


**SAMHSA/CSAT/CMHS
2008 Technical Assistance Workshop**

**Tools for Implementing Change:
*Changing Culture
Creating Alignment
Overcoming Resistance***

June 17, 2008


THE UNIVERSITY OF TEXAS AT DALLAS

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Workshop Objective

Increase your ability to successfully launch and implement a major change initiative.

- ◆ Introduce a structured framework for thinking through the initiative and the obstacles you're likely to encounter.
- ◆ Present proven change tools and techniques to help you help you launch, communicate, and sustain the initiative.

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Definition of a Change Project

- ◆ Has defined start and completion dates.
- ◆ Cuts across organizational boundaries.
- ◆ Generates observable, measurable results.
- ◆ Requires significant change in both attitudes and the way work is performed.
- ◆ Creates both active and passive resistance.
- ◆ Requires a dedicated change team.

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Role of Change Management

TRAINING
Explains objectives and provides information on desired activities and outcomes.

PROJECT MANAGEMENT
Involves tracking, monitoring, measuring, and reporting. Establishes performance standards and metrics, provides objective measures of progress against plan, anticipates obstacles and recommends corrective action.

CHANGE MANAGEMENT
Intensive, field-based exercise in changing behavior. Focuses on communicating the initiative, creating alignment, identifying and overcoming resistance, embedding change into the organizational culture.

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**Best Practices
Texas Medication Algorithm Project (TMAP)**

TMAP is a coordinated, evidence-based approach to the treatment of individuals suffering from schizophrenia, major depression, and bipolar disorder.

The objective is to reduce inappropriate variation in the diagnosis and treatment of these conditions and to assure that financial resources are allocated based on true service needs. The result will be the delivery of more appropriate, consistent, and cost-effective care across providers and treatment centers.

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TMAP Change Projects

1. Redesign the patient medical record to:
 - ◆ make patient history, diagnosis, treatment plan, and response more readily evident
 - ◆ reduce duplication of entry and the number of times a patient is asked to provide the same information
2. Determine eligibility for ongoing treatment services. Assign eligible consumers to the appropriate level of care. Assist those deemed to be ineligible in accessing available community resources.
3. Implement the TMAP medication algorithm, including implementation and utilization of the clinical rating scales and documentation of treatment and patient responses in the patient record.
4. Develop and implement a patient and family education program that:
 - ◆ fully informs patients on their diagnosis, proposed treatment plan, and potential medication side effects
 - ◆ shows patients how to use this information to make them more accountable for their outcomes

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Organizational Culture

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Organizational Culture

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Sociability and Solidarity

Sociability is a measure of the friendliness among members of an organization.

Benefits

- promotes high morale and esprit de corps
- encourages sharing of information, creativity, and openness to new ideas
- creates an environment in which people are more likely to go beyond the formal requirements of their jobs

Negatives

- allows poor performance to be tolerated
- creates an exaggerated concern for consensus (the best compromise gets applied to problems, not the best solution)
- develops into cliques and informal networks which undermine due process

Solidarity is a measure of the extent of an organization's focus on goals and competitive strategies.

Benefits

- emphasizes the mutual interests and shared goals that benefit all the involved parties, *regardless* of whether they personally like each other or not
- sets explicit, quantifiable targets and goals
- minimizes the time between idea and implementation

Negatives

- can become oppressive and run over people
- can develop a silo mentality in which individuals focus on their own targets and careers and no one else's

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Network Culture

An organization of friendship, trust, and personal respect and kindness.

Benefits

- theme of family and friends; personal loyalty throughout the organization
- patience and tolerance highly valued; people given time and freedom to express themselves
- sharing of ideas and information
- rules and policies are meant for interpreting

Negatives

- poor performance is tolerated
- overly focused on achieving consensus to the detriment of achieving the desired outcome
- coordination of activities is difficult; ideas get talked to death
- lack of strategic focus

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Focused Culture

Characterized by intensity, focus, and determination. It's members are passionate, energetic, and purposeful.

Benefits

- focus on shared interest and mutual goals; the competition is clearly identified
- bias toward action; time between idea and implementation is brief
- meritocracy, with a low tolerance for underperformance
- embraces change and tolerates disagreement, conflict and risk

Negatives

- individuals become overly focused on their own goals and careers
- people tend to leave when a better offer comes along

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Fragmented Culture

People work at the organization but for themselves. They're not particularly friendly with one another, nor do they particularly support the institution's goals.

Benefits

- provides the most freedom, flexibility, and fairness
- people judged solely on productivity and quality of their work; standing is built on outside world's assessment
- respect's ideas and tolerates highly idiosyncratic behavior
- allows time and space for great ideas or projects to develop

Negatives

- pervasive cynicism, closed doors, and excessive critiquing of others
- organization is undermined by bad attitudes and behaviors

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Communal Culture

Combines the high level of friendship and commitment of the networked organization with the performance focus and energy of the focused form.

Benefits

- strong sense of family, commitment, and interrelatedness
- high sense of urgency about the quality and importance of the product or service
- a sense that there is something unique and special going on

Negatives

- can easily become unbalanced
- when sociability begins to dominate, the internal family becomes exclusive and outsiders can be forced out
- excessive solidarity can lead to smugness and complacency, and focus on the customer is lost

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Organizational Culture

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Organizational Culture

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Change Tools and Techniques Index

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Launching the Project

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Sponsorship Alignment

Desired Outcome

- ◆ Clear agreement and commitment from sponsor
- ◆ A team with competency, influence, and representation that has been prepared for the challenge
- ◆ Well defined project that is doable, yet challenging

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Sponsor Discussion—Typical Questions

- Describe the initiative in your own words.
- Why is this initiative important?
- What will success look like to you?
- What is outside the scope of this initiative?
- What else is on your agenda? Where does this project fit?
- Who are the key players and how do they view this initiative?
- What excites you the most about this initiative?
- What concerns you the most about this initiative?
- What do you think our biggest challenge will be?
- Who should be on the core working team? How can we get their commitment?
- What role do you see yourself playing? How involved do you want to be?
- What key decisions do you want to make or be involved in?
- Do you have any words of advice or suggestions for me or the team?

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Developing An Effective Team

Team Members should be selected thoughtfully:

- ◆ Representation from areas of the organization that are impacted by the initiative
- ◆ Representation by those that must be involved in the design or support of the initiative
- ◆ Balance of leaders, managers, and peers
- ◆ Representation from different levels
- ◆ Inclusion of customers (internal and external) where appropriate
- ◆ Spectrum of facilitation, influencing, technical and process skills
- ◆ Selection of people who can commit to time required
- ◆ Diversity of perspectives, styles, and effectiveness

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Team Start-Up—Typical Discussions

<p>Concerns</p> <ul style="list-style-type: none"> • _____ • _____ • _____ • _____ • _____ • _____ • _____ 	<p>Expectations</p> <ul style="list-style-type: none"> • _____ • _____ • _____ • _____ • _____ • _____ • _____ 	<p>Ground Rules</p> <ul style="list-style-type: none"> • _____ • _____ • _____ • _____ • _____ • _____ • _____ 	<p>Roles</p> <ul style="list-style-type: none"> • Team Leader _____ • Coach / Facilitator _____ • Participants _____ 	<p>Consensus Definition</p> <ul style="list-style-type: none"> • I believe I've been _____ • I believe I've listened _____ • Even though _____
<p>Decision Types</p> <p>A _____</p> <p>B _____</p> <p>C _____</p> <p>D _____</p>	<p>Agreement List</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>Parking Lot</p> <p>_____</p> <p>_____</p> <p>_____</p>	<p>Have to offer</p> <p>_____</p> <p>_____</p>	<p>Would like to learn</p> <p>_____</p> <p>_____</p>

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Team Start-Up—Levels/Types Of Decisions

- A. I've made the decision. Here's what it is and why I had to make it.
- B. I'm leaning strongly in this direction. Tell me what the team thinks, then I'll make the decision (your input, my decision).
- C. We need more information before the decision can be made. Help us see all sides of the issue, then WE'LL make the decision based on consensus
- D. I'm willing to go with whatever the team decides on. Let me know your decision and I'll support it.

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Team Start-Up—Consensus

Consensus is reached when everyone can state:

- ◆ I believe that you understand my point of view.
- ◆ I believe that I understand your point of view.
- ◆ Even though this may not be the way I would decide things by myself, I will support the decision 100% because it was arrived at in an open and fair manner.

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Creating Organizational Alignment

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Backwards Imaging

1. Imagine a point in the future when your project or initiative has been very successful.
2. Find words to describe what you would see, hear, and feel as you observe key constituents functioning in the new, changed environment.
3. Discuss and reach consensus with your team members on what this new, improved future would look like.
4. As a team, develop the obstacles you would likely have encountered and overcome during the implementation.

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Is / Is Not

Helps a team think through the project by more clearly defining what is inside and outside its scope. Often the "is not" portion of the discussion is more important than the "is" part—that's where the disagreement usually lies. It can be used during the definition phase as well as later when the team is stuck and needs to be refreshed on the project's boundaries.

<u>IS</u>	<u>IS NOT</u>
• _____	• _____
• _____	• _____
• _____	• _____
• _____	• _____
• _____	• _____
• _____	• _____
• _____	• _____
• _____	• _____
• _____	• _____
• _____	• _____

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Tool: Threat/Opportunity Matrix

"Best Practice" organizations know how to frame a change initiative as more than a short-term threat. They work to find ways to frame it as both a threat and an opportunity. By doing so, they are able to create a sense of urgency and commitment among the key stakeholders.

	Threat	Opportunity
Short-Term	PAIN 1	3
Long-Term	2	GAIN 4

Building the case for change is one of the most important tasks of the team. This simple tool helps it to redirect the initial focus on short-term threats and generate a clear sense of why the initiative is essential.

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Example: Threat/Opportunity

Physician Group Initiative

	<u>Threat</u>	<u>Opportunity</u>
Short-Term	<ul style="list-style-type: none"> • Will create uncertainty and staff anxiety • Physicians will resist any change • Productivity will drop • Won't be able to fund other projects • Patients are likely to be confused • Overhead burden may rise 	<ul style="list-style-type: none"> • Control our future • Shake up the organization
Long-Term	<ul style="list-style-type: none"> • Won't achieve our objective • Will have to work with fewer staff 	<p style="text-align: center; font-size: small;">More flexibility / agility</p> <ul style="list-style-type: none"> • Improved patient satisfaction • Able to provide measurably higher quality care • Increased capacity through improved asset utilization • Able to recruit and retain better administrative and clinical staff • Physicians will be more productive

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Elevator Speech

Elevator Speech: This is a great exercise to help teams bring closure on the definition of their initiative. The name of the exercise references a limited time to clearly summarize the project definition.

- Imagine a chance meeting of a team member and a key stakeholder in an empty elevator with about 2 minutes to ride, or walking the hall.
- The key stakeholder says, "I heard you are working on the _____ initiative. What's it all about?"
- Team members practice this "speech" so they can convey a very short, uniform message in a conversational manner.

Well crafted elevator speeches should generally—though not rigidly—follow this four part formula:

- Here's what our project is about (*set the hook*)
- Here's why it's important (*deliver the message*)
- Here's what success will look like (*paint a picture of success*)
- Here's what we need from you (*summarize and get what you need*)

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Overcoming Resistance


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Resistance to Change


What does it look like?

Resistance to change is typically divided into two distinct categories:

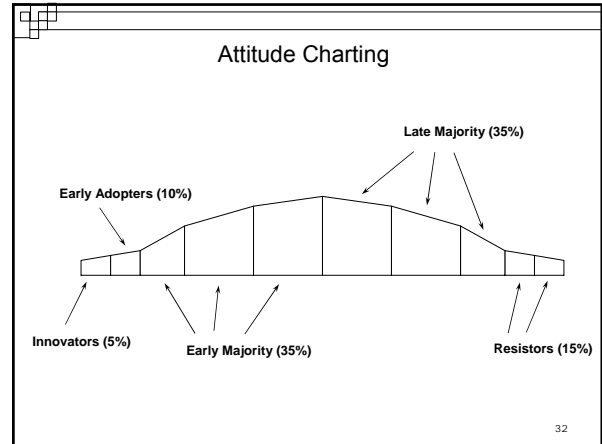
Active Resistance



Passive Resistance



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Influencing Key Stakeholders

Desired outcome:

- Support and involvement from people who must be behind the initiative for it to be successful
- Support of a critical mass of people who will be impacted by the initiative

What needs to be done:

- Clarify sources of resistance
- Create and implement a plan to influence stakeholders
- Focus on problemsolving

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Stakeholder Analysis

Names	Strongly Against	Moderately Against	Neutral	Moderately Supportive	Strongly Supportive

Steps: 1. Plot where individuals currently are with regard to desired change. (● = current)
 2. Plot where individuals need to be (X=desired) in order to successfully accomplish desired change-identify gaps between current and desired
 3. Indicate how individuals are linked to each other, draw lines to indicate an influence link using an arrow to indicate who influences whom
 4. Plan action steps for closing gaps

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Example #1: Stakeholder Analysis

	Strongly Against	Moderately Against	Neutral	Moderately Supportive	Strongly Supportive
Chief of Surgery					⊙
Dr. Bobbitt					⊙
Dr. Clappett	•				○
CEO				⊙	
Chief of Staff	•			○	
Medical Director					⊙
Chief of Medicine				⊙	
CFO	•			○	
Asst. Med. Director		•		○	
Chief Administrator	•			○	
Dr. Barnes				⊙	
Chief of Nursing		•		○	
Sharon Reams, RN				⊙	

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Example #2: Stakeholder Analysis

	Against	Moderately Against	Neutral	Moderately Supportive	Strongly Supportive
Chief of Surgery					⊙
Dr. Bobbitt					⊙
Dr. Clappett					○
CEO				⊙	
Chief of Staff			•	○	
Medical Director					⊙
Chief of Medicine				⊙	
CFO			•	○	
Asst. Med. Director			•	○	
Chief Administrator			•	○	
Dr. Barnes				⊙	
Chief of Nursing			•	○	
Sharon Reams, RN				⊙	

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Example #3: Stakeholder Analysis

	Against	Moderately Against	Neutral	Moderately Supportive	Strongly Supportive
Chief of Surgery					⊙
Dr. Bobbitt					⊙
Dr. Clampett				• → ○	
CEO				⊙	
Chief of Staff		• → ○			
Medical Director					⊙
Chief of Medicine				⊙	
CFO			• → ○		
Asst. Med. Director		• → ○			
Chief Administrator			• → ○		
Dr. Barnes				⊙	
Chief of Nursing		• → ○			
Sharon Reams, RN				⊙	

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Stakeholder Analysis: Overview Plan

What	Who	When
Brief Dr. Bobbitt on Initiative	Tom	Feb. 2
Brief CEO on Initiative	Karen	Jan. 28
Brief Dr. Barnes on Initiative	Bob	Feb. 14
Brief Sharon Reams on Initiative	Bob	Feb. 14
Brief CFO on initiative	Tom	Jan. 16
Brief & get buy-in with Dr. Clampett	Joe	Jan. 19
Brief & get buy-in with CFO	Quinn	Feb. 21
Brief & get buy-in with ICU Nurses	Karen	Feb. 21

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Influence Strategy

Stakeholder	Issues/Concerns	Influence Strategy

Strategy for building a coalition of specific key individual stakeholders

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Leading Effective Change

Change takes a long time...involves numerous steps and skipping any of the steps only creates the illusion of speed...

...and never produces a satisfying result.

John Kotter, Leading Change

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