

Understanding and supporting  
change in health systems  
using the **Strategic  
Action Fields  
Framework:**

# The availability and origin of Sources of Authority

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### **Disclaimer:**

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# The Vanguard New Care Models programme

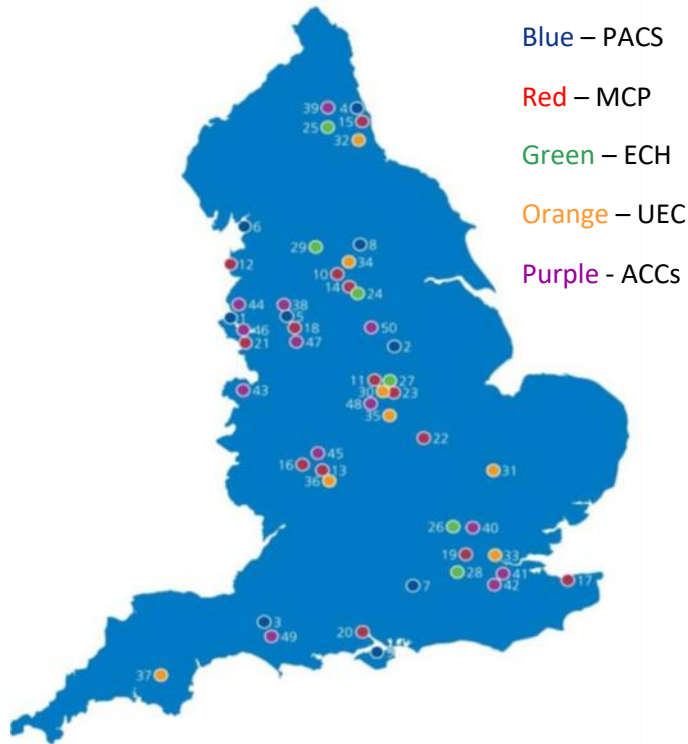


Figure 1: Distribution of Vanguards across England

- established following the publication of the Five Year Forward View (FYFV) ([NHS England 2014](#))
- vision for the future development of the NHS
- focused upon new ways of working to improve care delivery rather than upon structures
- aimed to break down barriers between different organisations and care sectors
- brought together all of the principal Arm's Length Bodies with responsibility for aspects of the NHS

# Evaluation Design

WORKPACKAGE	COMPONENT PARTS
<b>1</b>  <b>Understanding the programme</b>	Collating information about Vanguard activities and scope
	National level interviews exploring support and evaluation programme
	Interviews with regional leaders to explore how Vanguards integrated within their local area
<b>2</b>  <b>Local evaluations</b>	Exploration of the local evaluation programme, including considering the value of this approach
<b>3</b>  <b>Process and outcomes</b>	Impact of the national support programme and the factors affecting this
	<b>Process evaluation of Vanguard pilot operation – Qualitative Case Studies</b>
	Qualitative study of longer term Vanguard impacts, focusing upon ‘scale and spread’
	Quantitative study of initial Vanguard outcomes – NHS/service use
	Quantitative study of longer term outcomes associated with Vanguards – NHS/service use
	Quantitative study of patient-level outcomes

# Process Evaluation

**Aim** to explore in depth the factors that affect whether and how local initiatives are implemented in response to national policy.

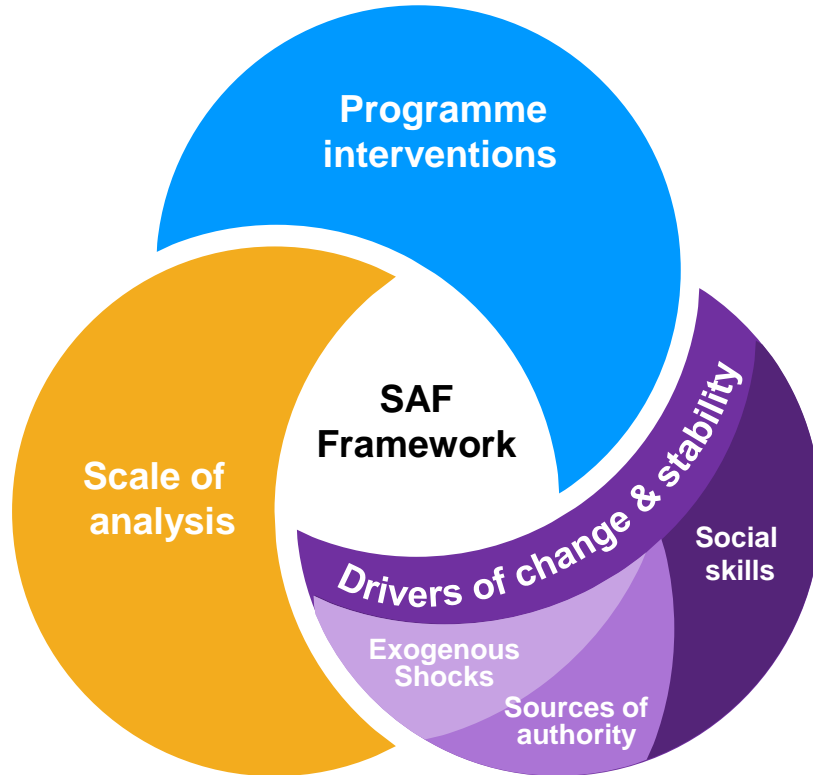
Change in public sector organisations:

- is complex
- is difficult to manage
- may have unintended consequences

To understand why some policy-driven large-scale change gets implemented while others fail, it is important to consider factors affecting policy implementation at **macro (national), meso (regional) and micro (local) levels**.

To do so, we adopted **the Strategic Action Field [SAF] framework**

# Strategic Action Fields Framework (SAFF)



## SAFF:

- Considers local implementation
- Considers wider political and policy context
- Sees contexts as dynamic and changing
- Consists of 3 components:
  - programme interventions
  - scale of analysis
  - drivers of change and stability

# Sources of Authority

Type of authority	Definition
<b>Political</b>	“Political authority defines what is legally permissible, establishes mandated processes, stipulates which public institutions are vested with legal responsibilities, and delineates hierarchical governance relationships between fields”
<b>Economic</b>	“Within implementation systems, economic authority is often quite visible, creating incentives tied to specific processes or outcomes. Yet, signals often conflict, and consequences are not inevitable but shaped by actors within a particular context”
<b>Beliefs and Values</b>	“Shared beliefs and values reduce uncertainty, operating as a cognitive framework that provides a means of sensemaking, often in light of what is understood about the past (Khademian, 2002; Weick, 1995; Yanow, 1996). For example, moral categorizations of both workers and the target population may shape how an intervention is implemented (Mettler, 2007; Schneider & Ingram, 1997; Soss, 2005).
<b>Norms</b>	“Norms associated with professional expertise may be a particularly potent form of authority in particular fields. Expressed through professional codes, evidence-based practices, or industry standards, norms can create binding expectations of what needs to be considered during implementation activities. They are demonstrated when powerful field actors issue white papers or offer training programmes”

# Method

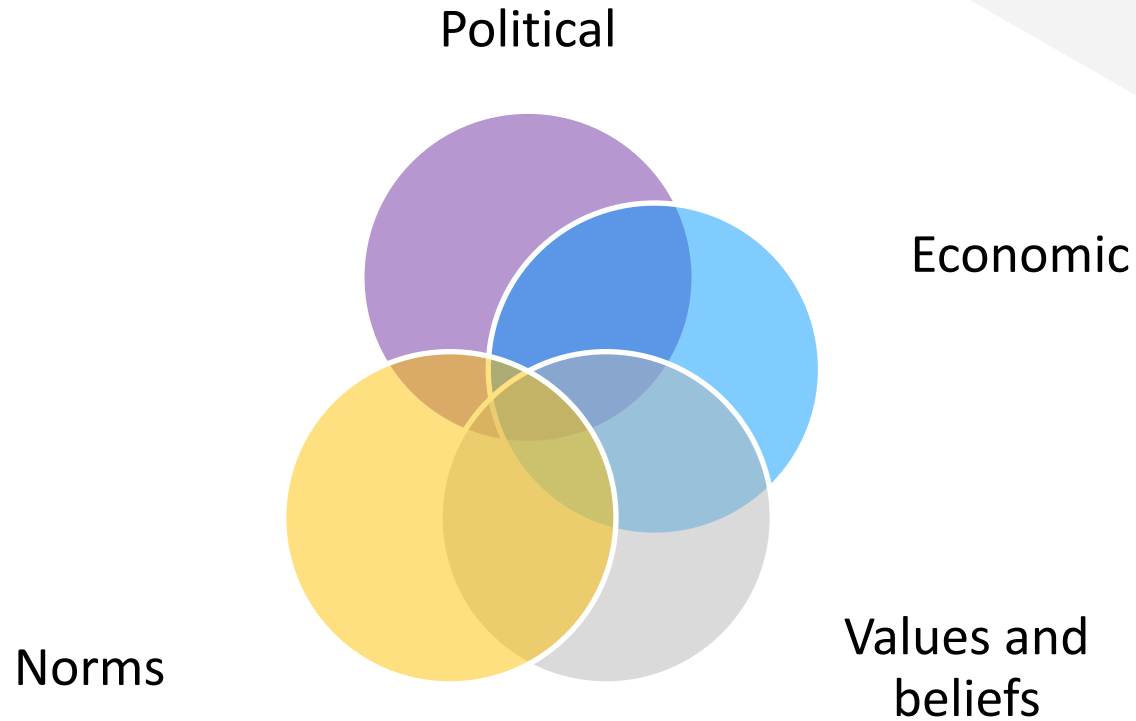
- **6 case study sites:**
  - 2 Multispecialty Community Providers (MCP)
  - 2 Integrated Primary and Acute Care Systems (PACS) Vanguard
  - 2 Enhanced Health in Care Homes (EHCH) Vanguard
- Semi-structured interviews and focus groups with **79 participants**
- Separate schedules for each respondent group.
- Topics focussed on factors that facilitated or hindered Vanguard development, examples of Vanguard 'success', interactions with others, as well as scale and spread.

Respondent type	No. interviewed	No. in focus group	Total
NHS employees (current or past)	48	14	61
Local Authority employees	4	1	5
Private/Community/Charity sector employees	9	-	9
Public contributor	1	4	5

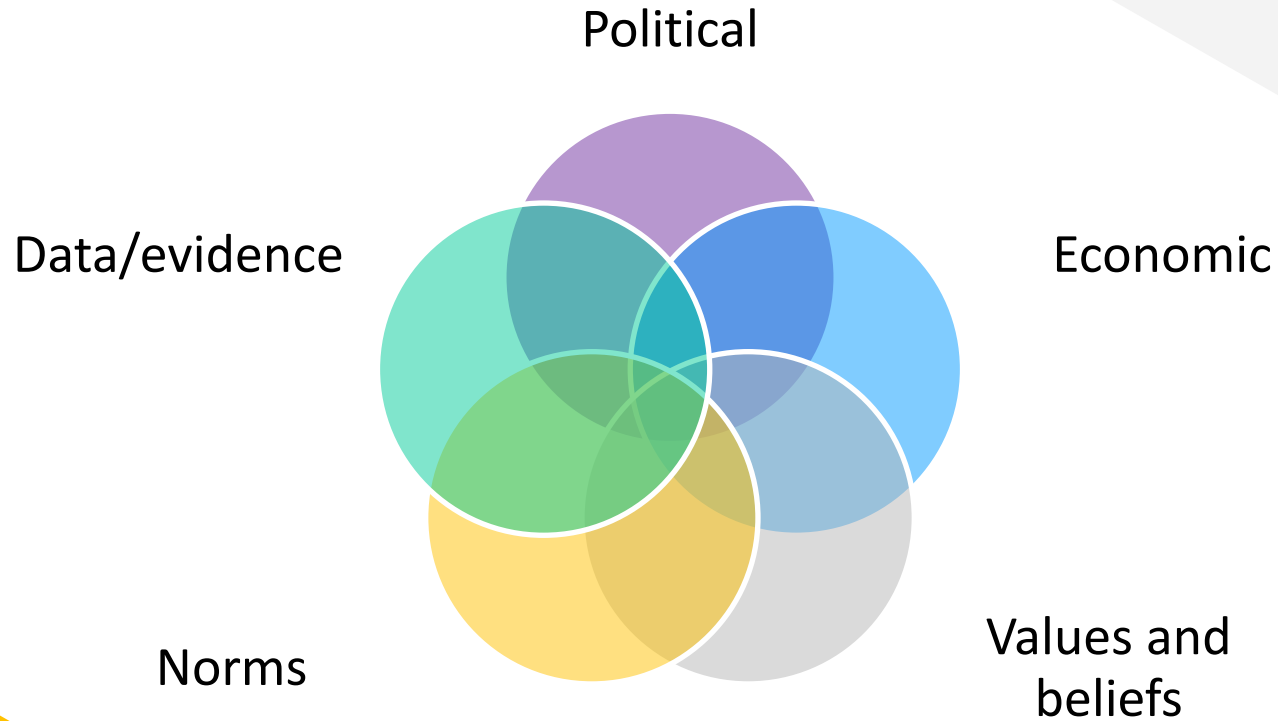
- **Thematic analysis** using a coding schedule based on the SAFF theories
- Initially coded using sources of authority described by Moulton and Sandfort (2017)
- Then sub-coded using the four quadrants of these intersecting dimensions



# Sources of Authority



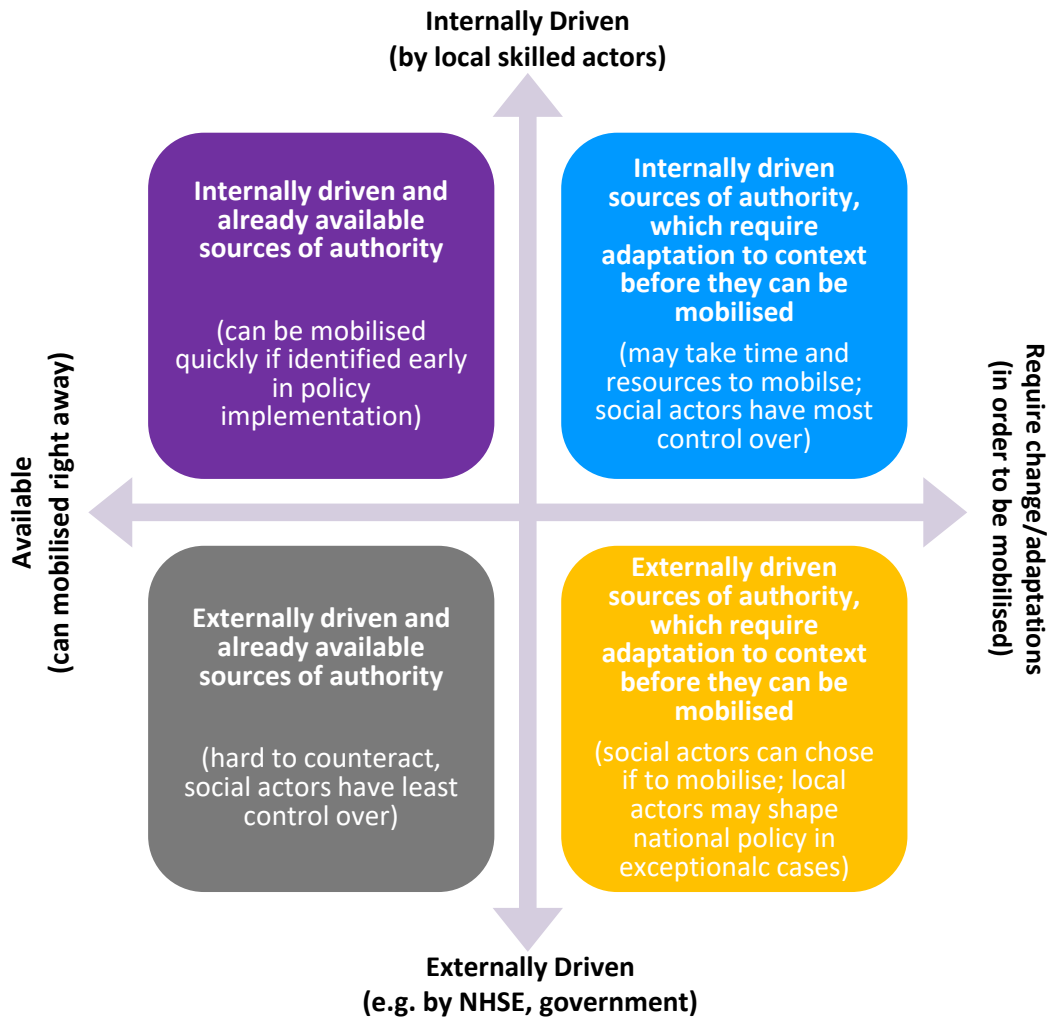
# Sources of Authority



# Proposed adjustments to definition

<b>Political authority</b>	As well as being vested in formal processes, political authority can also be <b>drawn from the status</b> or label of being part of a high profile and well-funded policy initiative. Political authority mobilised via the status of the programme can then be used to challenge or seek to change formal (legal and regulatory) processes.
<b>Economic authority</b>	Economic authority <b>can be both positive</b> (additional funding provided) <b>and negative</b> (dramatic vision of a 'burning platform' used to galvanise activity)
<b>Values and beliefs as authority</b>	To aid policy implementation, authority can be mobilised both from existing values, beliefs and a shared vision that go beyond the new initiative, and by <b>generating new beliefs and values</b> which provide a moral imperative to act.
<b>Norms as authority</b>	Norms as a source of authority <b>go beyond professional</b> ones, such as 'best practice' to make changes. New, non-professional norms, such as a new norm of inter-professional collaboration, can also be mobilised.
<b>Data/evidence as authority</b>	Ability to generate and refer to data/evidence (even if it lacks robustness) as <b>a way of demonstrating progress and/or impact</b> can operate as a source of authority and aid implementation.

# Dimensionality of Sources of Authority



Internally driven and  
already available  
sources of authority

(can be mobilised  
quickly if identified  
early in policy  
implementation)

# Internally driven and already available sources of authority

- Most advantageous to skilled actors
- Actors often have control over these
- Ability to identify early helps embedding and sustainability
- Harder to shift if they clash with others
- Early identification of authority which counteracts goals can prompt creation of new Sources of Authority

*"I don't mean it flippantly, but I almost think 'hallelujah for a crisis'. Because if you don't get to the stage where there is no other way out, it drives you to change. So we'd got to that burning platform with, you know, lack of workforce, GPs, some of the practices falling over, closing, to do something. So sometimes you need that. And it actually has been for the good"*  
(S1R03)

Internally driven  
sources of authority,  
which require  
adaptation to  
context before they  
can be mobilised

(may take time and  
resources to mobilise;  
social actors have  
most control over)

# Internally driven sources of authority, which require practical changes before they can be mobilised

- Require practical changes within existing systems and local contexts first
- Requires considerable time and effort
- Skilled actors have considerable control over when and how to mobilise
  - Desired outcomes are not guaranteed
  - Important to weigh up resources needed for changes/adaptations

*“[Y]ou’re obviously going to want to put [Vanguard initiatives] into the practice where it’s going to benefit your partners the most [...] and politically where shall we put this, otherwise we’re going to alienate everyone else who’s working with us, and where do patients need it the most [...] when your driving force is a large, successful practice [...] they can then just do it, because everyone will agree” (S1R05)*

Externally driven  
and already  
available sources of  
authority

(hard to counteract,  
social actors have  
least control over)

# Externally driven and already available sources of authority

- Can be mobilised with little effort

BUT

- Outside of direct control of local actors
  - Longevity of the source of authority should be considered
  - Clashes with internally-driven sources of authority should be anticipated
- Can be hard to co-opt for local skilled actors
- May work best in conjunction with locally-driven authority

*“It forces change. You can’t be a Vanguard and say, right, great, we’ve got the cash, now we’re going to sit [around]. It doesn’t work like that [...] it did exactly what [Chief Accountable Officer] wanted it to do, it set a metronome, it set pace, it set an expectation of change, and it didn’t give anybody the right to turn their back and say, no, I’m not interested, and I don’t want to be part of that” (S2R12)*

Externally driven  
sources of authority,  
which require  
adaptation to context  
before they can be  
mobilised

(social actors can choose  
if to mobilise; local  
actors may shape  
national policy in  
exceptional cases)

## Externally driven sources of authority, which require adaptations to local context before they can be mobilised

- Require skilled actors to adapt/translate this authority to the local context

OR

- ‘translating’ external authority in ways that fit local contexts
- ‘Controlling the narrative’ may be an important part of adaptations before authority can be mobilised
- Early identification of emerging external sources of authority may give local actors a chance to shape it

*“Against the background of this permissive environment of the development of the ICP we do need to be absolutely crystal clear about a shared vision because without that we will have anarchy”*

*(S1R014)*



# Implications

- ▶ **Applicability:** extended types and definitions of sources of authority to accommodate a bottom up, cross-sector collaboration programme
- ▶ **Planning:** if sources of authority are considered proactively accounting for intersecting dimensions, local skilled social actors can better-choose what can be mobilised in the easiest way, how, and by whom
- ▶ **Anticipating conflict:** local skilled actors can consider which externally imposed sources of authority may intersect with or even conflict with other authority sources and thus require careful management
- ▶ **Managing resources:** resources required to perform such management will depend on which quadrants such conflicting sources occupy

# Recommendations for Skilled Actors

## ▲ **Diagnostic phase of policy implementation:** overt and proactive assessment of

- ▲ which sources of authority can be best-utilised and how
- ▲ what authority was the most readily available versus which may require additional resources, and where conflict is likely to arise

## ▲ **Taking place at different levels:**

- ▲ **national policy support teams** could proactively consider the external sources of authority that are associated with the programme and ensure that these are both harmonious with one another and likely to act in the required manner at local level
- ▲ **local teams** could proactively consider available local sources of authority and make efforts to align these with those arising externally or even attempt to shape external authority

## ▲ **Co-ordinated use of sources of authority:**

- ▲ harnessing internal and readily available ones to mobilise early enthusiasm
- ▲ anticipating which external ones may take time to materialise or conflict with local authority
- ▲ proactive seeking out of local sources of authority

# Recommendations for Evaluators

- ▲ **At early stages of implementation** when formative evaluation is required:
  - ▲ aim to identify and classify available sources of authority in order to adjust their mobilisation to optimise implementation (eg illuminate sources of authority that are needed for successful implementation, but cannot be mobilised at present, without prior creation of new structures)
- ▲ **At retrospective, summative analysis** of implementation using this framework
  - ▲ might support wider learning and the potential adjustment of incentives/implementation approaches for the future
  - ▲ might inform policy adjustment as implementation proceeds (eg where particular policies run counter to important local norms, policy adjustment may support better implementation)

# Thank You

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# References

To be added