

Appendix A

Research Study Interview Questions—HIM Director’s Supervisor and Two Key Leaders That Interact with the HIM Director—One Hour

History:

1. How many years have you worked at XX? In the same role?
2. What are the significant events in the history of the HIM department since you have been here? What sticks out in your mind? [Interviewer reminder] (*add nodal events in history, DRGs, historically in the industry, 1965 Medicare (society), organization, department*)
3. What is the role of the board of directors? Do they have a role in setting the vision? How involved are they with the organization on a daily basis?
4. How has the role of HIM evolved over the past decade?

Aims	Hypotheses	Interview Questions
<p>Aim #2: To identify characteristics and behaviors of HIM leaders</p> <p>Aim #3: To define what leadership activities look like in a HIM department and in the broader organization leaders</p>	<p>Hypothesis #3: HIM leaders are more likely to spend their day paying attention to relationships than they are to the management of HIM functions</p> <p>Hypothesis #4: Leadership is a relationship process vs. a position or person</p>	<ol style="list-style-type: none"> 1. When you think of leadership what does it look like? 2. How does the organization deal with challenges and problems? 3. Are there some underlying rules for solving problems or interacting with one another? 4. How does the organization handle surprises? 5. Do you have a formal leadership program at XX? If yes, please describe it. What are the goals of the program? Did you or the HIM director participate? If yes, what did you take away from this program? 6. What is your formal and/or informal training in leadership? How has that influenced you? 7. How does the organization react to stress? 8. Of the following, which stressors currently exist? (review statements on observation of HIM system) 9. Are there some typical patterns that result in leadership activities? For example, when something goes very well, can you point to what leadership factors contributed to a successful outcome? What would those factors be? If something goes poorly, looking back were there signs that were missed about the leadership activity? What might those signs have been? 10. What does it mean to be a responsible HIM leader?
<p>Aim #1: To identify the role of HIM leaders that are valued within their respective</p>	<p>Hypothesis #1: HIM is valued in organizations in which HIM practitioners are recognized for their subject matter</p>	<ol style="list-style-type: none"> 1. What is the HIM director’s role as an HIM leader in the organization? 2. What kinds of decisions is the HIM director involved in? 3. Are there other HIM leaders that stand out in your mind? Informal or formal HIM leaders? If yes, why? 4. What are critical HIM leadership activities?

healthcare organizations	expertise <i>and</i> leadership	5. What is the most significant HIM leadership activity occurring today? 6. Why is HIM valued or not valued in your organization?
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Aims	Hypotheses	Interview Questions
Aim #2: To identify characteristics and behaviors of HIM leaders	<p>Hypothesis #1: HIM is valued in organizations in which HIM practitioners are recognized for their subject matter expertise <i>and</i> leadership</p> <p>Hypothesis #3: HIM leaders are more likely to spend their day paying attention to relationships than they are to the management of HIM functions</p>	<ol style="list-style-type: none"> 1. What are the HIM director's leader characteristics and behaviors that contribute to leadership activities at XX? 2. What are the leader characteristics and behaviors of the other leaders you identified earlier?

1. What do you think about the concept that that leadership is a reciprocal relationship process and not necessarily a person or position?
2. What do you think of these two definitions of leadership? What works for you and what doesn't and why? (these definitions will be provided on a participant handout)
 - At its best, leadership is a reciprocal relationship that inspires members of an organization to take full advantage of opportunities, minimize threats to success, and avoid failures; it results in a resilient and sustainable business organization that contributes to the larger community. A less than fully effective leadership process results in missed opportunities, fewer successes, greater vulnerability, and little or no value to the larger community.
 - Leadership is an emergent event, an outcome of relational interactions among individuals. In this view, leadership is more than a skill, an exchange or symbol—leadership emerges through dynamic relationships.

Research Study Interview Questions—HIM Director—One Hour

History:

1. How many years have you worked at XX? In the same role?
2. What are the significant events in the history of the HIM department since you have been here? What sticks out in your mind? [Interviewer reminder] (*add nodal events in history, DRGs, historically in the industry, 1965 Medicare. (society), organization, department*)
3. How has the role of HIM evolved over the past decade?

AIMS	Hypotheses	Interview Questions
<p>Aim #2: To identify characteristics and behaviors of HIM leaders</p> <p>Aim #3: To define what leadership activities look like in an HIM department and in the broader organization Leaders</p>	<p>Hypothesis #3: HIM leaders are more likely to spend their day paying attention to relationships than they are to the management of HIM functions</p> <p>Hypothesis #4: Leadership is a relationship process vs. a position or person</p>	<ol style="list-style-type: none"> 1. When you think of leadership what does it look like? 2. How does the HIM department solve problems? 3. Are there some underlying rules for solving problems or interacting with one another? 4. How does the HIM department handle surprises? 5. What is your formal and/or informal training in leadership? How has that influenced you? 6. How does the organization react to stress? What is a stressor? 7. Do you see any of the following behaviors in the HIM department? (review statements on observation of HIM system) 8. Are there some typical patterns that result in leadership activities? For example, when something goes very well, can you point to what leadership factors contributed to a successful outcome? What would those factors be? If something goes poorly, looking back were signs that were missed about the leadership activity? What might those signs have been? 9. What does it mean to be a responsible HIM leader?
<p>Aim #1: To identify the role of HIM leaders that are valued within their respective healthcare organizations</p>	<p>Hypothesis #1: HIM is valued in organizations in which HIM practitioners are recognized for their subject matter expertise <i>and</i> leadership</p> <p>Hypothesis #2: Leadership and management are different. Both are</p>	<ol style="list-style-type: none"> 1. What is your role as a HIM leader in the organization? 2. What kinds of decisions are you involved in? 3. Are there other HIM leaders that stand out in your mind? Informal or formal HIM leaders? If yes, why? 4. What are critical HIM leadership activities? 5. What is the most significant HIM leadership activity occurring today? 6. Is HIM valued in your organization? Why? If HIM is not valued in your organization, why? 7. What do you consider a management activity? (discuss the difference between leadership and management using Kotter's definition) 8. How much time do you spend on management activities vs. leadership activities?

	needed, but they are not the same.	
Aims	Hypotheses	Interview Questions
Aim #2: To identify characteristics and behaviors of HIM leaders	<p>Hypothesis #1: HIM is valued in organizations in which HIM practitioners are recognized for their subject matter expertise <i>and</i> leadership</p> <p>Hypothesis #3: HIM leaders are more likely to spend their day paying attention to relationships than they are to the management of HIM functions</p>	<ol style="list-style-type: none"> 1. What do you think are your leader characteristics and behaviors that contribute to leadership activities? 2. What are the leader characteristics and behaviors of the other leaders you identified earlier? 3. What do you tend to pay attention to the most on any given day related to your role as a leader? 4. What does a day in the life of ____ look like?

1. What do you think about the concept that that leadership is a reciprocal relationship process and not necessarily a person or position?
2. What do you think of these two definitions of leadership? What works for you and what doesn't and why? (these definitions will be provided on a separate participant handout)
 - At its best, leadership is a reciprocal relationship that inspires members of an organization to take full advantage of opportunities, minimize threats to success, and avoid failures; it results in a resilient and sustainable business organization that contributes to the larger community. A less than fully effective leadership process results in missed opportunities, fewer successes, greater vulnerability, and little or no value to the larger community.
 - Leadership is an emergent event, an outcome of relational interactions among individuals. In this view, leadership is more than a skill, an exchange or symbol—leadership emerges through dynamic relationships.

Research Study Questions—HIM Managers/Supervisors—One-Hour Focus Group

History:

1. How many years have you worked at XX? In the same role?
2. What are the significant events in the history of the HIM department since you have been here? What sticks out in your mind? [Interviewer reminder] (*add nodal events in history DRG's, historically in the industry, 1965 Medicare (society), organization, department*)
3. How has the role of HIM evolved over the past decade?

Aims	Hypothesis	Interview Questions
<p>Aim #2: To identify characteristics and behaviors of HIM leaders</p> <p>Aim #3: To define what leadership activities look like in a HIM department and in the broader organization Leaders</p>	<p>Hypothesis #3: HIM leaders are more likely to spend their day paying attention to relationships than they are to the management of HIM functions</p> <p>Hypothesis #4: Leadership is a relationship process vs. a position or person</p>	<ol style="list-style-type: none"> 1. When you think of leadership what does it look like? 2. How does the HIM department solve problems? Is this any different than how the organization solves them? 3. Are there some underlying rules for solving problems or interacting with one another? 4. How does the HIM department handle surprises? 5. What is your formal and/or informal training in leadership? How has that influenced you? 6. How does the organization react to stress? What is a stressor? 7. Do you see any of the following behaviors in the HIM department? (review statements on observation of HIM system) 8. Are there some typical patterns that result in leadership activities? For example, when something goes very well, can you point to what leadership factors contributed to a successful outcome? What would those factors be? If something goes poorly, looking back were signs that were missed about the leadership activity? What might those signs have been? 9. What does it mean to be a responsible HIM leader?
<p>Aim #1: To identify the role of HIM leaders that are valued within their respective healthcare organizations</p>	<p>Hypothesis #1: HIM is valued in organizations in which HIM practitioners are recognized for their subject matter expertise <i>and</i> leadership</p> <p>Hypothesis #2: Leadership and management are different. Both are needed, but they are not</p>	<ol style="list-style-type: none"> 1. What is your role as a HIM leader in the organization? 2. What kinds of decisions are you involved in? 3. Are there other HIM leaders that stand out in your mind? Informal or formal HIM leaders? If yes, why? 4. What are critical HIM leadership activities? 5. What is the most significant HIM leadership activity you worked on today? 6. Why is HIM valued or not valued in your organization? 7. What do you consider a management activity?

	the same	(discuss the difference between leadership and management using Kotter's definition) 8. How much time do you spend on management activities vs. leadership activities?
Aim #2: To identify characteristics and behaviors of HIM	Hypothesis #1: HIM is valued in organizations in which HIM practitioners are recognized for their subject matter expertise <i>and</i> leadership Hypothesis #3: HIM leaders are more likely to spend their day paying attention to relationships than they are to the management of HIM functions	1. What do you think are your leader characteristics and behaviors that contribute to leadership activities? 2. What are the leader characteristics and behaviors of the other leaders you identified earlier? 3. What do you tend to pay attention to the most on any given day related to your role as a leader? 4. What does a day in the life of ____ look like?

1. What do you think about the concept that that leadership is a reciprocal relationship process and not necessarily a person or position?
2. What do you think of these two definitions of leadership? What works for you and what doesn't and why? (these definitions will be provided on a separate participant handout)
 - At its best, leadership is a reciprocal relationship that inspires members of an organization to take full advantage of opportunities, minimize threats to success, and avoid failures; it results in a resilient and sustainable business organization that contributes to the larger community. A less than fully effective leadership process results in missed opportunities, fewer successes, greater vulnerability, and little or no value to the larger community.
 - Leadership is an emergent event, an outcome of relational interactions among individuals. In this view, leadership is more than a skill, an exchange or symbol— leadership emerges through dynamic relationships.

HIM Staff—One Hour Focus Group

History:

1. How many years have you worked at XX: less than 2, 2–4, 5, 10–15, 15–20, more than 20?
2. For those of you that have been here for 10 or more years, how has the role of HIM evolved over the past decade?

AIMS	Hypotheses	Interview Questions
<p>Aim #3: To define what leadership activities look like in a HIM department and in the broader organization</p>	<p>Hypothesis #1: HIM is valued in organizations in which HIM practitioners are recognized for their subject matter expertise <i>and</i> leadership</p>	<ol style="list-style-type: none"> 1. When you think of leadership what does it look like to you? 2. What were some significant leadership events last year? 3. Do you think that HIM is valued at XX? If yes, why do you think that, or if no, why do you think that? 4. How does the HIM department solve problems? Is this any different than how the organization solves them? 5. Are there some underlying rules that govern how you interact with each other? What are they? 6. How does the HIM department handle surprises? 7. What creates stress in the HIM department? 8. What behaviors do you see when the HIM department is stressed? 9. Do you think of yourself as a leader? Why or why not? 10. What do you think of the statement that leadership is a reciprocal process and not an event or person? (researcher will define reciprocal process)

Self-Reflection on Leadership

These statements describe aspects of leadership. On a scale of 0 to 5, how do you *honestly* evaluate your own functioning as a leader within your work system right now?

0 = Never; 1 = Rarely; 2 = Sometimes; 3 = Often; 4 = Almost Always; 5 = Always

<i>Statement about your functioning as a HIM leader</i>	0	1	2	3	4	5
1. I make decisions based on facts and principles						
2. I state my positions on “hot” topics clearly, regardless of the position of others, i.e., direct reports, superiors, customers, or colleagues						
3. When I disagree with those who report to me, I do not attack them						
4. When supervisors criticize my positions, I am not defensive						
5. I am present and accounted for during meetings						
6. When I am anxious, I do not withdraw or distance from others						
7. I challenge others to solve problems for which they are responsible, or in which they have a stake, by asking relevant and probing questions to stimulate their thinking						
8. I collaborate effectively with team members						
9. I take responsibility for my own functioning at work						
10. I am aware of my impact on co-workers						
11. I take actions at work based on values and principles						
12. I tolerate the stresses of the workplace world calmly						
13. I recognize the difference between feelings and intellectual principles						
14. I recognize my contributions to problems in the workplace						
15. I focus on the strengths of those reporting to me						
16. I am aware of triangles and work to de-triangle myself						
17. I encourage independence in those reporting to me						
18. I set realistic expectations for myself						
19. I seek long term positive and enduring change						
20. I see a range of options for solving problems						

Self-Reflection on Leadership

Please answer the following questions:

1. Did any of your answers surprise you? If yes, which ones and why?
2. Did the statements stimulate you to change your approach to leadership in any way?
3. Are there areas you identified where you would like to improve your functioning? If yes, what are they and why?

Instrument adapted, with permission, from *Leading a Business in Anxious Times: A Systems Approach to Becoming More Effective in the Workplace* by Leslie Ann Fox, MA, RHIA, FAHIMA, and Katharine Gratwick Baker, PhD.

Observations of Meetings

(used by the researcher to note observations during a meeting)

Observer's Name _____ Facility _____

(The first four sets of observations are factual, informational, and will help us sort out varieties of different meetings. The rest of the observations focus on the behaviors and emotional process in the meeting. You are also asked to make a subjective assessment of the meeting when it ends.)

Factual Informational Observations (check all that apply)

1. What meeting are you observing? _____
Date: _____ Time: _____ Place: _____
Names and functions of participants (list all): _____

2. What are these people doing?
 Having a formal, scheduled meeting
 Having an informal, unscheduled meeting
3. Where are they meeting?
 In their own department in an office or meeting room
 In their own department in an informal location
 In another department in an office or meeting room
 In another department in an informal location
4. What is the functional hierarchy of this group of people?
 All on the same level (managers)
 All on the same level (non-managers)
 A mix of managers and non-managers
 One manager and a group of people reporting to him or her
 An HIMS group and an outsider (for example, an MD, a vender)
 Other (describe)

Observations about the Emotional Process of the Meeting (the first set of observations (a) indicates a smoothly functioning meeting; the second set of observations (b) indicates an anxious meeting): Check all that apply

1. Approximately how long is the meeting? _____(minutes)
 - a. It starts on time with everyone present
 It ends on time

 - b. It starts late
 It ends late
 Some people come late (how many?____)
 Some people leave early (how many?____)

2. What interaction patterns do you see?
 - a. Lots of appropriate participation from all attending

 - b. One person doing most of the talking and the others listening
 Everyone talking at once and interrupting each other
 Small subgroups whispering to each other
 Lots of silence
 Other (describe)

3. Triangles:
 - a. No triangling

 - b. Two people are talking negatively about a third person
 One person is talking negatively about several others

4. Decision-making:
 - a. Appropriate decisions were made in this meeting
 No decisions needed to be made in this meeting

 - b. Decisions needed to be made, but were not made
 A few decisions were made, but some important ones were postponed

5. Action Planning:
 - a. No post-meeting actions necessary
 Post-meeting actions necessary, and are assigned to participants
 Post-meeting actions necessary, and participants volunteer

- b. Post-meeting actions necessary, but no assignments or volunteers
 - Individuals selected to carry out post-meeting actions resisted or refused their assignments

- 6. Emotional tone of the meeting:
 - a. Friendly relaxed
 - Respectful

 - b. Friendly tense
 - Distant, disengaged
 - Unfriendly, conflictual
 - Unfriendly, distant
 - Disrespectful

- 7. If this is an HIM department representative in a meeting that takes place outside the HIM department, comment on the following:
 - a. The HIM representative communicates the needs of the HIM department effectively
 - Others appear interested and concerned with the HIM department
 - Others are respectful in responding to him/her

 - b. The HIM representative communicates the needs of the HIM department ineffectively
 - Others are not interested or concerned with the HIM department
 - Others are not respectful in responding to him/her

- 8. Other patterns of behaviors noted:

- 9. Observer's Subjective Assessment of the Meeting on a Scale of 1 to 5: _____
 - 1 = no decisions made, ineffective, inefficient, and extremely anxious
 - 2 = a few decisions made, but disorganized and anxious mood
 - 3 = decisions are made, in spite of some signs of anxiety
 - 4 = smooth running, a lot accomplished, minor anxiety observable
 - 5 = highly effective, efficient, and non-anxious