UNIVERSITY OF TECHNOLOGY SYDNEY

A CASE STUDY OF INSTITUTIONAL CHANGE IN A DRUG ADDICTION TREATMENT CENTRE IN HONG KONG

A DISSERTATION SUBMITTED TO THE GRADUATE SCHOOL IN PARTIAL FULFILLMENT OF THE REQUIREMENTS FOR THE DEGREE DOCTOR OF EDUCATION

FACULTY OF ARTS AND SOCIAL SCIENCES

BY

HONG KONG

ALFRED WAI KEUNG MAK

2010

CERTIFICATE OF AUTHORSHIP/ORIGINALITY

I certify that the work in this thesis has not previously been submitted for a degree nor

has it been submitted as part of requirements for a degree except as fully

acknowledged within the text. I also certify that the thesis has been written by me.

Any help that I have received in my research work and the preparation of the thesis

itself has been acknowledged. In addition, I certify that all information sources and

literature used are indicated in the thesis.

Signature of Student

Production Note:

Signature removed prior to publication.

Alfred Wai-keung MAK

10 March, 2010

i

Acknowledgements

Many people made this thesis possible. The first person I would like to acknowledge dedication and support to me was my beloved wife, Siuling, who not only favoured me with generous hours to embark on the study but was always standing by to give me spiritual support to continue with the project whenever I felt frustrated with the long and gruesome research process.

My special thanks must go to my initial mentor, Dr. Bob Pithers, whose guidance was very useful in leading me to engage in the right course of study; and to Dr. Liam Morgan who, after Dr. Pithers' retirement, became the principal supervisor of my study. His patience and sincere attitude in guiding me through the study was a major factor that enabled me to complete the present study smoothly.

I would like to register my thanks to Mr. Peter Pi, the former Executive Director of the Hong Kong Society for the Aid and Rehabilitation of Drug Abusers (SARDA), who gave me permission and personal support to conduct this study on site of the "S Centre", an institution under his charge, including access to the organization's information. I also would like to express my heartfelt appreciation to my friends and colleagues, Mr. Leonard Au, Mr. Henry Wai, and Mr. Seidei Luk, for their encouragement without which I might not have joined the programme at all from the start.

A special thank you should go to my research assistant, Mr. Michael Chan, a registered social worker who willingly and unconditionally gave me support in the data collection process, and took the trouble to translate the raw data into useful information for research analysis. Finally, this study would not have been possible without the support of those staff in the "S Centre" who voluntarily participated in the research exercise and submitted valuable feedback relating to the research questions. Obviously, their comments and observations formed the bedrock of the present study.

Dedication

This Doctoral Project is dedicated to my loving wife Siuling who was always in support of my learning despite my reduced attention of her in the gruesome years of project commitments, to my colleagues and friends who believed in me, to my professors, and peer students who inspired me to continuously face the many challenges in the course of the study, and not the least to University of Technology, Sydney where I developed a true sense of personal development.

TABLE OF CONTENTS

		rage
CER	TIFICATE OF AUTHORSHIP/ORGINALITY	i
ACK	NOWLEDGEMENT	ii
DED	ICATION	iii
TAB	LE OF CONTENTS.	iv
LIST	OF TABLES	xii
LIST	OF FIGURES_	xiii
LIST	OF APPENDICES	XV
ABST	TRACT	xvi
Chap	ter	
1	Introduction	
	Overview	1
	Need for the study	3
	Significance of the study	8
	Problem to be studied	10
	The research questions	11
	Background of the study	11
	Standard of service	.11
	The Drug Treatment & Rehabilitation Centre (The study site)	_11
	Purpose of study	.14
	Outline of methodology of study	.14
	Thesis structure	14

Literature	Review		Page
Introduction	1		16
		nge	
1)		Nature of Change	
	a)	Change is unavoidable	18
	b)	Types of change	19
	c)	Change is complex and difficult	20
2)	Resis	stance to change	
	a)	Meaning and nature of resistance	23
	b)	Causes of resistance	24
3)	Mana	aging change and overcoming resistance	
	a)	Setting change strategy	25
	b)	Overcoming resistance	30
4)	Leade	ership and organizational change.	34
	a)	The mutual impacts between leadership and organizational culture	37
	b)	Factors influencing leader's formulation of change strategies	39
	c)	Leadership style on change programme	
		Effectiveness	.51
	d)	Leader-follower relationship	54
Conclusion to	Literat	ure Review	.58
Theoretical Fi			38
i) The na	iture and	d process of transformational change	.60
ii) Factors	s influer	ncing change	67

		Page
	The conceptual framework	66
3	Methods of the study	
	Part 1 General descriptions of study m	ethods
	Design of the Study	72
	Sample selection/Identification of data Sources	
	Instrumentation	77
	Procedures for Data Collection	
	Data analysis	
	Part 2 Methodology Review	
	Section 1 The review of methods employe	
	Staff as the data source	83
	The research instruments used	85
	The Focus Group	86
	The Individual Interview	87
	The questionnaires	88
	Thematic analysis	
	Questionnaire administration	
	Response rate	
	Validity of survey data	
	Reliability of the data collection agent	93
	Data from official records and archival of	documents 93
	Artefacts	
	Treatment of data	
	Section 2	
	The meaning and impact of data in relati	on to the research 95

	Page
Presentation and analysis of result findings	
Overview	98
Data presentation	
Data for answering Research Questions	
Research Question 1:	
How was the process of change initiated and managed, and how this process respond to resistance to change in the "S Centre" in years after 2000?	the
- Scope of change	100
- Performance change in standard indicators	
- Performance change in general aspects of the institution	
- Changes in inmates' qualities	
- Changes in staff performance	
- Changes in general attitudes of staff	
- Change in administrative structure	110
- Feedback from inmates (clients)	110
- Summary of answer to Question 1	111
Research Question 2	
How was the process of change initiated and managed, and how chis process respond to resistance to change in the "S Centre" in the ears after 2000?	he
- General dissatisfaction of the institution's current perform	mance 112
- The new leader initiated change with strong determination	on 115
- Change stifled by a strong institutional culture	116
- Strong resistance against change emerged from some qua of staff	
- Change strategy continued with increased efforts from th leader to win collaboration and support	
- Leader's new vision shared by staff and inmates	119
- Benefits of change felt by staff and clients	120

	Pag
Resistance fades	122
- New changes seen as unwritten codes and became the institution norm	n's
- Stakeholders took pride of the successful transformational chan of the institution	
Summary of answer to Question 2	124
Research Question 3:	
How does organizational culture influence the initiation of change, as in the case of the "S Centre"?	124
- The organizational culture as a barrier for organizational change	125
- Sub-culture as a backup for resisting change	127
- Culture and institutional change	129
- Summary of answer to Question 3	131
Research Question 4:	
How does institutional leadership relate to performance in the "S Centre"?	131
- The continuous change despite strong resistance	133
- Change at an exceedingly fast speed and in a short span of time	133
- The transformational nature of the changes instituted	134
- The `leadership' factor	134
- Quality demanded of the leader	137
Group 1 Data - Leader's professional knowledge and skill	137
- Vision	139
- Empowerment	142
- Staff development	142
- Interpersonal relations	144
- Supportive leadership	144
- Moral reasoning	145

	Page
- Competence	145
- Innovative thinking	
Group 2 data - Personal qualities required of the lea	ıder146
- The leader's dispositional attributes	147
- The leader's charisma	148
i) Commitment to organizational goal	
ii) Zeal and energy	148
iii) Problem solving and interpersonal sk	cills 148
- The 'By heart approach'	149
- The leader's moral self	150
- Leader's courage	
- Summary in answer to Question 4	151
Research question 5	
How effective are the change strategies from the general literative when applied to a closed institution?	
- The change process	152
- The institutional context	
- The change agent	
- Summary of answer to Question 5	
Research Question 6	
How might leadership and change strategies suggest a frame for transformational change in closed institutions?	
- Leadership and transformational change of instituti	on 159
- Change strategy and institutional change	
- Change in closed institutions	
- Summary of answer to Research Question 6	
- Summary of findings for Chapter 4	104

	Page
Conclusions, Discussions, and Implications	
Overview	168
Discussions	171
Why institutional change was difficult in the "S Centre"?	173
Why change of culture in the "S Centre" was difficult?	174
How does past literature contribute to explaining the cultural change of the "S Centre" in its Year 2000 reform?	176
What caused the smooth transformational change of the "S Centre" in 2000?	180
Why staff (and inmates) changed their attitude under	
the new leadership in 2000?	192
The attributes of a transformational leadership style:	
The leader's personal characteristics	194
Leader's preference for democratic/participative management	194
The Leader's moral self	195
Leader's professional knowledge and skill	196
Insistence on right behaviour	197
	Overview Discussions Why institutional change was difficult in the "S Centre"? Why change of culture in the "S Centre" was difficult? How does past literature contribute to explaining the cultural change of the "S Centre" in its Year 2000 reform? What caused the smooth transformational change of the "S Centre" in 2000? Why staff (and inmates) changed their attitude under the new leadership in 2000? The attributes of a transformational leadership style: The leader's personal characteristics Leader's preference for democratic/participative management The Leader's moral self Leader's professional knowledge and skill

	Page
Implications	
The first implication – "Planned change needs a human power source"	198
The second implication – "Effective change demands extra personal qualities from the change agent"	199
The third implication – "Humanistic approach facilitates change of human culture"	200
The fourth implication — "The power of the majority — The democratic principle"	201
The fifth implication — "Persistent change depends on continued staff development"	203
Final conclusions	204
Limitations	
Recommendations for Future Research	
The study as a reference	209
Bibliography	244

LIST OF TABLES

Table		Page
Table 2.1	Leader's qualities & characteristics	50
Table 2.2	Common Leadership styles	52
Table 2.3	Leadership styles and their appropriate use in	
	Change situations	53
Table 2.4	Power Taxonomy	55
Table 2.5	Leadership inventory –Set one	65
Table 2.6	Leadership inventory – Set Two	66
Table 3.1	Proportion of ex-addict staff	84
Table 3.2	Distribution of institutional staff & length of service	89
Table 3.3	Opinion Questionnaire survey – The response rate	92
Table 4.1	Respondents' reports on positive change of cultural elements	130
Table 4.2	The leader's role in driving force of change	135
Table 4.3	The most important factor driving force of change	135
Table 4.4	Themes of leader's knowledge and skills	138
Table 4.5	Comparison of leader's communication style and its impacts on Leadership effectiveness – Pre-2000 vs Post-2000	141
Table 4.6	Major observed themes of leader's personal quality	147
Table 4.7	Major sources of leader power and likely subordinate reactions	163
Γable 5.1	Kotter's Eight-Step Plan for implementing Change	182
Γable 5.2	Themes of Leader's personal quality	193

LIST OF FIGURES

Figure		Page
Figure 2.1	Lewin's Three-Step change Model	20
Figure 2.2	Change management framework for education (Scott, 1999)	36
Figure 2.3	Beckhard/Harris Model: Interim Goals	61
Figure 2.4	A Conceptual Model to Assist Educational Leaders Manage Change (Cochren, 1995)	62
Figure 2.5	Conceptual Framework of the Study	67
Figure 3.1	Framework of investigation	79
Figure 4.1	Scope of Change – Feedback agreeing on deep and pervasive institutional change after Year 2000	102
Figure 4.2	Staff feedback on institutional change after Year 2000	102
Figure 4.3	Staff feedback - General performance indicators	103
Figure 4.4	Success (Abstinence) Rates of the "S Centre"	103
Figure 4.5	Performance indicators of the "S Centre" (1987-2006)	104
Figure 4.6	Growth of Centre Occupancy in relation to Local Total Addict Population (1991-2006)	104
Figure 4.7	Changes in general aspects of the institution	105
Figure 4.8	Changes in inmate's attitudes	107
Figure 4.9	Changes in staff's performance (Feedback from questionnaires N=44)	108
Figure 4.10	Staff's performance (Feedback from Focus Group/ Individual Interview)	109
Figure 4.11	The Organization Structure of the "S Centre"	127
Figure 4.12	Staff's perception of the leader's role in the change of the "S Centre" in 2000	156

Figure		Page
Figure 4.13	Institutional change of the "S Centre" – before and after 2000 - staff perception of leader's change strategies	157
Figure 4.14	Conceptual Framework of the Change Process at the "S Centre"	159
Figure 5.1	The vicious cycle of recruitment difficulties and sub-culture	175
Figure 5.2	Beckhard / Harris Model : Change Management	185
Figure 5.3	Unfreezing the Status Quo	186
Figure 5.4	Growth of change force- From a lone effort to collective force	202
Figure 5.5	The paradigm of Institutional Change	206

LIST OF APPENDICES

Appe	ndix	Page
A.	The Interview Protocol	211
В.	The Consent Form	213
C.	Semi-structured questions for Focus Group & Individual Interviews	215
D.	The Questionnaire	221
E.	Comments on the "S Centre" by Visiting Justices of the Peace 2001 – 2007	229
F.	Letters to the "S Centre" Management	236
G.	The "S Centre" Client Satisfactory Survey – 2004-2007	239
H.	The Research Assistant Report and Observations	. 240

Abstract

This is a study about institutional change and development. In the form of a case study, the present study investigated the circumstances under which a closed institution, a drug addiction treatment and rehabilitation centre in Hong Kong, experienced transformational change amidst adverse contextual conditions. Through qualitative and quantitative analyses of data obtained from three research instruments, including a 'Focus Group' and 'Individual Interviews', and a purposely designed questionnaire survey on staff samples, the study aimed to generate a deep and precise understanding of how transformational leadership impacted on the change and development of an institution characterised by an entrenched culture and environmental constraints.

The data provided in this study gave support to past literature that institutional culture impacted significantly on the force of change and might give ground for status quo and resistance to change. The study further suggested that, depending on the intensity of the driving force for change, overcoming resistance was possible, with speed of change determined by leadership quality and contextual factors. This result was supportive of the 'Force Theory' as espoused by earlier researchers such as Lewin (1950), Beckard and Harris (1987).

While revealing the close inter-relationship between the leader and change strategy, and between change strategy and outcome, the present study observed that individual differences played an important part in the makeup of transformational leadership. The study identified some specific characteristics that were consistent with transformational leadership contended by Bass (1978). Empirical evidence of the study further indicated that any leader desiring to achieve institutional change of a transformational nature should possess two sets of leadership attributes — i) competence in professional skills and knowledge, and ii) personal qualities facilitative of team-work, stakeholders' support and effective practices in a given context. The study in the end argued that without strong attributes of the second set, the success of the change programme could be severely discounted due to leadership inadequacy.

The study ended by suggesting a framework of transformational change for reference of change leaders in particularly institutions of similar nature.

Limited by the nature of case study, the present study is by no means an attempt to present a generalized phenomenon. It is however hoped that this empirical study on a site with little public attention would provoke the interest of concerned parties and academics to further explore the multi-faceted experience of institutional change and transformational leadership in different types of institutions.