Quality Improvement Basics: Change Management Models and Tools Transcript

Slide 1:
Welcome to the Quality Improvement Basics course 'Change Management Models and Tools' module.

Slide 2:
The topics for this module will cover a few of the top models and tools from the field of change management:

- We'll seek to Understand the Equilibrium Model of Change and the Force Field Tool
- Learn about The Eight Steps to Change
- SWITCH - Lessons from a Change Analogy… we'll learn about perspectives on change from this best-seller book.
- Lastly, we'll summarize with Key Lessons and highlight the need to Celebrate Success

As stated at the outset of the prior change management module, I would encourage you to do further reading about the models that spark your interest or seem very applicable to your situation. They all deal with the psychology of individual, team and organizational change and each provides practical insights and techniques to use in your QI work.

Before we start, please open the related documents for this module (tools, templates and any samples) which are available on the web page where you found this module link. It will help you to have those ready for quick reference as screenshots of the documents may not legible on your screen.

Slide 3:
The Equilibrium Model of Change and the Force Field Tool

Slide 4:
Let's now look at change from the organizational equilibrium model perspective. Kurt Lewin, often recognized as the "founder of social psychology" was one of the first to study group dynamics and organizational development. He adapted a change model from engineering in the 1950s, proposing that organizations must maintain a certain equilibrium to maintain the health and viability of the organization. In order to change, he proposed that organizations must go through a 3-step cycle: Unfreeze, Change, then Refreeze

Slide 5:
Another way to think about the Unfreeze, Change, refreeze steps is to think of this 3-step process as the beginning, middle and end of how individuals and organizations undergo the process of change.

Beginning (Unfreeze)
- All change begins with an ending

- Transition is recognition of loss, letting go and grieving
- Ask: Why are we doing this? What is expected of me?

Middle (Change)
- Disorienting possibilities
- Excitement with apprehension
- Trust building

End (Re-freeze)
- Need safety net so no slipping back
- Maintain motivation
- Communicate and celebrate!

Slide 6:
Another model that we can credit to Kurt Lewin is that of the force field analysis which enables you to enumerate and name the factors or 'forces' that are either driving or restraining change. To put it more simply, you identify the factors that are helpful in promoting the changes or improvements you are seeking and those that are hindering or holding back the change. The factors on the chart are examples and not listed in any particular order or level of impact.

The equilibrium within the organization (represented by the vertical line in the diagram) is maintained through a balance of driving and restraining forces. When these forces become unbalanced, this is when an organization will undergo a change process, until such a time as the driving and restraining forces achieve a new and balanced equilibrium.

Slide 7:
Here is a list of factors that you might wish to consider…listed in no particular order. Each factor could either be categorized as a restraining or driving force such as positive or negative attitudes, minimal or high costs, conflicting or aligning events and so on. You'll like to come up with others that have greater impact at your organization. Our list here includes…

Slide 8:
The factors from the prior slide are contained in a Force Field Analysis tool which is included in the resources page for this course. There is a separate table in the tool for both the driving and restraining factors that you'll identify…then you can rank each factor as high/medium and low along with who you have assigned to address or look into each factor…it could be that you do this deeper dive as a team discussion…and then include any notes.

The purpose of the tool is by listing and giving them some rank or weighting, your team has at least acknowledged them and can discuss how to address those factors in order of rank and how they'll impact your progress and work. The factors may not come into play when you start with your small tests of change, but as you scale and spread process changes, they are likely to crop up and you'll be ready with a plan to take advantage of the driving factors and reduce the restraining factors or perhaps even turn those around to your advantage.

Slide 9:
The Eight Steps to Change

Slide 10:
The field of Change Management is populated with many experts. John Kotter, a Harvard Business School Professor, introduced the 8 Step Model of Change in his book "Leading Change" from 1996. He developed his model on the basis of research of 100 organizations which were going through a process of change. A number of these steps have been presented as individual concepts or tools already in this course. Kotter synthesizes and combines these along with unique steps into his 8-step model. If you'd like to read a short book by Kotter that illustrates the 8 change steps, pick up a copy of Our Iceberg is Melting which incorporates a fun story featuring a colony of penguins.

To initiate and move the change process forward he proposed:

1. Create a sense of urgency
2. Pull together a guiding coalition
3. Develop a vision and strategy
4. Communicate the "change vision"
5. Empower action
6. Generate short-term wins
7. Consolidate gains and produce more change
8. Anchor new approaches in the culture

We'll look at each step a bit closer now…

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If the first step of the model, you simply need to 'Get people's attention! '
- Sell the need for change … explain the pain and the consequences of not changing
- Immerse people in information about the change. By doing so, you are addressing the thinking and feeling aspects that leads to changing individual behavior
- Discuss ways to solve the problem such that people identify with the change and buy into the need for the change you propose

Secondarily, you need to pull together a guiding coalition with enough power and leadership to implement the change you are seeking and ensure that the group works together as a team.
- Choose key players, especially staff-level managers
- Seek out multidisciplinary input
- Make sure that your goal is informed...and that intelligent decisions are being made
- Ensure that your change leaders embody credibility and integrity
- Recognize that you will need both management and leadership skills
- Management skills control the process
- Leadership skills drive the change

If you have reviewed the teams and facilitation module of this course, these concepts are likely echoing what you learned about building a QI team and the roles that are needed.

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Step 3 is to develop a vision and strategy to help direct the change. This is where leadership skills are most important

- Creating a vision of what the new future will be or look like can help individuals navigate their unique paths through the change process and provides direction for the organization
- For smaller projects, you may not need a 'vision', but you'll certainly develop strategies to bring about the improvements you are seeking.
- The strategies that you develop should always be in alignment with the higher-level vision

Step 4 is communicating the 'change vision' throughout your organization.

- Use every vehicle possible to communicate the new vision and strategies to achieve it
- As you communicate the vision it is likely that you will encounter opposition.
- Encourage discussion, dissent, disagreement, debate and keep people talking
- Tell people what you know—and what you don't know. Being transparent and honest about the proposed change will go a long way to gain support

- Use appropriate humor and empathy
- Acknowledge people's pain, perceived losses, and anger

- Value the resisters (recall that identifying restraining factors is important …and you may be able to turn detractors into supporters)
- Be sure to provide supportive actions for fear, anger, and resistance as these perspectives will help clarify the problem and identify other problems that need to be solved first
- Tough questions can strengthen and improve the proposed change and also consider…they may be right!

Slide 13:
Step number 5 is to empower action.
Get rid of obstacles and change systems or structures that undermine the change vision. (Think back to the Lewin model where we identify restraining factors)
Encourage risk taking and nontraditional ideas and actions…by doing so you are fostering and environment of creativity and productive brainstorming

Step 6: Generate short-term wins
        Change gains traction best when we are able to recognize and appreciate the successful milestones along the way.
        Be sure to create visibility around the success that your team is achieving and visibly recognize and reward staff (QI team members or the team as whole) who made wins possible
        These incremental wins then provide further impetus for change
The wins will also help strengthen leadership based on your evidence of success
        Providing positive feedback helps builds morale and motivation to continue the work

Slide 14:
Step 7. Consolidate gains and produce more change
        Use increased credibility to change systems and policies that don't fit together or fit transformational vision
        Recognize and communicate the gains achieved in your newly changed process throughout the organization

Encourage people to be open to new challenges and ready for the next change

The final step is to solidify the change or 'make it stick' with your organization. Think back to the Lewin Unfreeze, Change, Refreeze model. We now want to lock in or 'Refreeze' the improvements we've made.

Step 8. Anchor new approaches in the culture
Articulate connections between new behaviors and success…help people make that explicit connection
Ensure leadership development that motivates and inspires continued support
Develop performance measures to continually monitor the results from the change you implemented and to identify opportunities for new or further improvements
Revise job descriptions and develop new reward systems…your new processes undoubtedly will require new approaches and skill sets. Embedding them in job descriptions as well as policies and procedures will provide some permanence for the quality improvements you have achieved.

Slide 15:
Kotter concluded in his work that there are eight reasons why many attempts to create change and improvements fail…which, not surprisingly, correspond to each "the 8 steps to change" model:
- Allowing too much complacency
- Failing to build a substantial coalition
- Not creating a clear vision
- Failing to clearly communicate the vision
- Permitting roadblocks and not addressing them
- Not planning and getting short-term wins
- Declaring victory too soon
- Not anchoring changes in corporate culture

Slide 16:
The SWITCH Model for Change

Slide 17:
Another perspective on change was introduced in the New York Times best-selling book 'Switch' by Chip and Dan Heath published in 2010. The book creates an analogy for us to think differently about the process of change using a metaphor to provide the reader with a new way of looking at change through a creative lens.

The book discusses how we speak and appeal to:
- Knowledge – data/facts, best practices, models
- Feelings – stories, connections, meaningful goals
- Skills – workflow, processes, tools, training

Switch poses the question:

Why is it so hard to make lasting changes in our companies, in our communities, and in our own lives?

The primary obstacle is resolving conflict in our minds as embodied by an analogy of an elephant and its rider. The conflict is balancing and appealing to both the rational mind and the emotional mind—both competing for control of how we act. Change is a combination of both the rational and emotional and the book presents methods to enable change to come about by building pathways to reach our rational and emotional makeup.

For purposes of Quality Improvement, the messages and lessons in the book will help you focus on methods to navigate your team and those impacted by the changes you propose with specific steps.

Another way to think of knowledge, Feelings and Skills is to translate those into the Head, Heart and Hands, a familiar paradigm of how we approach and carry out decision making.

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Here are four major lessons from the SWITCH book and analogy:
 1. There are three surprises about change.
   - What looks like a people problem is often a situation problem. (Think about the Just Culture where we need to separate the individual behavior from the process and system driven issues)
   - What looks like laziness is often exhaustion.
   - What looks like resistance is often a lack of clarity.

2. Change often fails because our emotional side and our rational side can't cooperate long enough for the desired change to take effect.

3. Another reason change often fails is because of our surrounding environment.

4. Change isn't easy, but with the right framework, it becomes easier (if this sounds similar to the 'Just Culture' …you're right…the Switch book asks the reader to consider system-based issues and means to correct them…thus creating the 'right framework' or environment)

If you are able to read this book, study any of the Proshka, Lewin or Kotter models, you'll recognize similarities between them and realize that each presents elements of change management in different ways with different emphasis and you'll be the judge which models best speak to you and assist you and your team in your quality improvement work.

Slide 19:
Key Lessons and Celebrating Success

Slide 20:
To summarize and synthesize the models of change management, here are a few key takeaways that are common among the models we've covered:
- Clinical and technical changes are needed, but so are improved teamwork, leadership, communication, and organizational culture. Along with the need to engage all three components of head, heart and hands (or knowledge, feeling and skills) when it comes to introducing change and addressing individual's ability to make sense of change.

- Learning, networking, and best practices must be embedded and integrated into your quality improvement efforts. (think about the Lewin Equilibrium model 'Unfreeze, Change, and then Refreeze)
- Transparency and accountability are drivers to achieve quality, safety, and efficiency

Slide 21:
Here are some additional key lessons
- Daily work processes are so engrained that they often can't even be named, so process mapping and re-designing workflow can be challenging but are critically important. Setting the baseline of your current state workflow or process and designing the future-state is a topic we'll address in the Process Mapping module and we'll learn why it is so useful.

We are often so accustomed to the work we carry out each day that years and sometimes decades can pass without carefully examining how our processes work, who they impact and inefficiencies that have incrementally accumulated over the years.

- Managing change needs to be deliberate and thoughtful.
Change is hard enough without recognizing the difficulty and impact of change itself on the organization as a whole and on the individuals, who are impacted through the change…this is why we addressed culture and topics on individual, team and organization readiness for change.

Strike a balance between moving forward and the organization's comfort level for change

The key for pacing change is to find that balance between what is needed to move forward to achieve a goal on a timely basis within the organization's and individual's ability to absorb and integrate the change…recall the distribution graph of early adopters, early and late majority and so on.

- Communicate, communicate, communicate.
- You can't over-communicate. Providing information, insight and transparency to the ongoing project and clearly communicating the vision can't be overstated. Continually reference, update and refine your communication plan with what you need to communicate, to whom, how (which methods), and with what frequency.

Slide 22:
We've touched on the importance of celebrating success, and it's worth restating that once more. A celebration acknowledges that something positive occurred.

When involved in a QI program, a team, at times, may feel it is accomplishing little. Celebrating each success helps to overcome that feeling. QI is challenging work, and a celebration breaks the routine and sparks creativity.

Accomplishments are also easier to remember when marked with celebrations. Taking the time to commemorate a team's achievements also makes it easier to recollect them when it is time to refer back those accomplishments.

Slide 23:
Let's close out our topic on change management with an appropriate and relevant quote from Charles Darwin which is just as applicable to our organizations and ourselves as it was to the natural world he was investigating:

"It is not the strongest of the species that survives, nor the most intelligent, but the one most responsive to change."

Slide 24:
Thank you for taking time to learn about Change Management Models and Tools as part of the QI Basics course. Please join me for the next module in the course: The Model for Improvement and the PDSA (Plan Do Study Act) Tool