Strategies for Facilitating Change in Primary Care

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Session M 17
These presenters have nothing to disclose.

December 10, 2012

Session Objectives

- Explain how to map a change project to diagnose effectiveness of current change management roles and state of alignment.
- Identify strategies for responding to gaps in roles and alignment including advocacy (i.e. when you do not have formal authority).
- Explain how to identify reactive or resistant response to change in both practice teams and in oneself.
- Identify strategies for skillful response to reactivity and resistance.
Agenda

8:30  Welcome/Introductions/Agenda
8:50  Context Setting-Leading Change in Primary Care
10:00 BREAK
10:30 Change Management-Implications for Change Agents
11:00 Alignment Mapping
11:45 LUNCH
12:45 Reflections-Q&A
1:00  Human Dynamics of Change
2:00  BREAK
2:15 Advocacy to Sponsors- Principles and Practice
3:15 Action Planning
4:00 Adjourn

What Challenges Are You Facing?
Context-Leading Change in Primary Care

Ann Lefebvre, MSW, CPHQ

Our Framework for Today

- From the perspective of an individual who is leading change
  - organizational pieces
  - personal implications

As we approach new models today, ask yourself:
- What is my role and my relation to the change that I am leading?
Structure of Your Role

- **Internally Leading Change**
  - Typically a shift in job title or job description
  - Typically not a full time position
  - Knows the practice and the players very well
  - Can have competing demands

- **Externally Leading Change**
  - Typically hired by an entity outside of practice
  - Typically time limited or scope limited within practice
  - May be coaching many/several practices/teams
  - May provide an objective opinion, but does not know the practice/players well to start

TransforMED Recommendations

Medical home requires **more than** just access, comprehensive care, coordination of care, relationships over time (Four Pillars)

In addition, it requires a **strong organizational core**
(material and human resources, organizational structure, clinical process)

and **adaptive reserve**
(healthy relationship infrastructure, an aligned management model, facilitative leadership).

Crabtree et al, Summary of the National Demonstration Project and Recommendations for Patient-Centered Medical Home. Ann Fam Med 2010: 8(Suppl 1) S80 – S90
So, can’t we just fix the systems?

- Sometimes....
- But sometimes, there are barriers to improvement such as:
  - Misaligned leadership
  - Inadequate support
  - Resistance to change
- Today is more about diagnosing those barriers and not the nuts and bolts of how to improve.

Understand the Challenges

<table>
<thead>
<tr>
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<th>Adaptive Challenges</th>
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<td>May respond to stakeholders (different from authority)</td>
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Exercise:

- Talk with a person next to you about a challenge that you have faced in trying to create change.
- Identify what parts of the challenge were technical and what parts were adaptive.

Interventions for Facilitating Change

- **Doing tasks for the team**
  - Facilitating
  - Consulting
  - Training
  - Coaching

- Increasing client responsibility for providing content and managing the process

- Coach in role of “doing for to get it done”
- Coach in role of “empowering, eliciting, enabling to get it done”

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A Few Questions to Start:

- Why have you been asked to work on this change? (project or transformational change?)
- What is motivating the organization to work with you on this change? (desire to improve or mandate from above?)
- Has the organization structured time and resources to do the necessary work?

Crisis is Needed for Change
Anxiety is Needed for Change

- Anxiety is needed to respond to the crisis.
  - Acute anxiety vs. Chronic anxiety

  - Acute anxiety:
    - Can be a motivator for change (work to make it productive)
    - Can create a results oriented attitude
    - Can bring out the best in people, or the worst in people

  - Chronic anxiety:
    - Wears on staff
    - Creates self doubt
    - Creates an unwillingness to change

Rescue or Responsibility?

- “If I give you my advice and it fails, you will blame me. I have traded my advice for your responsibility and that is seldom a good deal”. John Whitmore

- “A Client Responsibility coach uses their role to uncover information about the system so the client can use their own resources and continue to relate more strongly to each other”. Mary Beth O’Neill
How Do You Know When You are Rescuing?

**Behaviors:**
- You are working harder than the team.
- You decide agendas and other things independent of the team.
- You employ an expert role more than a leader or coach role.
- You do things that the team can do or could learn to do.

**Attitudes:**
- You do not believe the team can solve their own challenges.

What Promotes Owning Responsibility and Building Capacity?

**Behaviors:**
- Supports team

**Attitudes:**
- Believing a team *must own* their challenges and solutions to reach their goals.
- Acting on desire to assure the team is more capable at the end of coaching or change period.
- Focus on building on and building strengths in the team - not the strengths of the coach/leader.
Change Management Principles

Cory Sevin RN, MSN, NP

Table Discussion
Change Has a Process

Current state

Transition state

Desired state

Technical learning
Adaptive learning
Anxiety, Fear, Anger
Loss of control
Don't agree change necessary
Building the airplane while flying

Improvement Science for Learning

Design the process to achieve intended

Leadership, Alignment and Ongoing Dialogue

Alignment is a dynamic process needing ongoing dialogue, learning, creating shared understanding, creatively addressing implications and barriers from the changes.
Understand the Challenges

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Vision and goals for change

Gap creates tension

Clear picture of reality

Emotional tension
Reactivity
Resistance

Creative tension
Reflection
Resilience

Outcomes
Revised vision and picture of reality

Adapted from Senge, The Fifth Discipline, 2006

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Create Tension for Change

- Draw attention to the tough questions
- Give more responsibility than comfortable with
- Bring conflicts to the surface
- Tolerate provocative comments
- Name and use some of the dynamics in the room at the moment e.g. getting some of the authority figures to do the work, scapegoating and individual, externalizing the blame, and tossing technical fixes at the situation
- Assure accountability by how run meetings
- Using data well

Adapted from Senge, The Fifth Discipline, 2006

Heifetz, Ronald; Grashow, Alexander; Linsky, Marty The Practice of Adaptive Leadership, Harvard Business Press, 2010
Create Tension for Change

- Address aspects of the conflict with most obvious and technical solutions
- Provide structure by breaking the problem into parts and creating timeframes, decision rules and role assignments
- Temporarily reclaim responsibility for the tough issues
- Employ work avoidance mechanisms such as taking a break, telling a joke or story, or doing an exercise
- Slow down the process of challenging norms and expectations

Lowering Tension

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Waterline Model

Roles for Change

In improvement work:
- Work be a high priority
- Executive sponsor assigned and involved
- Day to day leader
- Physician champion
- Multi-disciplinary team of folks who do the work

IHI Framework for Execution

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<th>KEY TASKS</th>
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<td>Make decisions</td>
<td>Set vision, goals, measures, expectations, manageable priorities</td>
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<td></td>
<td>Hire and fire</td>
<td></td>
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<tr>
<td></td>
<td></td>
<td><strong>Sustain dialogue</strong> to assure/develop alignment:</td>
</tr>
<tr>
<td></td>
<td></td>
<td>understanding, resistance and barriers, tasks and timelines</td>
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<td></td>
<td></td>
<td>state of progress</td>
</tr>
<tr>
<td>IMPLEMENTERS (TARGETS)</td>
<td>Influence</td>
<td>Carry out the direction of the sponsor, stay in dialogue with sponsors</td>
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<td>CHANGE AGENTS</td>
<td>Influence</td>
<td>Facilitate the change, stay in dialogue with sponsors</td>
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<tr>
<td>ADVOCATES</td>
<td>Influence</td>
<td>Bring forth ideas and concerns that do not yet have sponsorship</td>
</tr>
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Each Has Necessary Tasks & Behaviors

- Are individuals fulfilling their role well?

Is There Alignment?

- It is easy to create a vision.
- It is harder to create a shared vision that individuals actively engage in.
- It is harder still to have deep shared understanding of what the vision means for the future.
- It is even harder to move individuals from compliance (will do what's expected) to commitment (will do all they can to make it happen).
Principles to Foster Alignment

- Assume individuals see through their own lens—sustained dialogue and discussion towards shared understanding of the what, why and how.
- Assume there is rational resistance—welcome and surface the concerns upfront.
- Move individuals from compliance to commitment.

Adapted from Daryl R. Conner
Managing at the Speed of Change

Principles to Foster Alignment

- Use leadership-set vision, direction, and how will get there. Persistence.
- Set up roles for change-clarify authority, responsibility, and decision/communication channels.
- Publically sponsor the individuals in the change roles to drive the change.
- Accountability and support
Set Up for Change

- Communicate to all staff--make a compelling case.
- Describe how it will be better.
- Describe the plan for making the change happen.
- Contributions and expectations from all
- Welcome open and constructive “resistance”.
- Create a solid and realistic plan.

What About the Change Agent?

- Ability to act on these principles is very context specific.
- Variables include how change agent was presented to the practice, who their main contact is, lines of communication, sponsorship within the organization, their skill and ability.
Drive Change!

Alignment Mapping—Helping You See

- Map everything you can—work issues, family issues, community issues, watching interaction at the grocery store.

- Look and listen for roles and how well they are performing the functions of their role—are they under-performing? Over-performing?
Uses of Change Mapping

- Identify the roles for each critical strategy and change.
- Diagnose where there are gaps in alignment.
- Diagnose where there are gaps in tasks from different change roles.
- Support choices about interventions to enhance the change effort (with whom, for what purpose, how).


Basic Connor Mapping (arrows omitted)

Basic Connor Mapping (arrows omitted)

ADAPTED FROM Conner, Daryl R.

Either, both or neither could be operating
Basic Connor Mapping (arrows omitted)

BLACK HOLE
lack of sustaining sponsor alignment

Alignment Map

1 MD office
Change: Improve % of patients with diabetes with retinal eye exams

AHEC
Coach
MD
Office Manager
Receptionist
MA
Alignment Map

1 MD office
Change: Improve % of patients with diabetes with retinal eye exams

AHEC
Coach

MD
Office Manager
Receptionist
MA

Alignment Map

1 MD office
Change: Improve % of patients with diabetes with retinal eye exams

AHEC (S)
Coach (CA)

MD (S)
Office Manager (S), (I)
Receptionist (I)
MA (I)
Alignment Map

1 MD office
Change: Improve % of patients with diabetes with retinal eye exams

AHEC (S) → MD (S) → Office Manager (S, I) → Receptionist (I) → MA (I)

Alignment Map

1 MD office
Change: Improve % of patients with diabetes with retinal eye exams

AHEC (S) → MD (S) → Office Manager (S, I) → Receptionist (I) → MA (I)
Alignment Map

1 MD office
Change: Improve % of patients with diabetes with retinal eye exams

AHEC (S) – Office Manager (S) – MD (S)

Coach (CA) – Receptionist (I) – MA (I)

Questions? Reflections?

- Coaching Interventions
- Change Management
- Alignment
- Mapping
Human Dynamics of Change

Neil Baker M.D

Diagnosis Matrix

<table>
<thead>
<tr>
<th>Diagnosis system</th>
<th>Action system</th>
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<tr>
<td>(practice context human dynamics)</td>
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<table>
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<tr>
<th>Diagnosis self</th>
<th>Action self</th>
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Adaptive Change Challenges

Change is disruptive

- Solutions are not known in advance by either leaders or implementers. New learning is required.

- The challenge impacts habits and patterns of thinking, ways of relating, tasks, deeply held assumptions and values.


Why Reactivity and Resistance?

- “I cannot overstate how frightening it is to lose a sense of influence or control.”
  Connor, Managing at the Speed of Change, 1992

- “What people resist is not change per se, but loss…”
  - Competence, comfort, security, reputation, time, money

Heifetz et al, The Practice of Adaptive Leadership, 2010
Why Reactivity and Resistance?

- “People often get stuck not because they fail to appreciate the downside of their situation but because they feel at least two ways about it. The way out of that forest has to do with exploring and following what the person is experiencing and what, from his or her perspective, truly matters.”

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<table>
<thead>
<tr>
<th>REACTIVITY</th>
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<tr>
<td>blame, personalization</td>
<td>non judgment, accountability</td>
</tr>
<tr>
<td>silence</td>
<td>pushing ideas</td>
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<tr>
<td>for</td>
<td>against</td>
</tr>
<tr>
<td>no ideas</td>
<td>certainty</td>
</tr>
<tr>
<td>no conflict</td>
<td>stuck in conflict</td>
</tr>
<tr>
<td></td>
<td>multiple perspectives elicited and explored</td>
</tr>
<tr>
<td></td>
<td>different and opposing views elicited and explored</td>
</tr>
<tr>
<td></td>
<td>suspension of certainty</td>
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<tr>
<td></td>
<td>conflict surfaced and managed</td>
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Compliance/Extrinsic Motivation vs Intrinsic Motivation

**Compliance/extrinsic motivation:**
You do it because you are told to do it.

**Intrinsic motivation:**
You do an activity because it is personally important and meaningful.

- **Choice:**
- **Competence:**
- **Relatedness**

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Key Elements for Facilitating Change

- Shared understanding
- Importance
- Confidence
- Commitment
- Follow-up

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Responding Skillfully to Reactivity and Resistance

- **Start with active listening**
  - Get in their shoes.
  - Explore key elements of change (i.e. shared understanding, importance, confidence, commitment, follow-up).

- **Search for mutual goals**

- **Search for a next step**
  - Search for mutual goals and next steps.
  - Translate concerns into PDSA testing. Start SMALL.
  - Provide coaching, consultation and training as needed.

- **Follow-up.**

Explore and problem solve barriers at every step.
At any time, sponsorship may need to assert direction.

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Reflection

- What is unclear or confusing?
- Where will you have the most challenges?
- What is your next step in applying this knowledge?
“All organizational change is based on individual transformation.”
Peter Drucker

“All of us face a mandate to become conscious….becoming conscious means learning to distrust our thoughts while trusting our ability to think about them.”
Larry Shook in Quicksilver, Michael O’Brien and Larry Shook, 2010

Our Reactivity to Resistance

- Judge or blame them or yourself
- Make personality diagnoses of them or yourself
- Immediately counter by coaxing, persuading, arguing, pushing, reasoning, trying to convince
- Back-off from what is needed or rigidly stick to what is needed without tailoring
- Rescue by taking on too much responsibility work
- Withdraw or consciously give-up on them
- Take on handling all the resistance as if a sponsor.
- Take on the sponsor function of authority.

ADAPTED FROM Maurer, Rick Beyond the Wall of Resistance, Bard Press, 2010
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Reflections

What are your strategies to reduce your reactivity?

Transforming Personal Leadership

Establish a framework for learning
- Set aside time for self reflection.
- Set up feedback loops with colleagues and staff.
- Use collegial consultation and coaching for hot situations.

Know yourself
- Identify your purposes/goals/values.
- Know your triggers and patterns of response.
- Observe your tolerance for the reactivity of others.
- Know your reactive patterns--identify types of situations which trigger reactivity.

Expand your repertoire
- Identify current trigger situations.
- Develop ideas for reflective responses and design tests. Test new responses and actions. Learn from the results.
Assumptions Which Can Help Reduce Reactivity

- Reactivity is part of being a helper in complex systems. My own reactivity does not mean I am bad at helping.
- I stay attentive and alert to the possibility that my first impulse for action could just make me part of the problem.
- My most closely held ideas are theories to be tested.
- Resistance tells me about critical barriers and potential design flaws. Overt resistance is helpful and necessary.
- I must check to determine if what I am thinking and feeling fits with what is actually happening.

References

- Connor, Daryl R., Managing at the Speed of Change, Villard Books, 1992
- O’Neill, Mary Beth Executive Coaching with Backbone and Heart, John Wiley and Sons, Inc., 2007
- Ellis, Albert The Road to Tolerance: The Philosophy of Rational Emotive Therapy. Prometheus Books, 2004
- Deci, Edward L. Why We Do What We Do, Penguin Books, 1995
- Buckingham, Marcus; Coffman, Curt First Break all the Rules: what the world’s greatest manager’s do differently. Simon and Schuster, 1999.
Advocacy to Sponsors

Neil Baker M.D.

Advocacy To Sponsors

- From Connor

“An advocate is the individual or a group who wants to achieve a change but lacks the power to sanction it.”
### Roles and Tasks for Change

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### The Black Hole

- **CMO**
- **Chief of primary care**
- **Medical director of quality**
- **Clinic medical director**
- **Clinic physicians**

ADAPTED FROM Conner, Daryl R.  
Without well functioning sponsorship you are left with Rogers+Relationships+Advocacy+Luck
Dialogue Up

• What gets in the way of sustaining dialogue up and down?

The Common Advocate Mistake

Mistaking your conviction, passion and enthusiasm for an idea with likelihood of getting sponsorship

“It is harder to get a good idea accepted than to get a good idea.”

Stephen Friedman, quoted in John Daly, Advocacy 2011
Risks of Advocating; Not Advocating

- **Risks of advocating**
  - Might not be seen as a team player.
  - Could lose credibility, influence or respect.
  - Could be assigned unwanted tasks.
  - Provokes an autocratic response.
  - Lose relationship with primary client.
  - Being seen as irrelevant.

- **Risks of not advocating**
  - Failure of project
  - Waste of time and resources
  - Continued disruption of relationships
Advocate Thoughts, Feelings, Behaviors That Might Make Things Go Awry

- Might confuse the strength of an idea with the probability of success.
- Advocates to the wrong people.
- May feel powerless which generates withdrawal or more rigid advocacy.
- May take on the suffering of followers and be too passionate.
- At risk for being over passionate or not passionate enough.
- Might push too hard or not hard enough.
- Persists too long or not long enough.

Concerns a Sponsor Might Have About An Advocate

- The advocate is not well known to the decision maker.
- The advocate does not have high standing in the organization.
- The advocate does not have sufficient expertise in the area.
- The sponsor takes negative news or views as criticism.
Concerns a Sponsor Might Have About Following an Advocate’s Ideas

- The sponsor has no time for yet another idea—it just adds complexity.
- The sponsor takes the idea as criticism.
- The idea will impact status, role, areas of control.
- The organization may have insufficient talent, knowledge or skill.
- The idea could fail and impact morale, reputations and ability to effect future changes.
- Resources (e.g. time and money) are insufficient.
- The idea could, provoke unwanted resistance or overload implementers.

What Works: Prepare a Strategy

- Manage self—are you triggered toward reactivity?
- What are short and long term goals?
- Who should advocate and with whom?
- Who needs to be involved/consulted prior?
- Get in the sponsor’s shoes ahead of time.
  - What do you know about goals, perception of progress, decision making style, level of dialogue with implementers?
  - Anticipate concerns and resistance.
What Works: Meeting with the Sponsor

- Use active listening and get in their shoes.
  - Assure the sponsor knows you understand and are behind his/her goals.
  - Define the challenges from the sponsor’s viewpoint.
  - Define the sponsor’s concerns and perception of progress.
- Ask if they are interested in your perceptions.
- Relate your ideas to the sponsor’s goals and concerns.
  - What are the risks to the sponsor of not acting on your idea?
  - Address issues of resources, feasibility, timing, reaction of staff, etc.
  - Offer attractive options.

What Works: Meeting with the Sponsor

- Find out the sponsor’s understanding.
- Ask for the sponsor’s reaction.
  - Find level of commitment—level of willingness to publicly own and take action on your idea.
- Address issues of decision making, communication and action.
  - What actions will you take and by when?
  - What actions will the sponsor take and by when?
What Works: Long Term Strategies

- Build influence, allies, contacts with opinion leaders as appropriate to your role.
- Be helpful. Build your reputation.
- Create long and short term goals. Be realistic.
References

- Connor, Daryl R. Managing at the speed of change, 1999
- O’Neill, Mary Beth Executive coaching with backbone and heart, 2007
- Daly, John A. Advocacy, 2011
- Ryan, Kathleen D. et al The courageous messenger 1996
- Bellman, Geoffrey M. Getting things done when you are not in charge 2001

How To Learn and Develop

- Make maps of the change relationships.
- Identify roles
- Strive to understand using the models presented today.
- Create a group committed to dialogue about the complexity.
- Create a theory for an intervention-try it and learn.
- Increase self-awareness and self-mastery.
Let Us Know How It Goes

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