LEADING AND VALIDATING CHANGE

Leading Change

> *"Every success story is a tale of constant adaption, revision and change."*
>
> -- Richard Branson

Changes for individuals and organizations are inevitable and necessary, yet . . .

- Leading change is HARD

- Behavior changes and new habits are especially challenging

- Research in organizations shows that large transformational change efforts fail around 70% of the time. (John Kotter)

The identification of 7 Common Change Challenges has helped to:

- Dramatically decrease the chance of failure,

- Lessen the angst, overwhelm, and change fatigue, and

- Shorten the time it takes to achieve the desired results.

> *We used to think that the magic of successful change, improvement, or growth initiatives was in finding the solution that will fix a problem or capitalize on an opportunity.*
>
> *In reality, we've learned that the real magic is in helping people embrace and adopt the new solution . . . to help people shift from the current way to the new better way.*
>
> *In essence, this is what it means by **leading change**.*
>
> *--Capstone Leadership Solutions*

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> **7 Common Change Challenges**
>
> #1 – Inability to Transfer Changes into Operations
> #2 – The Power and Distraction of "The Whirlwind"
> #3 – Variation in Behavior, Performance, and Contributions
> #4 – Inability to Diffuse Changes
> #5 – "Baggage"
> #6 – Change Fatigue
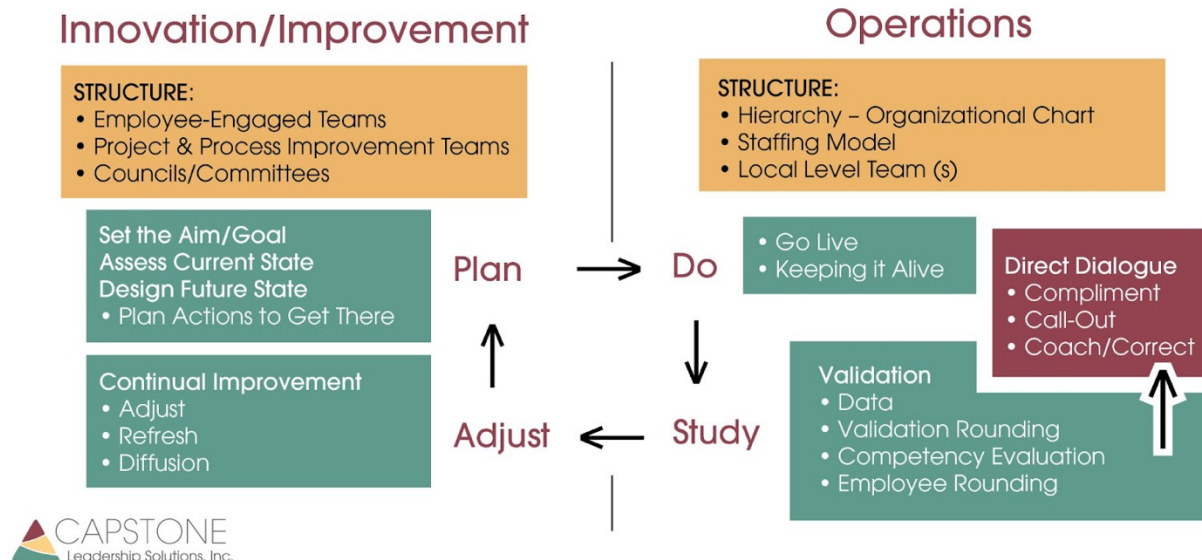> #7 – Dysfunction at the Top of the Hierarchy

What is meant by "**leading change**?"

- **Leading change** refers to the process of planning and implementing a new solution or practice with the goal of achieving competency and consistency among a sufficient number of people to **produce the desired result.**

- **Leading change** involves **fostering agility**, which entails a proactive stance towards change, innovation, growth, and resilience in uncertain circumstances.

- **Leading change** gets easier once you understand the common change challenges as you are better equipped to anticipate them, watch for them, and take appropriate action to **avoid or minimize the negative impacts** on your change efforts.

- **Leading change** is one of the 9 core leadership practices. Yet, embedded throughout the leadership bundle are helpful tactics for **overcoming, minimizing, and/or preventing change challenges.**

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#1 - Inability to Transfer Changes into Operations

What it is: The inability of an improvement team and leaders to successfully collaborate to support the transfer process from the "innovation/improvement engine" to the "operations engine" in an effort to establish the "new better way" as the actual way to conduct the day-to-day work.

TRANSFER OF CHANGES

Innovation/Improvement

STRUCTURE:
• Employee-Engaged Teams
• Project & Process Improvement Teams
• Councils/Committees

Set the Aim/Goal
Assess Current State
Design Future State
• Plan Actions to Get There

Continual Improvement
• Adjust
• Refresh
• Diffusion

Plan ⟶ Do

Adjust ⟵ Study

Operations

STRUCTURE:
• Hierarchy – Organizational Chart
• Staffing Model
• Local Level Team (s)

• Go Live
• Keeping it Alive

Direct Dialogue
• Compliment
• Call-Out
• Coach/Correct

Validation
• Data
• Validation Rounding
• Competency Evaluation
• Employee Rounding

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What to do about it:

LEADERS -

- **"Grab the Baton"** – "Localize" and "personalize" the what, why, and how of the change(s)

- **Campaigns** - Frequent, fun, creative reminders - such as providing visual cues on flyers or whiteboards - or standards-related recognition at daily huddles or scenarios at staff meetings. Campaigns can be used by the team(s) and/or by individual leaders.

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Validation-Feedback Loop

- Validate (Validation Rounding, Data/Surveys, Competency Evaluations, and Employee Rounding).

- Feedback to Employees: Compliments, Call-outs, Coaching, Correction (in keeping with the 3:1 ratio)

- Feedback to the Innovation Team to assist in the study/adjust phase of the change process

IMPROVEMENT TEAMS -

- Stay true to the Process Improvement Model - Don't skip or skimp on "Study and Adjust"

- Be specific in your request to leaders as to what is needed

Learning Activity: Build it Better!

Objective: Practice teamwork and adaptability.

Instructions: Break into groups of 4-5. One team member collects a supply bag. Build the tallest self-supporting tower in 10 minutes.

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#2 - The Power and Distraction of the "Whirlwind"

What it is - The "whirlwind" is day-to-day operations – or the work it takes to maintain the current state.
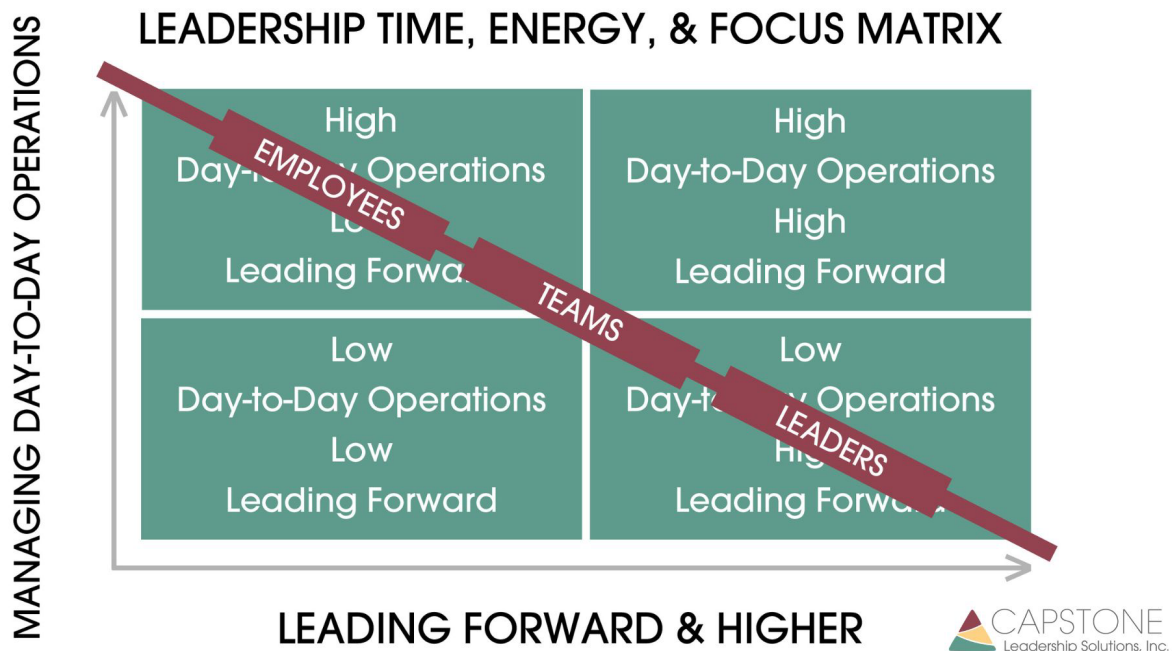
Some refer to it as "the real work" or "the day job." It is often driven by urgency. It is often re-active.

Whirlwind activities compete for time, attention, and energy necessary to move forward toward goals, improvements, and necessary changes that lead you to a better **future state.**

What to do about it:

LEADERS -

- Create "Vital Time" - dedicated time out of the whirlwind focused on proactive work in support of changes

- Adopt, and adhere to, a cadence of goal setting, action planning, and execution (aka "goal cycle")

- Engage and empower employees to self-manage the day-to-day operations and contribute to moving the organization forward and higher . . . "promote employees to the line of leadership"

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LEADERSHIP TIME, ENERGY, & FOCUS MATRIX

MANAGING DAY-TO-DAY OPERATIONS

| High Day-to-Day Operations Low Leading Forward | High Day-to-Day Operations High Leading Forward |
| Low Day-to-Day Operations Low Leading Forward | Low Day-to-Day Operations High Leading Forward |

EMPLOYEES

TEAMS

LEADERS

LEADING FORWARD & HIGHER

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REVIEW → Focus + Action Guide

Get out of the whirlwind each day to focus on future-focused activities that are positive, proactive, and results-oriented.

> **Take-Away Activity**

Part 1: Concurrent Assessment: Keep a Time/Activity Log (see next page) for 1-5 days at work.

Part 2: Estimate these percentages from your Time/Activity Log (should add up to 100%)

Whirlwind ____ %   Management ____ %   Leadership ____ %

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Part 3: Reflect and Journal - Based on your findings,

How are you feeling about how you are spending your time and energy? What opportunities do you see for "calming down the whirlwind," streamlining/improving management tasks, and/or devoting more time to leadership activities?

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Concurrent Review Log   Day/Date: _____

Activity	Time Spent	L*	M*	W*

*W = Whirlwind - Those activities that are reactionary to day-to-day operational issues (e.g., employee, patient, family, or physician complaint, investigating an error or incident, making calls to replace an employee that is sick, etc.) or in-the-moment activities that keep operations running (e.g., doing work typically assigned to frontline staff such as transporting a patient to another department or completing a patient registration, etc.)

*M = Management - Those tasks of management that are operationally focused, yet more planned (e.g., payroll, scheduling, inventory/ordering, etc.)

*L = Leadership - Those actions of leaders that are intended to elevate employee/team behavior or performance and/or make progress toward improvement efforts, projects, or goal attainment; in essence, actions that are targeted toward making things better in the future.

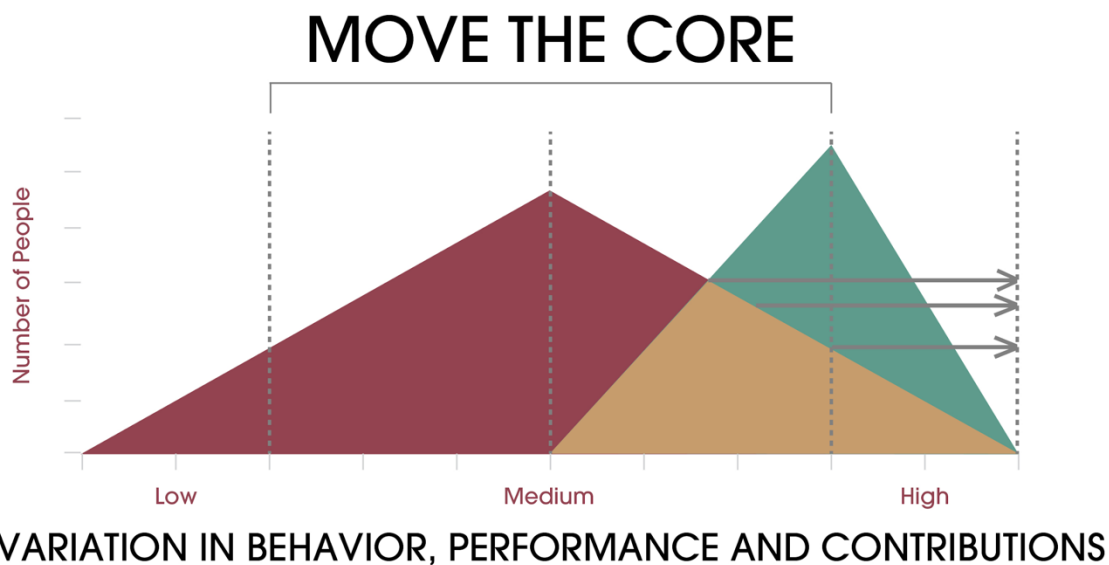CAPSTONE
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Plan to improve:

- Considering the concept of including more proactive work time for activities that move your organization or department forward and/or higher (aka non-whirlwind activities), what do you need to:

  o Start Doing?

  o Stop Doing?

  o Continue Doing?

- Share this information, and updates on your progress, with your leader or mentor over the upcoming months.

- Set a tickler on your calendar every 6 months to repeat this activity.

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#3 – Variation in Behavior, Performance, and Contributions

What it is – The inability to continually elevate the behavior, performance, and contributions of each individual, and therefore, an entire group. In particular, the inability to eliminate or minimize chronic and persistent behaviors or performance that are well below the set standards and disruptive to day-to-day operations and/or change initiatives.

Indications that this is a challenge to your change effort:

- Results of improvement efforts plateau or have peaked and now declined, short of your aim, target, or goal.
- Turnover (of the wrong people!).
- Chronic low levels of behavior or performance exist.
- Burnout of your best behaving, highest performing and contributing employees.

MOVE THE CORE

VARIATION IN BEHAVIOR, PERFORMANCE AND CONTRIBUTIONS

#3 – Variation in Behavior, Performance, and Contributions

What to do about it:

LEADERS - Giving Feedback

- Informal Feedback - Compliments and Call-Outs

- Formal Feedback - Coaching and Correction
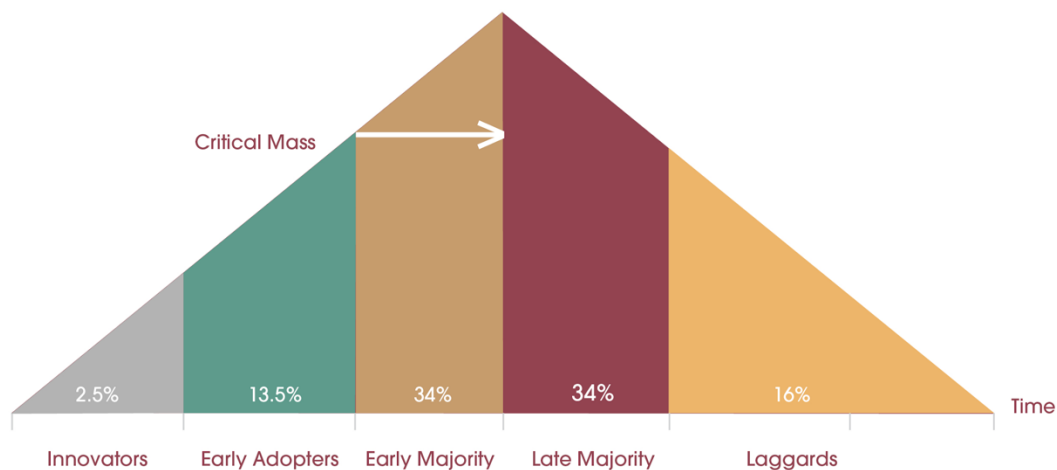
EVERYBODY - Giving Feedback

- "Peer-to-Peer" and "Omni-Directional Feedback"

- Compliments and Call-Outs

- "I Noticed = I Care"

- Train, train, train . . . mentor, mentor, mentor

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#4 - Inability to Diffuse Changes

What it is - The inability of an improvement team to successfully recognize, and effectively reach, individuals - and groups of individuals - to support them in adopting a change or standard.

- **Adoption** is an individual process detailing the series of stages one undergoes from first hearing about an innovation, standard, or change to finally adopting it.

- **Diffusion** is defined as the process in which an innovation, standard, or change is communicated through certain channels over time among the members of a social system. Diffusion signifies a group phenomenon, which suggests how an innovation, standard, or change spreads.

DIFFUSION OF INNOVATION

Critical Mass

| 2.5% | 13.5% | 34% | 34% | 16% | Time |
| Innovators | Early Adopters | Early Majority | Late Majority | Laggards | |

ADOPTER CATEGORIES

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#4 - Inability to Diffuse Changes

What to do about it:

- **Keep Going -** In the early stages of change, "negativity will scream at you and positivity will only whisper." This is normal human behavior. It doesn't mean that the change isn't going well or shouldn't proceed. Many change efforts are short-changed or stopped before they reach their intended results or the people who need to adopt the change.

- **Identify "Pockets"**

    o   Validation Tactics - Where is it going well? Where is it not?

    o   Meeting people where they are at - diverse audiences

        1) People who aren't doing it (stopped or never started)
        2) People who are doing it but not consistent and/or competent
        3) People who have mastered it

- **Campaigns -** Ongoing efforts by the teams and leaders to keep the desired standards or changes "top of mind."

    - Standards-of-the-Month

    - "Why Boards"

- **Validation-Feedback Loop -** the practice of observing or inquiring about the standards or changes – with a spirit of curiosity, not criticism. Then, in response to what is learned, providing specific feedback.

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#4 - Inability to Diffuse Changes

What to do about it:

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I Commit to <u>ROCK</u> this Change

R - <u>R</u>ole model

Be one . . . seek one

O - <u>O</u>pen up to the change

Give it a "go"

C - <u>C</u>are to give and get feedback ("I noticed = I care")

Compliments and Call-Outs (3:1 ratio)

K - <u>K</u>eep trying

Catch yourself going back to the old way and choose to try again at attempting the new way

</div>

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#5 - "Baggage"

What it is - Baggage is a negative emotional reaction that an individual (or group of individuals) within the organization carries - sometimes for years – related to a past situation.

This baggage can prevent them from moving forward with the organizational changes. Baggage is often used as their rationale for opting out of the changes that are expected of all.

What to do about it:

- Organize efforts for individuals to contemplate if they have baggage and consider how they can put it down.

  Individuals could consider these questions or actions: ***What baggage are you carrying? The longer you carry it, the heavier it gets. What's the impact of carrying it any longer?*** If you don't want to carry it for ten more years, why even carry it for one more day. Practice putting it down for just one day, and then one week. Put an effort into recognizing when you are resisting change -- and then, contemplate what is leading to that resistance. That is baggage. Let go of it. Notice how much better it feels.

- Organization group activities to identify baggage and to "let it go" symbolically (e.g., shredding, burning, burying, launching balloons, etc.)

Activity - Journal your answers to the bolded questions above.

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#6 - Organizational Change Fatigue

What it is - A general sense of apathy or passive resignation towards organizational changes by individuals or teams.

What to do about it:

1. Gain a deeper understanding of human behavior related to change and utilize this understanding as changes are being planned and implemented.

2. Proactively include efforts focused on increasing personal resilience and wellbeing.

3. Communicate – actually, over communicate - with a simplistic and dependable approach. The unknown creates fear, which adds to resistance and change fatigue.

4. Take an in-person approach, when possible, to meetings and trainings on changes. Human interaction is a key force in overcoming resistance and speed of change.

5. Celebrate successful change efforts - connect the dots that "we are an organization that can succeed with changing."

6. Get better at changing. Evaluate change initiatives. What went well? What didn't? What did we learn that can help us with future changes?

7. Foster a positive mindset (or growth mindset) about change.

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#6 - Organizational Change Fatigue

Fostering a positive mindset:

- This means that everyone is encouraged to give changes an honest try and that new ideas or processes aren't dismissed just because they're new.

  - While it is true that some people adopt changes before others, when people strive more often to be in the group that is willing to go first, this makes them available to lend a helpful hand to coworkers who may be struggling with the change. Often it is the members of the employee-driven teams that are championing the changes, that are willing to "go first," yet, another group of employees will also be "early adopters" of certain changes. That is enough to create momentum for change.

  - It is unhelpful to actively fight change or encourage dissent or negativity among peers. Instead, encourage people to ask questions to seek understanding about the change and turn around naysaying thoughts.

- As new ideas are being embraced, encourage people to speak up with constructive and helpful feedback on how the changes are going. Not all changes are designed or implemented perfectly right from the start which is why feedback about what's working and what's not is a necessary part of the change process. People can also be encouraged to provide input or ideas for needed or upcoming changes too.

> *"The secret of change is to focus all of your energy, not on fighting the old, but on building the new."*
>
> –-Socrates

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#7 - Dysfunction at the Top of the Hierarchy

What it is - While many changes take the efforts of everyone in the organization, what is specifically happening (or not happening) by those at the top of the organization's hierarchy can foster or inhibit the efforts towards achieving the very changes that were defined there.

These "dysfunctions" of senior leadership can take many forms. Common dysfunctions we've uncovered include:

- failure to clearly define the organization's strategies and goals,

- failure to define, train to, and hold leaders accountable to defined leadership responsibilities,

- maintaining an overly burdensome and slow bureaucracy and/or decision-making process,

- individual/team behaviors that are not in keeping with established behavior standards,

- relationships that are troubled within the team, and/or

- lack of transparency; lack of well-defined and executed communication plan

What to do about it:

Senior Leadership Team Strengthening Process - Ongoing efforts by the senior leadership team to evaluate their team functioning (recommended semi-annually) and ongoingly take actions to monitor and improve their functioning.

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Validating Change

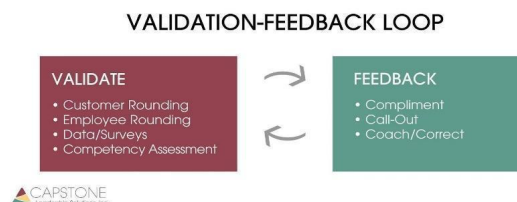> *"Trust. But Verify."*
>
> –– Ronald Regan

What

Validation is:

- A key component of a process improvement cycle (PD**SA**/PD**CA**).

- A tactic utilized to assess if processes, and changes to them, are achieving the intended results.

Why

1. **Continuous Improvement:** Validation proactively addresses process issues, fostering continuous improvement in patient care and employee experience.

2. **Accountability:** Regular validation reinforces accountability, fostering a culture of ownership and responsibility.

3. **Employee Engagement:** Validation recognizes employee contributions, leading to higher morale and retention rates.

4. **Trust and Confidence:** Consistent validation instills confidence in employees and builds trust both internally and externally.

5. **Innovation Driver:** Validation identifies areas for improvement, fostering a culture of innovation.

6. **Validation-Feedback Loop:**

VALIDATION-FEEDBACK LOOP

VALIDATE
- Customer Rounding
- Employee Rounding
- Data/Surveys
- Competency Assessment

FEEDBACK
- Compliment
- Call-Out
- Coach/Correct

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How

- Validation (Patient) Rounding
- Data/Surveys
- Employee Rounding
- Competency Evaluations/Observations

Select two of the four validation methods for optimal results. One objective (i.e., surveys) and one subjective (i.e., rounding).

Tactic #1: Validation (Patient) Rounding

Validation (Patient) Rounding is a leader-patient conversation aimed at building rapport, recognizing achievements, assessing employee performance, ensuring process effectiveness, and addressing any concerns. It involves:

1. **Establishing Rapport:** Begin with empathy and clarity about your role.

2. **Assessing Patient Satisfaction:** Understand the patient's satisfaction levels with care and service.

3. **Recognizing Achievements:** Identify and acknowledge noteworthy efforts or successes.

4. **Managing Up:** Advocate for the patient within the organization and address any issues.

5. **Evaluating Performance and Processes:** Assess employee performance and the effectiveness of processes.

6. **Service Recovery:** Address any issues promptly and ensure follow-up.

7. **Closing:** Conclude positively and leave contact information for further communication.

Frontline leaders should conduct rounding to ensure departmental efficiency and validate changes. Senior leaders can also use this approach to validate organizational changes.

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Examples of Applying Validation Tactics in Patient Rounding:
- "Our goal is to be thorough in our communication about your care. Around the hours of 7am and 7pm, our staff changes in this unit. Can you tell me how the nursing team leaving and the nursing team coming on interact with you and/or your family during this time?"

- "The information on this whiteboard is helpful in our efforts to have great communication about your care. During your stay, have you noticed information that is out-of-date or missing from the board? How often do you see it being updated?"

Tactic #2: Data/Surveys

> "Customers will never love a company until employees love it first."
>
> -~ Simon Sinek

In the context of validation, leveraging data and surveys is paramount for ensuring accuracy and reliability in assessing progress. By using objective data, organizations can validate their processes and systems effectively. Additionally, surveys play a crucial role in gathering insights and feedback from stakeholders. Here's a breakdown of key considerations when utilizing data and surveys for validation purposes:

- **Validation through Data:** Utilizing objective data ensures accuracy and reliability in assessing progress.

- **Priority Index vs. Lowest Score:** We prioritize action items based on priority index rather than solely focusing on the lowest scores, ensuring efforts are directed where they will have the most significant impact.

- **Survey Methodology:** Surveys may include demographic indicators for targeted analysis. Questions may be indexed to gauge specific aspects of the experience, such as engagement, satisfaction, safety culture, and leadership effectiveness.

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- **Response Rate Significance:** A statistically significant response rate ensures the data collected is representative of the population and can be used to draw meaningful conclusions.

- **Best Practices for Timing:** Surveys should be timed strategically to capture relevant feedback and avoid survey fatigue, aligning with organizational milestones or initiatives.

Why does this method matter?

- **Avoiding Subjectivity:** Objective data helps us avoid the pitfalls of subjective assessments, providing a clearer picture of our current state and areas for improvement.

- **Identifying Priorities:** Prioritizing action items based on data ensures resources are allocated effectively, targeting areas with the greatest potential for impact.

- **Ensuring Effective Change:** Ongoing validation through surveys allows us to gauge the effectiveness of improvement efforts and make necessary adjustments.

- **Focusing on Results:** Our ultimate goal is to create positive experiences for both employees and patients, driving organizational success and satisfaction.

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How do you effectively apply this method?

1. **RESPECT THE VOICE OF THE EMPLOYEE or PATIENT!**

2. **Establishing Goals:** Clearly define aims and targets for improvement, aligning with organizational objectives and patient-centric goals.

3. **Survey Methodology Selection:** Choose appropriate survey methods (paper, electronic) based on organizational needs and the needs of the demographic being surveyed, ensuring ease of participation and data collection.

4. **Collecting Baseline Data:** Gather initial data to establish a baseline for comparison and measure progress over time.

5. **Studying and Adjusting:** Regularly monitor survey results to validate the effectiveness of changes and make necessary adjustments to improvement plans.

6. **Analyzing Results:** Analyze survey results comprehensively, identifying trends, strengths, and areas for improvement. Focus on:
   - Statistically significant results

   - Indices

   - Priority index when available

   - Trends and benchmarks

   - Comments adding context to the raw data

NEGATIVITY SCREAMS WHILE POSITIVITY ONLY WHISPERS

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7. **Communicating Findings:** Communicate survey findings transparently and effectively to stakeholders, fostering a culture of openness and accountability.

8. **Acting on Feedback:** Prioritize actionable items identified in survey comments, focusing on turning "good" experiences into "great" ones.

9. **Monitoring Metrics:** Continuously track metrics to gauge progress and ensure sustained improvement efforts.

10. **Engaging Leaders and Teams:** Collaboratively review survey results with leaders and teams, soliciting input and fostering ownership of improvement initiatives.

Activity

Group Exercise: Form groups of 3-4 and discuss strategies for promoting high survey participation and effective utilization of survey results. Assign a speaker for your group who will share your ideas with the larger audience.

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Tactic #3: Employee Rounding

If you haven't made employee rounding a regular practice, validating recent changes can be a compelling reason to start. Validation rounding involves purposeful one-on-one conversations led by leaders. It's all about having the right intent and asking the right questions. Effective employee rounding fosters a culture of transparency, communication, and recognition.

Examples of Applying Validation Tactics in Employee Rounding:

1. What is working well with _____?

2. The goal is for _____ to be consistently practiced (every patient, every encounter, every time). What may be getting in the way of this consistency?

3. To make _____ even more impactful, what suggestions do you have?

Tactic #4: Competency Evaluation/Observation

Competency evaluation/observation is a systematic process used to assess an individual's skills, knowledge, and abilities in a specific area or task. It involves observing and evaluating performance to ensure that employees meet established standards and requirements. Here are popular formats used for competency evaluation/observation:

1. **Role Playing Demonstration:** In this format, individuals are asked to enact specific scenarios or situations relevant to their roles. It allows evaluators to observe how individuals apply their skills and knowledge in practical, real-life situations.
    - **Example:** *Role playing proper telephone etiquette standards.*

2. **Direct Observation:** Direct observation involves closely watching individuals perform tasks or duties in their actual work environment. This format provides firsthand insight into an individual's performance, allowing evaluators to assess competencies in real-time.
    - **Example**: *Proctoring before releasing a new employee/provider to practice independently.*

3. **Quiz/Test – Written or Oral:** Quizzes or tests, whether written or oral, are used to evaluate an individual's understanding of concepts, procedures, or regulations related to their job. These assessments can cover theoretical knowledge as well as practical applications.
    - **Example**: *Assessing knowledge through annual training (education system).*

4. **Simulation:** Simulations replicate real-life scenarios or tasks in a controlled environment. They allow individuals to demonstrate their skills and decision-making abilities without real-world consequences. Simulations are particularly useful for assessing complex or high-risk tasks.
    - **Example**: *Annual full scale disaster drill.*

VALIDATION WORKSHEET

WHAT SPECIFIC CHANGE/STANDARD/GOAL is being validated? _____
- Initial baseline validation at the start of a change/improvement initiative, or
- Follow up validation activity as part of the check-in/study phase?

VALIDATION METHOD(S) USED:

- Validation (Patient) Rounding (aka "Ask the Patient")
- Data/Surveys

- Employee Rounding (aka "Ask the Employee")

- Competency Evaluation/Observation

DESCRIBE THE APPROACH TO CONDUCTING THE VALIDATION ACTIVITIES USING THE CHOSEN METHOD(S) (who, when, how):

VALIDATION METHOD	Activities (Who, When, How)

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NOTABLE TRENDS/FINDINGS FROM THE VALIDATION ACTIVITIES	WHO NEEDS TO KNOW
POSITIVES	
OPPORTUNITIES	

NOTE: Attach any applicable charts/graphs/etc., if applicable

FOLLOW UP ACTIONS (e.g., recommended goal/aim, any adjustments to action plans, communication, recognition/celebration, etc.)

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Activity

Individual

Consider a recent change that has been implemented in your work unit. What validation tactics are being used in the study/adjust phase? What action could you take to improve your validation practices related to this change?

Group

Stand up and pair up with one attendee and share one action you can take to improve your validation practices.

Closing

As you embark on this journey, remember that validation is not merely a task to be checked off a list but a mindset, a commitment to excellence in everything you do. Continue to validate, challenge yourselves, and strive for greatness. And remember, as Ronald Reagan so eloquently put it, **'Trust. But Verify.'** Your validation efforts are rooted in trust, trust in your teams, trust in your processes, and trust in your shared vision for excellence.

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QR CODES/LINKS FOR RESOURCES:

eLearning Course: CapstoneEDU - Leading Change

Leaders in Partner Organizations – contact your Initiative Champion

Leaders in Non-Partner Organizations – access more information on course details and pricing via the QR Code/Link

Capstone's Change Challenges Survey

Leaders in Partner Organizations - contact your initiative champion

Reflection/Notes:

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