Curriculum Development
Centers Program

Awardee of The Office of the National Coordinator for
Health Information Technology

Component 10 – Fundamentals of Workflow Process Analysis and Redesign

Unit 9 – Leading and Facilitating Change

Tell me and I'll forget;
show me and I may remember;
involve me and I'll understand.

– Chinese Proverb

Health IT Workforce Curriculum
Version 2.0/Spring 2011

Objectives

- Explain concerns expressed by participants in a process analysis & redesign scenario in terms of common change management concepts.
- Propose strategies to gain acceptance of changes in work processes.
- Create and critique a facilitation plan, including appropriate facilitation tools for a given process analysis & redesign scenario.
- Given a health care change management scenario, explain outcomes in terms of common change management concepts.

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Topics – Unit 10.9

- Change Management concepts
- Tools for facilitating change
- Facilitation planning

Change Concepts

What is it that causes some change management efforts to be successful?

Employee's perspective

Project change
Regulatory Changes
Merger / Acquisition
Market Changes
Employee
Work Process Change
Departmental Changes
Re-structuring
Personnel changes
Requests From Manager
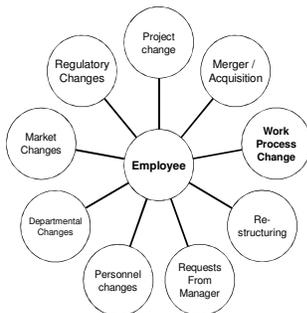
From the employee's perspective, there can be a lot of changes, and a lot of changes can be overwhelming.

Remember that work process change may be only one of several changes an organization is undergoing.

Janssen's 4-Room Apartment[1]

A personally significant change occurs

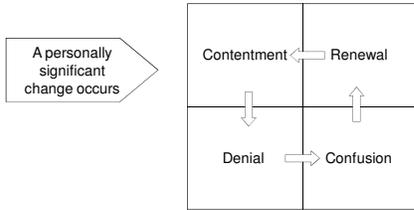|	
Contentment ← Renewal	
↓	↑
Denial → Confusion	

Diagram drawn from Claes Janssen's description available from
http://www.claesjanssen.com/four-rooms/about-the-four-rooms-of-change/index.shtml

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Key Concept 1:

- Humans and organizations are complex
- Many factors that come into play
  - Organizational constraints
  - Management style
  - Organizational, departmental, division, and personal goals
  - Personalities
  - Environmental factors

Key Concept 2:

- Organizations are living, changing biological systems
  - If you push on the system, it will compensate
  - Behavior dependent on culture and level of trust
- Reductionist treatment rarely explains the whole
  - Measures and numbers
    - Are not complete
    - Cannot capture the complete complexity.

Key Concept 3:

Change happens through individual choice and freedom not through top-down control or coercion.

Key Concept 4:

John Gall, MD in his 1970's book *Systemantics*[2] said it most insightfully:

"Systems run best when designed to run downhill."

Key Concept 4 Example:
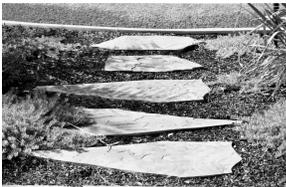
Sure, walk in my garden !

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Key Concept 5:

- Change starts with a deeply meaningful purpose
- Which of the following would you rather be a part of?
  - Getting a system in production
  - Implementing a system so your practice would get the Meaningful Use incentives
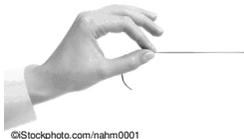 - Using health IT to improve the health or your patients

Key Concept 6:

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Make and keep the gap between "as is" current reality and "to be" vision visible, and talk about it at every opportunity.

Making gaps visible maintains a "creative tension" as Peter Senge calls it, that motivates forward progress.

Key Concept 7:

Don't pull.

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Thought Exercise

Think back to a time in your career when you woke up in the morning excited about coming to work.

List three things about your situation that made your job so engaging.

Thought Exercise

Common responses include
- Your own project / feeling of ownership
- You were making the decisions, / feeling of being in control
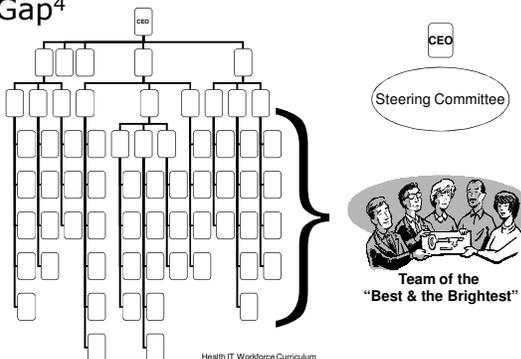- Autonomy
- Trust with co-workers

Key Concept 8: The Engagement Gap[4]

CEO

Steering Committee

**Team of the
"Best & the Brightest"**

Key Concept 9: Transparency

"…tell the truth, the whole truth and nothing but the truth…"

Pulling it all together

- Change happens best when individuals have
  - Deeply meaningful purpose
  - Sincere invitation to influence
  - Acknowledgement of opportunities for personal control or choice
  - Transparency
  - Shared understanding
- Change is impacted by:
  - Individuals and organizations
  - Culture and trust
  - How a change project is structured and managed

Applying All of This

Facilitation Plans and Tools

Facilitation "F" Plan

A facilitation plan is an outline for how a meeting or an entire change effort will be run. A facilitation plan includes:
- Description of who is included.
- Description of how included individuals will be selected or invited.
- Schedule or agenda.
- Outline of what methods or tools will be used
- Description of how the rest of the organization will be kept up-to-date
- Description of how leadership will be kept in the loop

A facilitation plan should be made available to the entire organization to maintain transparency.

Facilitation Plan Scenario

A mid-size internal medicine practice has decided to select, purchase and implement an EMR. They have hired you as a consultant for Process Analysis and Redesign. Your agreement with the practice is that you will provide instruction, training and oversight for members of their staff as they analyze their processes, redesign their processes around an EMR, and define the functionality that they need in an EMR.

You have already had an initial meeting with practice leadership and have had a tour and met the 75 person staff. At your next meeting, you will present the facilitation plan and get the analysis and redesign started.

Over the next several slides, we will look at "Big F" facilitation plan for the entire effort, and a "little f" agenda for the initial meeting.
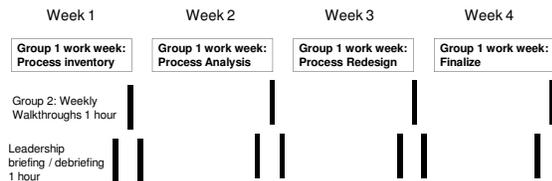

Big F

	Week 1	Week 2	Week 3	Week 4
	Group 1 work week: Process inventory	**Group 1 work week: Process Analysis**	**Group 1 work week: Process Redesign**	**Group 1 work week: Finalize**
Group 2: Weekly Walkthroughs 1 hour				
Leadership briefing / debriefing 1 hour				

Little f for Process Inventory

- This occurs early in the process
- Need
  - To facilitate the team in creating a list of all of the major processes
- Logistics
  - Usually this is an initial meeting followed by someone creating the list or spreadsheet,
    - Followed by group review and revision
- Product
  - Process inventory that can be provided at Walkthrough 1
- Expect some revisions based on the broader review

Little f Week 1 Agenda

- Introduction to overall project
  - How the team was selected
  - What their charge is
  - The Big F plan
  - Timeline and scope
- Context diagram overview
- Group context diagram creation
- Think-pair-share
- Sorting & grouping
- Assignment of processes inventory work
- Assignment for preparing for/conducting walkthrough

Little f for Process Analysis

- Discussion:
  - Process Inventory Results
- Training:
  - Flowcharts
- Training:
  - Analysis
  - Spotting opportunities for improvement
- Group exercise with 1 process
- Independent work time
  - With assigned processes
- Paired feedback
- Present each process and group discussion
- Assignment
  - Processes for analysis; preparing for/conducting walkthrough

Little f Redesign

- Training:
  - Common EHR functionality
  - Matching analysis results to EHR functionality
- Group exercise with one process
- Independent work time with assigned processes
- Paired feedback
- Present each process and group discussion
- Assignment
  - Processes for redesign
  - Preparing for/conducting walkthrough

Little f post-Week 1 Walkthrough

- Introduction to overall project
  - How the team was selected
  - What their charge is
  - The Big F plan
  - Timeline and scope
- Context diagram exercise
  - Create one as a group
  - Pin-the-tail on the donkey
- Process Inventory
  - What did we miss

Little f Leadership Briefing / Debriefing

- Brief review of progress
- Presentation of challenges
- Review and "what did we miss" exercises
- Engaging questions:
  - Any surprises based on what's presented
  - Get help strategizing about challenges
  - Leadership should have input into prioritizing processes for analysis and redesign

Summary

- The method and plan don't matter as much as adhering to principles of Change Management
- The example method here Big F/little f and the two group process is only one example

References

1. Janssen, Claes F., available from http://www.claesjanssen.com/four-rooms/about-the-four-rooms-of-change/index.shtml
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8. Senge, Peter, Kleiner, Art, Roberts, Charlotte, Roth, George, Ross, Rick, Smith, Bryan, *The Dance of Change.* New York, New York: Doubleday; 1999.