

Quality Improvement Basics: Change Management Models, Part 2

Slide 1 Objectives

After completing this module, participants will be able to

- Discuss generally the concepts of Kotter's eight steps to change.
- Recall the six steps of Prochaska's transtheoretical model of behavior change.
- Identify similarities between the four models of change considered in this course.

Slide 2 Eight Steps to Change: The Kotter Model

The field of change management is populated with many experts. John Kotter, a Harvard Business School Professor, introduced the Eight Step Model of Change in his book "Leading Change" from. He developed his model based on research of 100 organizations that were going through a process of change. A number of these steps have been presented as individual concepts or tools already in this course.

To initiate and move the change process forward Kotter proposed these eight steps

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...

Slide 3 Eight Steps to Change: Steps 1 and 2

In the first step of the model, you simply need to get people's attention!

- Sell the need for change ... explain 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 so that people identify with the change and buy into the need for the change you propose.

In step 2 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 and leadership skills drive the change.

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

Slide 4 Eight Steps to Change: Steps 3 and 4

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 provide 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 5 Eight Steps to Change: Steps 5 and 6

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 an environment of creativity and productive brainstorming

Step 6: Generate short-term wins.

- Change gains traction best when we can 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 build morale and motivation to continue the work

Slide 6 Eight Steps to Change: Steps 7 and 8

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 7 Eight Reasons Why Change Fails

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 of his 8 steps to change:

1. Allowing too much complacency
2. Failing to build a substantial coalition.
3. Not creating a clear vision
4. Failing to clearly communicate the vision.
5. Permitting roadblocks and not addressing them
6. Not planning for or securing short-term wins
7. Declaring victory too soon
8. Not anchoring changes in organizational culture

Slide 8 Prochaska's Change Management Model

Let's consider one more model of change. James Prochaska introduced the 'trans-theoretical model of behavior change' in 1983 which is comprised of six stages and is used in Motivational Interviewing by clinicians helping patients to take self-directed action and set goals for themselves.

As you listen to these steps, think about a workplace situation that required you to change and how you would describe your own path or transition through change at each of these steps.

The first three steps include:

1. Pre-contemplation – a lack of awareness that life or a situation can be improved by a change in behavior
2. Contemplation - This stage involves recognizing the problem, initial consideration of behavior change, and information gathering about possible solutions and actions
3. Preparation - Here an individual is introspective about their decision and reaffirms of the need and desire to change behavior

Slide 9 Prochaska's Change Management Model continued

The next step is

1. Action -This is when an individual implements the practices needed for successful behavior change
2. Maintenance - During this stage, there is a consolidation of the behaviors initiated during the action stage
3. Termination - At this point the former problem behaviors are no longer perceived as desirable.

As Prochaska describes in the six steps, behavioral change is not immediate and underscores that change is indeed a process ...a series of stages or steps that lead to the desired future state.

Slide 10 Change Management Models Review

In this and the previous module we've considered four change management models – Lewin's Phases of Change (unfreeze, change, refreeze), the Heath brother's *Switch* model (knowledge, feelings, skills), Kotter's 8 steps to change, and Prochaska's 6 stages in the trans-theoretical model of behavior change. We have only scratched the surface of these four models and there are many others as well. We encourage you to dig further into 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 quality improvement work.

Slide 11 In Summary

In summary, you've likely noticed there are a lot of similarities and connections between these models. Here are a few key takeaways that are common among the models we've covered:

- Change takes time, and managing and leading change needs to be deliberate and thoughtful – When leading any change effort, we have to recognize the difficulty and impact of change itself on the organization as a whole and on the individuals impacted ...this is why we addressed culture and topics on individual, team, and organization readiness for change. The key for pacing change is to strike a balance between: (1) what is needed to move forward to achieve a goal on a timely basis with (2) the organization's and individuals' abilities to absorb and integrate the change.
- Communication is essential – team members need to understand why change is needed and what impact the change will have on them. 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.

- Celebrate wins with your team. Accomplishments are 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.
- The work continues after a change is implemented – whether you adopt the framing of Lewin and refreeze, or focus on anchoring with Kotter, or maintenance with Prochaska – there is work to be done after the change has been adopted. Don't become complacent. You can continue to show appreciation for your team's hard work by monitoring progress and maintaining accountability for following new processes. This wasn't just an exercise – it was important work, and it deserves ongoing attention.

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."