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KENTUCKY ASSOCIATION FOR HEALTHCARE QUALITY PRESENTATION  
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BEHAVIOR CHANGE with Performance Improvement:  
DOES IT REQUIRE PLANNING?

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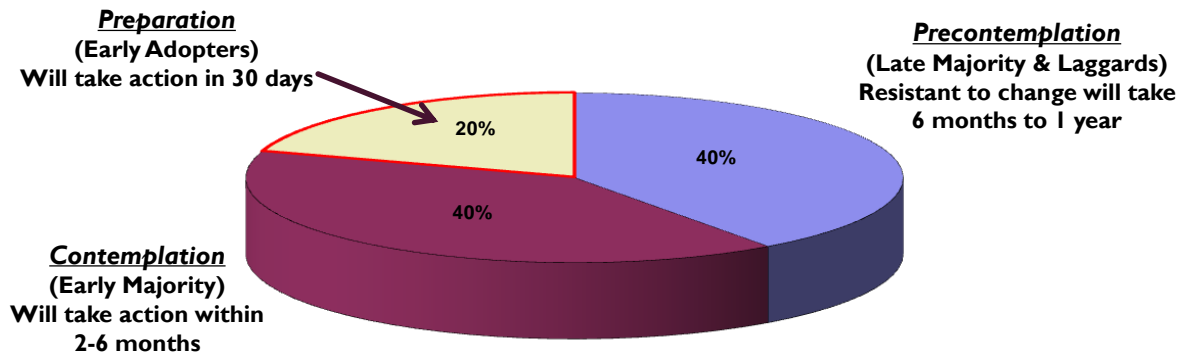
PERFORMANCE IMPROVEMENT

- Performance improvement initiatives, change is inevitable.
  - Systems/Organizational level
  - Individual human behaviors or actions
- When process improvements fail, the cause often can be traced back to the lack of long-term sustainability of the behavior change from the people doing the work.



## LEVESQUE, PROCHASKA, & PROCHASKA 1999

Research Comparing Stage Distributions Across  
a Range of Behaviors and Populations



Transtheoretical Model of Change

## CHANGE

- Change is:
  - A process that requires time, energy, and the resources to support it as it unfolds.
  - Accomplished by the individual first, then by the institution.
  - A highly personal experience, remembering that individuals change at different rates and in different ways.
  - Entails growth in both feelings and skills in using new programs or processes.



## CHANGE

- “Change has a considerable psychological impact on the human mind. To the fearful it is threatening because it means that things may get worse. To the hopeful it is encouraging because things may get better. To the confident it is inspiring because the challenge exists to make things better”.



King Whitney Jr.

- “It’s not that some people have willpower and some don’t. It’s that some people are ready to change and others are not”.



James Gordon, M.D.

## TYPES OF CHANGE



- **Accidental Change**
- **Change by Drift**
- **Planned Change**

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## PLANNED CHANGE

- Implementing change should be designed to support the different needs of individuals

- No “one size fits all”



## PLANNED CHANGE

- Planned change results from a well thought-out process to make something happen.
- A deliberate application of knowledge and skills by a leader or team to bring about that change.



## CHANGE AGENT

- A change agent is a person or group responsible for moving others who are affected by the change through its stages.

### Facilitative Leadership

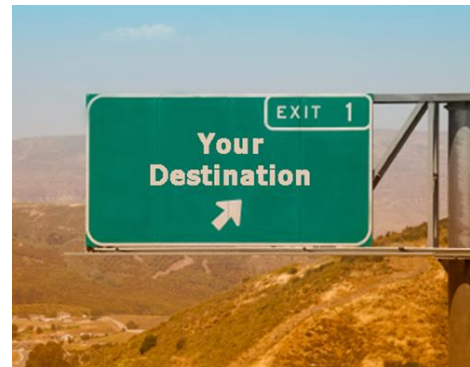


Somebody has to say "ROW"

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## CHANGE STRATEGIES

1. Rational-empirical
  - Evidence-based research
  - Supported by data
2. Normative-re-educative
  - Peer pressure
  - Interpersonal relationships
3. Power-coercive
  - Economic sanctions, political power



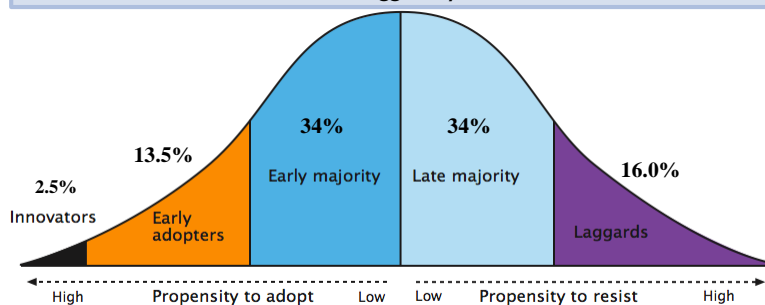
# THEORY

- Theories aim at identifying and helping us understand elements that affect seemingly diverse classes of behaviors and tell us how these elements function.
- Theories may also offer ideas of how we can influence such elements under a variety of circumstances, providing valuable problem solving tools.

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## ROGER'S THEORY "DIFFUSION OF INNOVATION"

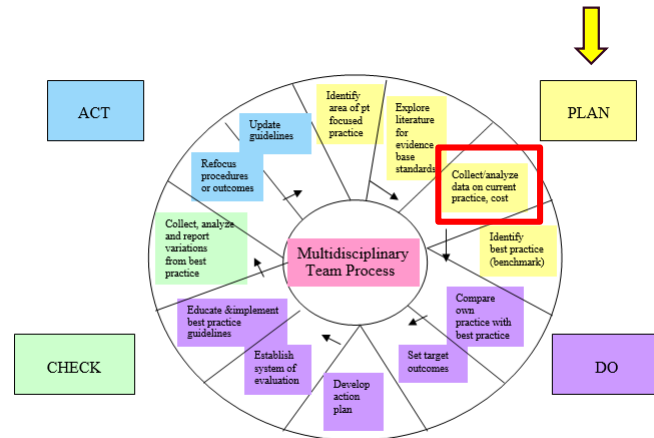
People adopt change at different paces; some early, some late.  
And some have to be dragged by the head of their hair.



This curve never changes,  
just when you think you have won over the laggards.....  
more arrive to take their place!

## ASSESS READINESS TO CHANGE

- Assess staffs' readiness to change related to PI project through use of survey tools
- Ensure "Team" includes staff at all levels/phases of change



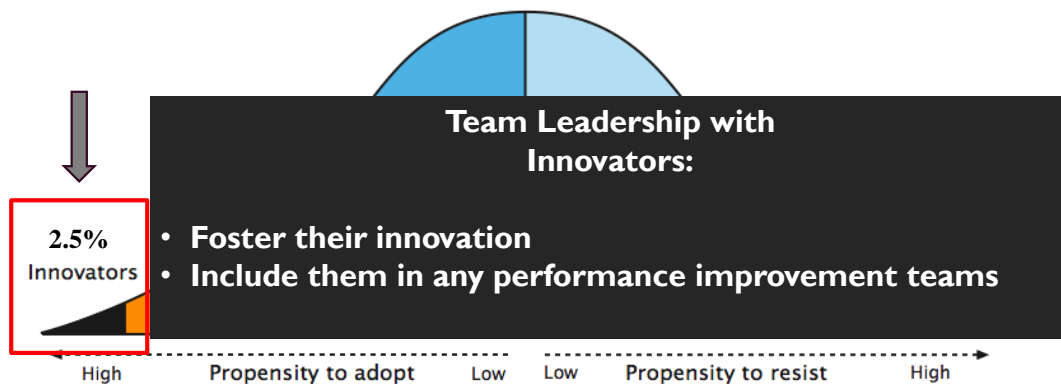
## INNOVATORS

2.5%



- Visionary, imaginative. They often lavish great time, energy and creativity on developing new ideas and gadgets.
- Track them down and become their "first followers", providing support and publicity for their ideas.
- You need them on your team.

## ROGER'S THEORY OF CHANGE



## EARLY ADOPTERS

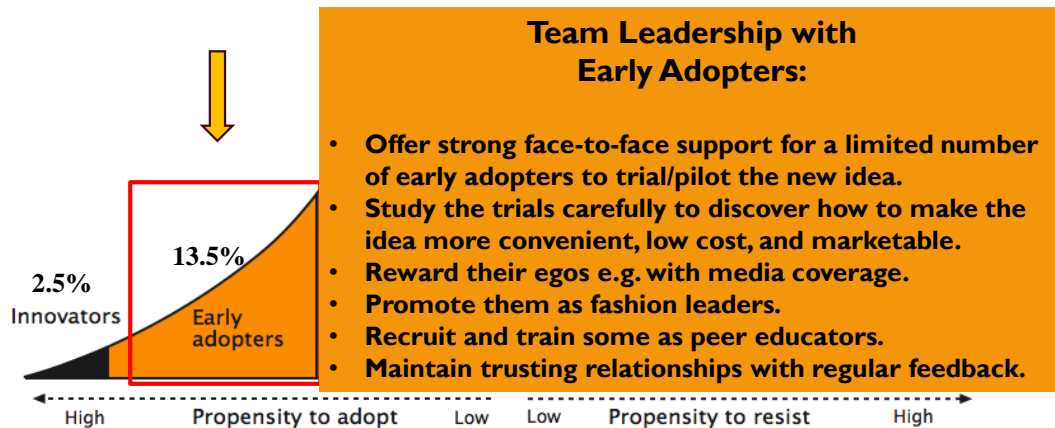
13.5%



- Once the benefits start to become apparent, early adopters leap in. They are on the lookout for a strategic leap forward in their lives and are quick to make connections between clever innovations and their personal needs.
- Become an independent test bed, ironing out the chinks and reinventing the innovation to suit mainstream needs.
- Don't need much persuading, they are on the lookout for anything that could give them a social or economic edge.



## ROGER'S THEORY OF CHANGE



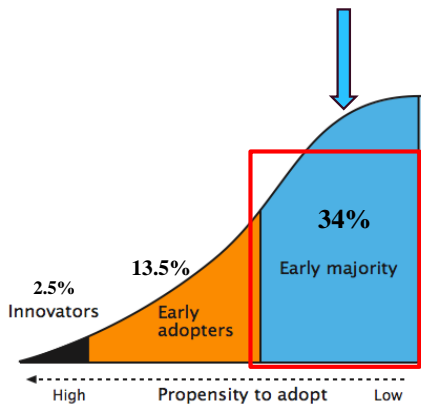
## EARLY MAJORITY

34%

- Early majorities are pragmatists, comfortable with moderately progressive ideas, but won't act without solid proof of benefits.
- They are followers who are influenced by mainstream fashions and wary of fads. They want to hear "industry standard".
- They are looking for simple, proven, better ways of doing what they already do. They want guaranteed performance with minimal disruption, commitment of time, and learning.



## ROGER'S THEORY OF CHANGE



### Team Leadership with Early Majority:

- Offer rewards or competitions to stimulate buzz.
- Use mainstream advertising and media stories featuring endorsements from credible, respected, similar folks.
- Lower the time commitment and guarantee performance.
- Redesign to maximize ease and simplicity.
- Provide strong customer service and support.

## LATE MAJORITY

34%

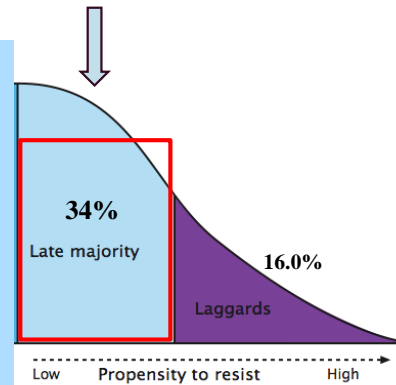
- Very conservative pragmatists who hate risk and are uncomfortable with new ideas.
- Usually their only driver for change is the fear of not fitting in, hence they will eventually follow the mainstream and established standards.
- They are often influenced by the fears and opinions of laggards.



## ROGER'S THEORY OF CHANGE

### Team Leadership with Late Majority:

- Focus on promoting social norms rather than just product benefits.
- Keep refining the process to increase convenience and reduce costs.
- Emphasize the risks of being left behind.
- Respond to criticisms from laggards.



## LAGGARDS

16%

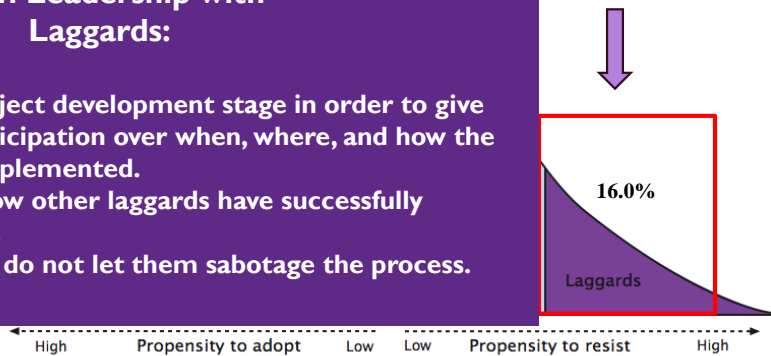
- Laggards hold out to the bitter end. They are people who see a high risk in adopting a particular behavior.
- They may become your saboteurs or create conflict.
- Some of them are so worried they stay awake all night, tossing and turning, thinking up arguments against it.



## ROGER'S THEORY OF CHANGE

### Team Leadership with Laggards:

- Include them in the project development stage in order to give them high levels of participation over when, where, and how the new behavior will be implemented.
- Let them see exactly how other laggards have successfully adopted the innovation.
- Resolve conflict quickly, do not let them sabotage the process.



## PROCHASKA AND DICLEMENTE'S: "TRANSTHEORETICAL MODEL OF CHANGE"



### TTM 5 STAGES

- Pre-contemplation – not intending to take action within next 6 months
- Contemplation - intending to take action within next 6 months
- Preparation – intending to take action in next 30 days
- Action – made overt changes within past 6 months
- Maintenance – maintaining overt changes for more than 6 months

**A Transtheoretical Approach to Changing Organizations**  
Janice M. Prochaska; James O. Prochaska; Deborah A. Levesque  
*Administration and Policy in Mental Health*; Mar 2001; 28, 4; pg 247-261

## TTM FRAMEWORK

### 10 FUNDAMENTAL PROCESSES TO PRODUCE CHANGE

1. **Consciousness raising:** becoming more aware of a problem and potential solutions
2. **Dramatic relief:** emotional arousal, such as fear about failures to change and inspiration for successful change
3. **Self-reevaluation:** appreciating that the change is important to one's identity, happiness, and success
4. **Self-liberation:** believing that a change can succeed and making a firm commitment to the change
5. **Environmental revelation:** appreciating that the change will have a positive impact on the social and work environments


## TTM FRAMEWORK

### 10 FUNDAMENTAL PROCESSES TO PRODUCE CHANGE

6. **Reinforcement Management:** finding intrinsic and extrinsic rewards for new ways of working
7. **Counter-Conditioning:** Substituting new behaviors and cognitions for the old ways of working
8. **Helping Relationships:** seeking and using social support to facilitate change
9. **Stimulus Control:** restructuring the environment to elicit new behaviors and inhibit old habits
10. **Social Liberation:** empowering individuals by promoting more choices and resources

## TRANSTHEORETICAL MODEL FOR CHANGE (TTM)

**TABLE 2**  
**Stages of Organizational Change in Which Particular Processes of Change are Emphasized**

<i>Precontemplation</i>	<i>Contemplation</i>	<i>Preparation</i>	<i>Action</i>	<i>Maintenance</i>
	Dramatic Relief Self-Reevaluation Thinking about Commitment	 Teams	<b>The Pros out way the Cons to change</b> Consciousness Raising Commitment Counter-Conditioning	Stimulus Control Helping Relationship Reinforcement Management
<b>The Cons out way the Pros to change</b>				

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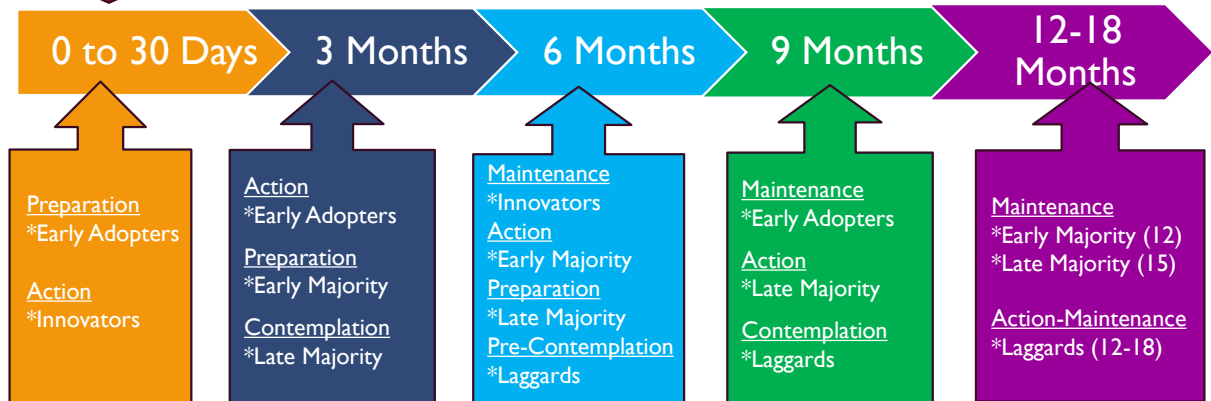
## BEHAVIORAL HEALTH RESEARCH



- Behavioral Health research has demonstrated that change is not easy and requires on-going support for up to as much as **one year** before the new behavior becomes second nature to an individual or ingrained into the organizational culture.

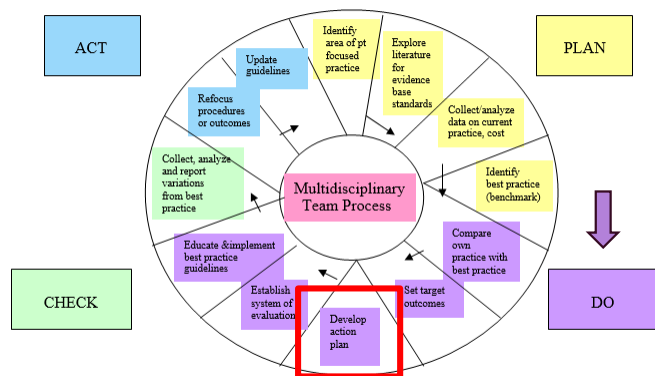
# TRANSTHEORETICAL MODEL OF CHANGE (TTM)

Change Initiative - Create Team



## DEVELOP STRATEGIES FOR CHANGE

- Plan strategies to move staff through the stages/ phases of behavior change
- Ensure “Team” plans for on-going support sufficient enough to fully integrate change in organizational culture



## BARRIERS TO CHANGE



- Staff are comfortable with status quo
- Competing cultures: administration, staff, physicians, students
- Staff constantly forced to change; change not supported long enough
- Lack of knowledge on the part of leaders about team building, conflict resolution, the change process/theory etc...
- Lack of trust between leaders and staff

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## COMMON LEADERSHIP MISTAKES

Kotter, J.P. (1996), Leading Change

- Not knowing the cultural environment, their readiness to change
- Not establishing a sense of urgency
- Failing to create a sufficiently powerful guiding coalition
- Underestimating the power of vision
- Under communicating the vision

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## COMMON LEADERSHIP MISTAKES CONTINUED

- **Permitting obstacles (individuals or structures) to block the new vision**
- **Failing to create short-term wins**
- **Declaring a premature, early victory**
- **Neglecting to anchor changes firmly in the corporate culture**

Kotter, J.P. (1996), Leading Change

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## SUMMARY

- **Implement change only for a good reason**
- **Must be a planned process over time (utilize change theory)**
- **Know which stage of change individual(s) are in (survey staff)**
- **Expect resistance, plan strategy to handle (planned change)**
- **Communication and trust – Important!**
- **Be flexible and sensitive**

# Which One are You?

Innovator

