ensure quality and safety of service delivery.

Use of Electronic Health Records, population health management tools, and coordination of care

All Consortium Members use Electronic Health Records to ensure high-quality, efficient care and to facilitate coordination of care among providers and systems.

All Consortium Members build collegial relationships with health care systems and clinical registries, as well as other providers to ensure continuity of care. Documentation of services provided and other client visit information is shared as appropriate and feasible in order to facilitate coordination of care.

All Consortium Members provide access to the client record, written discharge instructions and educational materials to patients upon request to ensure that clients understand any diagnosis made, recommended treatment, care plans, and to promote care coordination among providers and systems.

All Consortium Members are in compliance with all state and federal regulations and applicable OSHA, HIPAA, and ADA standards. All Consortium Members follow Centers for Disease Control and Prevention (CDC) guidelines.

All Consortium Members provide an environment conducive to high-quality care and meet standards for infection control and safety.

All Consortium Members establish emergency response procedures and develop relationships with local emergency response providers to ensure that clients in need of emergency care can be transported to an appropriate setting as quickly as possible.

Person-centered practices focused on shared decision making and self-determination

All Consortium Members are committed to engaging clients in decision-making regarding their treatment plan and service delivery.

All Consortium Members promote coordination of care by encouraging clients to establish an ongoing relationship with a primary care provider, and to making appropriate and careful referrals for follow-on care and/or for conditions that are outside of the scope of the LCCM's services. In addition, all Consortium Members promote and support an open line of communication among clients, families, referring agencies and payers in order to ensure quality and timeliness of care and to incorporate new best practices and evidence-based models as they become available.

All Consortium Members support population health by improving access to care and providing health promotion and disease prevention services and education, including chronic disease self-management and other tools promoting self-determination.

All Consortium Members empower clients to make informed choices about their care.

Appendix M

**Pennsylvania and New Jersey
Health and Disabilities Consortium**

Ensuring Priority Access to COVID-19 Vaccines for People with Intellectual Disabilities

Background – As pharmaceutical manufacturers race to develop a COVID-19 vaccine, state and federal policymakers will need to make critical decisions regarding who has access to this all-important medication. Some states have already developed protocols that place individuals with disabilities at the bottom of the list for medical treatment during public health emergencies. The Pennsylvania Health and Disabilities Consortium, a coalition of large providers, want to ensure that those with intellectual disabilities and the direct care and healthcare professionals who take care of them are not left out when vaccines are administered. Below are some key reasons why individuals with intellectual and developmental disabilities (I/DD) should be given priority access to vaccines.

- **Those with underlying health conditions are at increased risk of adverse health effects or death related to COVID-19** – COVID-19 disproportionately impacts those with underlying health conditions, like diabetes, obesity and heart disease. Over 30% of persons with I/DD have a co-occurring medical, mental, or behavioral health condition that could make them more susceptible to COVID-19. Granting these individuals quick and fair access to vaccines will save money by preventing costly hospitalizations, unnecessary emotional trauma, and loss of life.
- **Individuals with I/DD require a type of care that places essential direct care staff at higher risk** - I/DD service providers employ thousands of direct care, nursing, and medical professionals who are essential workers. These heroic individuals have been putting their own health at risk to care for a vulnerable population in great need. Vaccinating those with I/DD will protect not only their health, but also those who care for them, their families, and the community at large. It will also save I/DD service providers millions of dollars that would be spent on personal protective equipment while making these resources available to other health care professionals.
- **Many individuals with I/DD live in personal and congregate care or nursing home-like settings where COVID-19 can spread rapidly** – Throughout the pandemic, we have seen how quickly COVID-19 can spread in personal care or nursing homes. Whether they live in group homes or larger congregate care settings, persons with I/DD are at far greater risk, as are the elderly and other vulnerable populations. Access to vaccines will prevent rapid and potentially significant outbreaks.
- **Vaccinating those with I/DD sends the right message** – I/DD service providers work hard to affirm the individual dignity and personal autonomy of their clients. Placing individuals with I/DD at the bottom of the list for vaccines shows that their lives are not valued and is potentially discriminatory. Vaccinating persons with I/DD based on the risk they bear is the right thing to do.

About the Pennsylvania and New Jersey Health and Disabilities Consortium - The Consortium was formed two years ago to explore ways to improve the quality of care and reduce the costs of care for people with intellectual and developmental disabilities (IDD), behavioral challenges, mental health disorders and medical diagnoses whose complex needs continue throughout their lifespan. The Consortium is comprised of ten large provider agencies which collectively serve over 10,000 adults requiring complex care. These agencies are: Bancroft, Chimes, Devereux, Elwyn, Legacy Treatment Services, Kencrest, Melmark, Merakey, RHD and Woods Services. **Please contact PANJ Consortium President, Tine Hansen-Turton at 215-219-8857 or Thansen-turton@woods.org with any questions.**

Recommended Readings

Good to Great. (2001). Jim Collins. New York, NY: Harper Business.

Forces for Good. (2012). Leslie R. Crutchfield and Heather McLeod Grant. San Francisco, CA: Jossey-Bass.

Making Strategy Count In The Health And Human Services Sector. (2014). Michael Mortell and Tine Hansen-Turton. New York, NY: Springer Publishing Company.

Practical Tools for Not-for-Profit Leaders. (2018). Nicholas Torres and Tine Hansen-Turton. Bryn Mawr, PA: Social Innovations Publishing Company.

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Social Innovation and Impact in Nonprofit Leadership. (2014). Tine Hansen-Turton and Nicholas D. Torres. New York, NY: Springer Publishing Company.

The Toyota Way. (2004). Jeffrey K. Liker. New York, NY: McGraw-Hill.

Partnerships For Health and Human Service Nonprofits. (2015). Tine Hansen-Turton, Richard J. Cohen, and Nicholas D. Torres. New York, NY: Springer Publishing Company.

THRIVING THROUGH TRANSFORMATION

*A Practical Guide to Creating
Organizational Change in the Social Sector*

Change management strategies can be daunting to think about as it is, but when they're needed in the face of a public attack against everything your organization stands for, you have to buck up. *Thriving Through Transformation* tells the story of how Woods, a leader in caring for individuals with intellectual and developmental disabilities, emerged stronger and improved against all odds. The book goes over best practices, principles, and details of strategic plans for change, and how Woods won over its employees and clients every step of the way.



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