

Managing Change Successfully

Workbook

Day 2

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1. Progress Review Worksheet

1. What is the purpose of your MCS change project?

2. What is the impact for the citizen/organisation, what would the change make different?

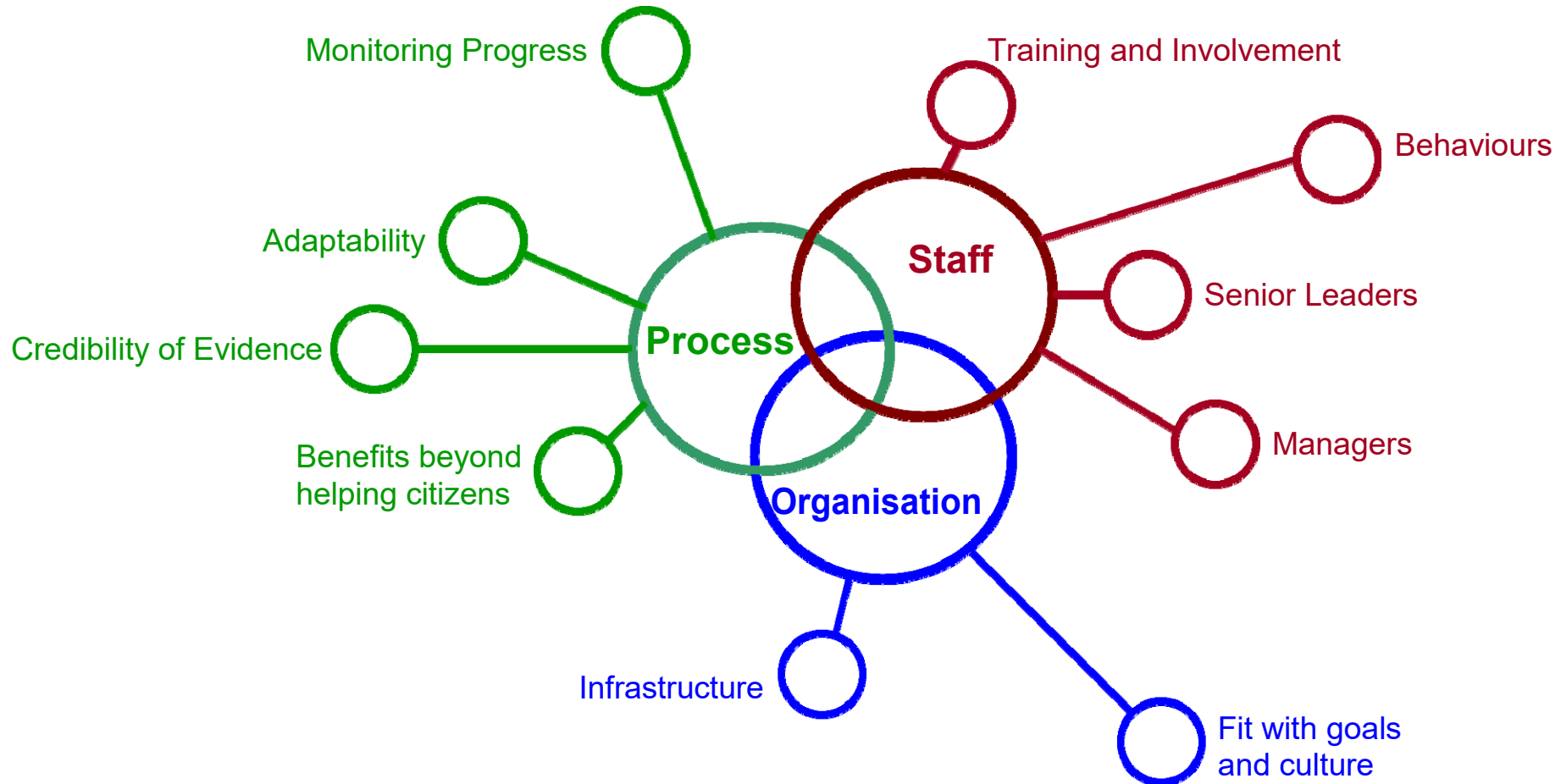
3. What are the deliverables, in 60 day segments so that you know change is taking place and you can track progress?

4. What is your success criteria - how do you and others know the change has made a difference?

5. What have you found most useful in making your change project happen? Link in the models and ideas from day one of the programme.

Notes Page

2. The Sustainability Model



The Sustainability Model - Introduction

Quality Improvement often takes longer than expected to take hold and longer still to become widely and firmly established within an organisation
Ham et al 2002

One of the primary reasons why quality improvement is difficult to integrate into an organisation is that many of the changes that are put into place fail to survive. Within the literature there is evidence of a high failure rate, up to 70%, of organisational change (Daft and Noe, 2000. Beer and Nohria, 2001).

In an attempt to substantially increase the sustainability of improvements for citizens and public services, this Sustainability Model (adapted from the NHS Sustainability Model) has been developed for use by individuals and teams who are involved in local improvement initiatives.

The **Sustainability Model** is a diagnostic tool that is used to **predict the likelihood** of sustainability for your improvement project. Before using the model it is important to be clear about what sustainability means in public services.

A short working definition of sustainability can be described as ‘when new ways of working and improved outcomes become the norm’.

A more detailed description, which includes the notion of „steady state“, in addition to promoting the desirability of continued improvement, is as follows:

‘Not only have the process and outcome changed, but the thinking and attitudes behind them are fundamentally altered and the systems surrounding them are transformed as well. In other words the change has become an integrated or mainstream way of working rather than something ‘added on’. As a result, when you look at the process or outcome one year from now or longer; you can see that at a minimum it has not reverted to the old way or old level of performance. Further, it has been able to withstand challenge and variation; it has evolved alongside other changes and perhaps has continued to improve over time. Sustainability means holding the gains and evolving as required - definitely not going back’.

(NHS Institute for Innovation and Improvement 2005)

Development of the Sustainability Model

The **Sustainability Model** consists of ten factors relating too process, staff and organisational issues, that play a very important role in sustaining change in public services. The Model has been adapted from the NHS Sustainability Model developed by the NHS Institute. The Model was developed using a co-production approach. Contributors include: front line teams, improvement experts, senior leaders and managers from within public services and people with specific expertise in the subject area from academia and other industries. The development of the Model is based on the premise that the changes individuals and teams wish to make fulfil the fundamental principle of improving services for citizens. Another important impact that can be gained by using the Model is the effective achievement of change, which creates a platform for continual improvement. By holding the gains, resources - including financial and most importantly human resources - are effectively employed rather than being wasted because processes that were improved have reverted to the old way or old level of performance.

How to use the Sustainability Model

The Sustainability Model was developed as an easy-to-use tool to help improvement teams:

- self-assess against a number of key criterion for sustaining change
- recognise and understand key barriers for sustainability, relating to their specific local context
- identify strengths in sustaining improvement
- plan for sustainability of improvement efforts
- monitor progress over time.

The Model has been designed for use at the level of a specific planned or ongoing improvement initiative or project. For example: within a department to redesign the way it delivers services for citizens; within a community to develop a systematic approach to housing repairs or adaptations; or within a public service organisations to redesign and extend staff roles. These are just a few examples to guide you.

The Model has **not** been designed to assess whether a department, whole organisation or community is likely to sustain change in general.

The Sustainability Model can be used by individuals or teams. For example, a project lead may wish to undertake a sustainability assessment based on their individual thoughts. This will be useful in terms of providing an overview of the likelihood of sustainability. However, we have found that a much richer picture can be gained if more members of the team, or those involved in the improvement initiative, complete the diagnostic Model. In our experience, we have found that while one person might score a Sustainability Factor highly, another has a completely different perspective. It is these different perspectives that are important to understand. This is particularly significant if the improvement initiative spans a whole system. In addition to providing an overall „sustainability score“, the act of completing the Model can lead to useful discussions about your improvement initiative.

The best way to use the Sustainability Model is at several different points in time:

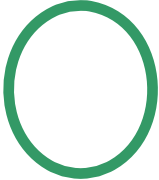
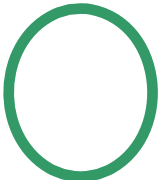
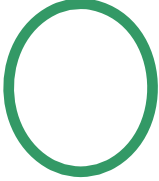
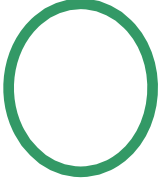
- at the first planning stage, just as you are setting up your improvement project. This will enable you to identify and improve areas that require strengthening right from the start
- around the time of initial pilot testing so that you can go into the full implementation phase with confidence
- a few weeks after the improvement has been implemented to ensure an optimal position for sustainability and continual improvement.

Don't feel restricted by this though; you can in fact use the Model at any time during your improvement initiative.

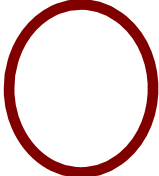
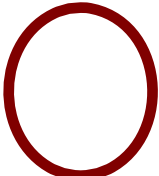
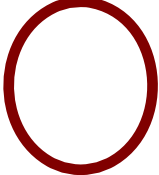
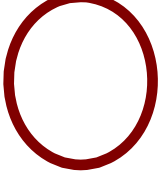
Directions for using the Sustainability Model

1. Read through each section of the Model.
2. Select the level of each factor that best describes your local project. Remember these factors may not exactly describe your situation.
3. Place a tick next to the description that best describes your local project.
4. When you have worked through all of the factors and identified a factor level for each, go to the „Master Score System“ where you will find the numerical values for each factor level. Calculate the scores and enter these onto the assessment panel at the bottom of the pages that you have marked.
5. Add up all of the scores to arrive at an over all sustainability score. (Preliminary evidence suggests a score of 55 or higher offers reason for optimism. Scores lower than this suggests that you need to take some action to increase the likelihood that your improvement initiative will be sustainable).
6. Identify the factors with greatest potential for improvement by plotting the scores. You can either use the bar chart or portal diagram to do this; you choose which method you prefer!
7. *Review your change concentrating on the two or three factors with the greatest potential for improvement.*

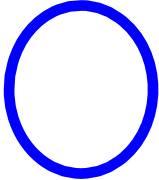
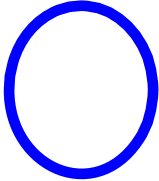
Process

Process Factor Description	Identify (X)	Factor Level
Benefits beyond helping citizens • In addition to helping citizens, are there other benefits? • Does the change reduce waste, duplication and added effort? • Will it make things run more smoothly? • Will staff notice a difference in their daily working lives?		X The change improves efficiency and makes job easier
		The change improves efficiency but does not make jobs easier
		The change does not improve efficiency but does make jobs easier
		The change neither improves efficiency nor makes jobs easier
Credibility of the evidence • Are benefits to citizens, staff and the organisation visible? • Do staff believe in the benefits? • Can all staff describe the benefits clearly? • Is there evidence that this type of change has been achieved elsewhere?		Benefits of the change are immediately obvious, supported by evidence and believed by stakeholders
		Benefits of the change are not immediately obvious, even though they are supported by evidence and believed by stakeholders
		Benefits of the change are not immediately obvious, even though they are supported by evidence. They are not believed by stakeholders
		Benefits of the change are neither immediately obvious, supported by evidence nor believed by stakeholders
Adaptability of improved process • Can the process overcome internal pressures and continually improve? • Does the change continue to meet ongoing needs effectively? • Does the change rely on an individual or group of people, technology finance etc to keep it going? • Can it keep going when these are removed?		The process can be adapted to other organisational changes and there is a system for continually improving the process
		The process can be adapted to other organisational changes but there is no system for continually improving the process
		The process is not able to adapt to other organisational changes but there is a system for continually improving the process
		The process is not able to adapt to other organisational changes and there is no system for continually improving the process
Effectiveness of the system to monitor progress • Does the change require special monitoring systems to identify improvement? • Is this data already collected and is it easily accessible? • Is there a feedback system to reinforce benefits and progress and initiate action? • Are the results of the change communicated to citizens, staff, the organisation and wider public sector?		There is a system in place to identify evidence of progress, monitor progress, act on it and communicate results
		There is a system in place to identify evidence of progress and act on it but the results are not communicated
		There is a system in place to identify evidence of progress, monitor progress. The results are communicated but no one acts on them
		There is no system in place to identify evidence of progress or to monitor progress nor act on it or communicate it

Staff

Staff Factor Description	Identify (X)	Factor Level
Staff involvement and training to sustain the process - Do staff play a part in innovation, design and implementation of change? - Have they used their ideas to inform the change process from the very beginning? - Is there a training and development infrastructure to identify gaps in skills and knowledge and are staff educated and trained to take change forward?		X Staff have been involved from the beginning of the change and adequately trained to sustain the improved process
		Staff have been involved from the beginning of the change but not adequately trained to sustain the improved process
		Staff have not been involved from the beginning of the change but they have been adequately trained to sustain the improved process
		Staff have neither been involved from the beginning nor adequately trained to sustain the improved process
Staff behaviours toward sustaining the change - Are staff encouraged and able to express their ideas and is their input taken on board? - Are staff able to run small-scale tests. E.g. Plan, Do, Study, Act (PDSA cycles) based on their ideas, to see if additional improvements should be recommended? - Do staff think that the change is a better way of doing things that they want to preserve for the future?		Staff feel empowered as part of the change process and believe the improvement will be sustained
		Staff feel empowered as part of the change process but don't believe the improvement will be sustained
		Staff don't feel empowered by the change process but believe the improvement will be sustained
		Staff don't feel empowered by the change process or believe the improvement will be sustained
Senior leadership engagement - Are the senior leaders trustworthy, influential, respected and believable? - Are they involved in the initiative, do they understand it and do they promote it? - Are they respected by their peers and can their influence others to get on board? - Are they taking personal responsibility and giving time to help ensure the change is sustained?		Organisational leaders take responsibility for efforts to sustain the change process. Staff generally share information with, and actively seek advice from, the leader
		Organisational leaders don't take responsibility for efforts to sustain the change process. Staff generally share information with, and seek advice from, the leader
		Organisational leaders take responsibility for efforts to sustain the change process. Staff typically don't share information with, and actively seek advice from, the leader
		Organisational leaders don't take responsibility for efforts to sustain the change process. Staff typically don't share information with, and seek advice from, leaders
Managerial engagement - Are the managers trustworthy, influential, respected and believable? - Are they involved in the initiative, do they understand it and do they promote it? - Are they respected by their peers and can their influence others to get on board? - Are they taking personal responsibility and giving time to help ensure the change is sustained?		Managers take responsibility for efforts to sustain the change process. Staff generally share information with, and actively seek advice from, the manager
		Managers don't take responsibility for efforts to sustain the change process. Staff generally share information with, and actively seek advice from, the manager
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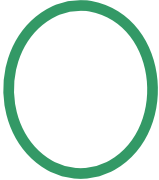
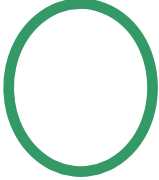
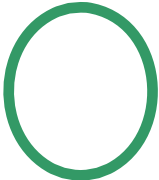
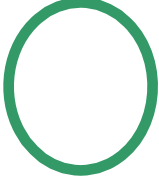
Organisation

Staff Factor Description	Identify (X)	Factor Level
Fit with the organisation's strategic aims and culture - Has the organisation successfully sustained improvement in the past? - Are the goals of the change clear and shared? - Is the improvement aligned with the organisation's strategic aims and direction? - Is it contributing to the overall organisations aims? - Is change important to the organisation and its leadership? - Does your organisation have a 'can do' culture?		X There is a history of successful sustainability and improvement goals are consistent with the organisation's strategic aims
		There is a history of successful sustainability but the improvement and organisations strategic aims are inconsistent
		There is no history of successful sustainability but the improvement goals are consistent with the organisation's strategic aims
		There is no history of successful sustainability and the improvement goals are inconsistent with the organisation's strategic aims
Infrastructure for sustainability - Are there enough staff trained and able to work in the new way? - Are there enough facilities and equipment to support the new process? - Are new requirements built into job descriptions? - Are there policies and procedures supporting the new way of working? - Is there a communication system in place?		Staff, facilities and equipment, job descriptions, policies, procedures and communication systems are appropriate for sustaining the improved process
		There is an appropriate level of staff, facilities and equipment but inadequate job descriptions, policies, procedures and communication systems for sustaining the change
		The level of staff, facilities and equipments to sustain the change are not appropriate although job descriptions, policies procedures and communication systems are adequate
		The staff, facilities and equipment, job descriptions, policies and procedures and communication system are all not appropriate for sustaining the change

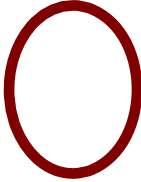
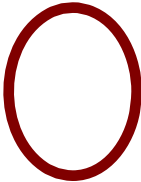
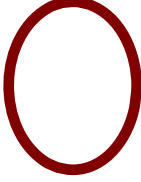
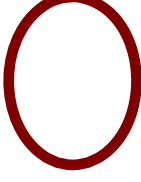
Sustainability Model Evidence Sheet

	Factor	Evidence / Reasoning for Sustainability Score
Process	Benefits beyond helping citizens	
	Credibility of the evidence	
	Adaptability of improved process	
	Effectiveness of the system to monitor progress	
Staff	Staff involvement and training to sustain the process	
	Staff behaviours toward sustaining the change	
	Senior leadership engagement	
	Managerial engagement	
Organisation	Fit with the organisation's strategic aims and culture	
	Infrastructure for sustainability	

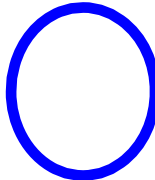
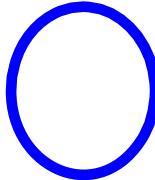
Process – Master Score System

Process Factor Description	Identify (X)	Factor Level
Benefits beyond helping citizens • In addition to helping citizens, are there other benefits? • Does the change reduce waste, duplication and added effort? • Will it make things run more smoothly? • Will staff notice a difference in their daily working lives?		8.7 The change improves efficiency and makes job easier
		4.7 The change improves efficiency but does not make jobs easier
		4.0 The change does not improve efficiency but does make jobs easier
		0.0 The change neither improves efficiency nor makes jobs easier
Credibility of the evidence • Are benefits to citizens, staff and the organisation visible? • Do staff believe in the benefits? • Can all staff describe the benefits clearly? • Is there evidence that this type of change has been achieved elsewhere?		9.1 Benefits of the change are immediately obvious, supported by evidence and believed by stakeholders
		6.3 Benefits of the change are not immediately obvious, even though they are supported by evidence and believed by stakeholders
		3.1 Benefits of the change are not immediately obvious, even though they are supported by evidence. They are not believed by stakeholders
		0.0 Benefits of the change are neither immediately obvious, supported by evidence nor believed by stakeholders
Adaptability of improved process • Can the process overcome internal pressures and continually improve? • Does the change continue to meet ongoing needs effectively? • Does the change rely on an individual or group of people, technology finance etc to keep it going? • Can it keep going when these are removed?		7.0 The process can be adapted to other organisational changes and there is a system for continually improving the process
		3.4 The process can be adapted to other organisational changes but there is no system for continually improving the process
		2.4 The process is not able to adapt to other organisational changes but there is a system for continually improving the process
		0.0 The process is not able to adapt to other organisational changes and there is no system for continually improving the process
Effectiveness of the system to monitor progress • Does the change require special monitoring systems to identify improvement? • Is this data already collected and is it easily accessible? • Is there a feedback system to reinforce benefits and progress and initiate action? • Are the results of the change communicated to citizens, staff, the organisation and wider public sector?		6.7 There is a system in place to identify evidence of progress, monitor progress, act on it and communicate results
		3.3 There is a system in place to identify evidence of progress and act on it but the results are not communicated
		2.4 There is a system in place to identify evidence of progress, monitor progress. The results are communicated but no one acts on them
		0.0 There is no system in place to identify evidence of progress or to monitor progress nor act on it or communicate it

Staff – Master Score System

Staff Factor Description	Identify (X)	Factor Level
Staff involvement and training to sustain the process - Do staff play a part in innovation, design and implementation of change? - Have they used their ideas to inform the change process from the very beginning? - Is there a training and development infrastructure to identify gaps in skills and knowledge and are staff educated and trained to take change forward?		11.5 Staff have been involved from the beginning of the change and adequately trained to sustain the improved process
		4.9 Staff have been involved from the beginning of the change but not adequately trained to sustain the improved process
		6.3 Staff have not been involved from the beginning of the change but they have been adequately trained to sustain the improved process
		0.0 Staff have neither been involved from the beginning nor adequately trained to sustain the improved process
Staff behaviours toward sustaining the change - Are staff encouraged and able to express their ideas and is their input taken on board? - Are staff able to run small-scale tests. E.g. Plan, Do, Study, Act (PDSA cycles) based on their ideas, to see if additional improvements should be recommended? - Do staff think that the change is a better way of doing things that they want to preserve for the future?		11.0 Staff feel empowered as part of the change process and believe the improvement will be sustained
		5.1 Staff feel empowered as part of the change process but don't believe the improvement will be sustained
		5.1 Staff don't feel empowered by the change process but believe the improvement will be sustained
		0.0 Staff don't feel empowered by the change process or believe the improvement will be sustained
Senior leadership engagement - Are the senior leaders trustworthy, influential, respected and believable? - Are they involved in the initiative, do they understand it and do they promote it? - Are they respected by their peers and can their influence others to get on board? - Are they taking personal responsibility and giving time to help ensure the change is sustained?		15.0 Organisational leaders take responsibility for efforts to sustain the change process. Staff generally share information with, and actively seek advice from, the leader
		6.2 Organisational leaders don't take responsibility for efforts to sustain the change process. Staff generally share information with, and seek advice from, the leader
		5.7 Organisational leaders take responsibility for efforts to sustain the change process. Staff typically don't share information with, and actively seek advice from, the leader
		0.0 Organisational leaders don't take responsibility for efforts to sustain the change process. Staff typically don't share information with, and seek advice from, leaders
Managerial engagement - Are the managers trustworthy, influential, respected and believable? - Are they involved in the initiative, do they understand it and do they promote it? - Are they respected by their peers and can their influence others to get on board? - Are they taking personal responsibility and giving time to help ensure the change is sustained?		15.0 Managers take responsibility for efforts to sustain the change process. Staff generally share information with, and actively seek advice from, the manager
		6.7 Managers don't take responsibility for efforts to sustain the change process. Staff generally share information with, and actively seek advice from, the manager
		5.5 Managers take responsibility for the efforts to sustain the change process. Staff typically do not share information with, or actively seek advice from, the manager
		0.0 Managers don't take responsibility for efforts to sustain the change process. Staff typically do not share information with, or actively seek advice from, the manager

Organisation – Master Score System

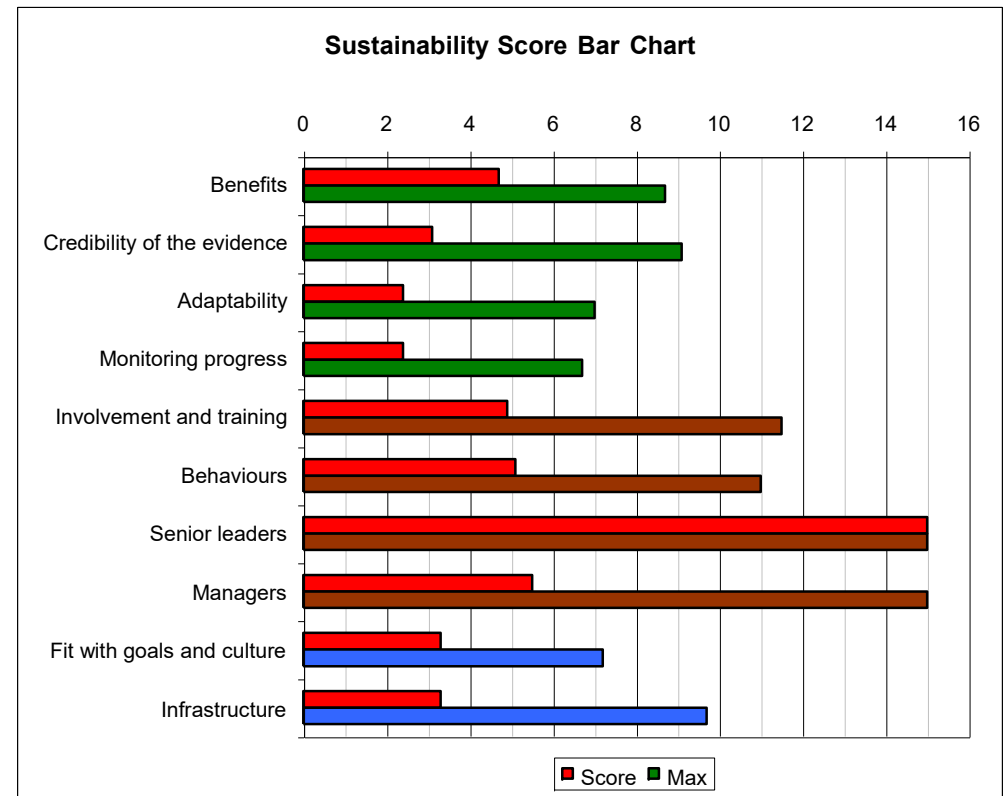
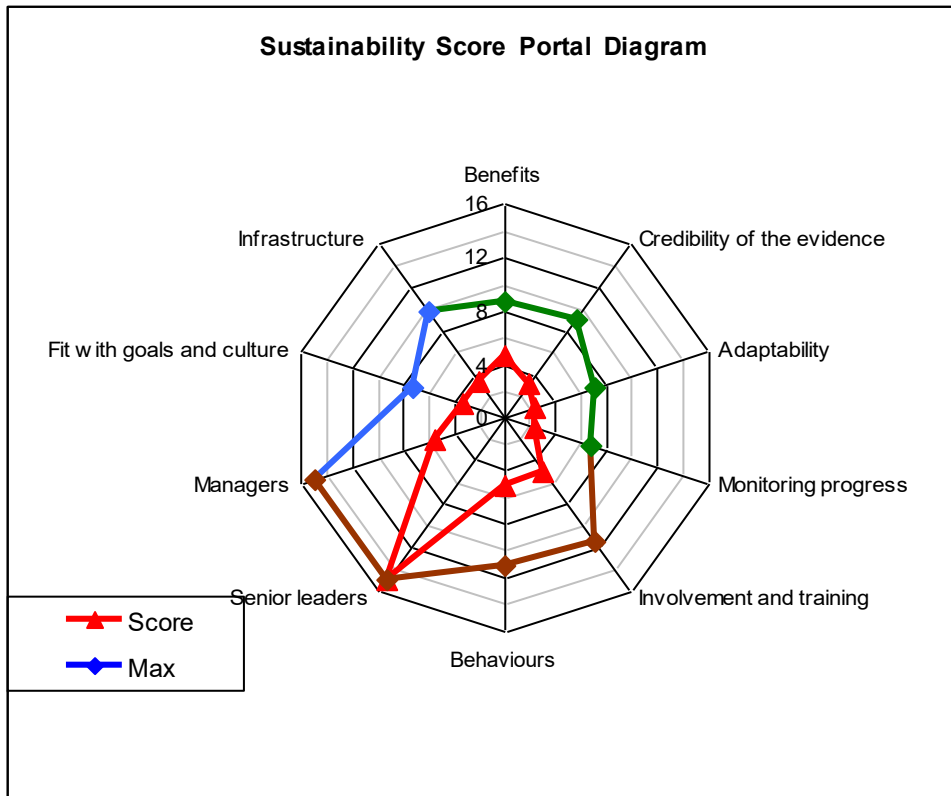
Staff Factor Description	Identify (X)		Factor Level
Fit with the organisation's strategic aims and culture - Has the organisation successfully sustained improvement in the past? - Are the goals of the change clear and shared? - Is the improvement aligned with the organisation's strategic aims and direction? - Is it contributing to the overall organisations aims? - Is change important to the organisation and its leadership? - Does your organisation have a 'can do' culture?		7.2	There is a history of successful sustainability and improvement goals are consistent with the organisation's strategic aims
		3.3	There is a history of successful sustainability but the improvement and organisations strategic aims are inconsistent
		3.5	There is no history of successful sustainability but the improvement goals are consistent with the organisation's strategic aims
		0.0	There is no history of successful sustainability and the improvement goals are inconsistent with the organisation's strategic aims
Infrastructure for sustainability - Are there enough staff trained and able to work in the new way? - Are there enough facilities and equipment to support the new process? - Are new requirements built into job descriptions? - Are there policies and procedures supporting the new way of working? - Is there a communication system in place?		9.7	Staff, facilities and equipment, job descriptions, policies, procedures and communication systems are appropriate for sustaining the improved process
		4.4	There is an appropriate level of staff, facilities and equipment but inadequate job descriptions, policies, procedures and communication systems for sustaining the change
		3.3	The level of staff, facilities and equipments to sustain the change are not appropriate although job descriptions, policies procedures and communication systems are adequate
		0.0	The staff, facilities and equipment, job descriptions, policies and procedures and communication system are all not appropriate for sustaining the change

Score system portal diagram and bar chart

Use either the portal diagram or the bar chart to plot **your scores** and identify which **factors** require most attention. Or you can even use both if you prefer.

Within the example diagrams here, we have inserted example scores as an illustration. If you look at these examples for each different factor you will see that „Monitoring progress” has the lowest numerical score level of 2.4. However, this is not the factor where the biggest improvement gain can be made. Now look at the factor „Managers”. You will see that the overall potential for improvement is much /bigger therefore this is the factor to focus on.

Example Sustainability Scores



Key issues

Look at the example scores in the bar chart or portal diagrams. What do they tell you? Use the ideas here to help you interpret your scores.

Managers

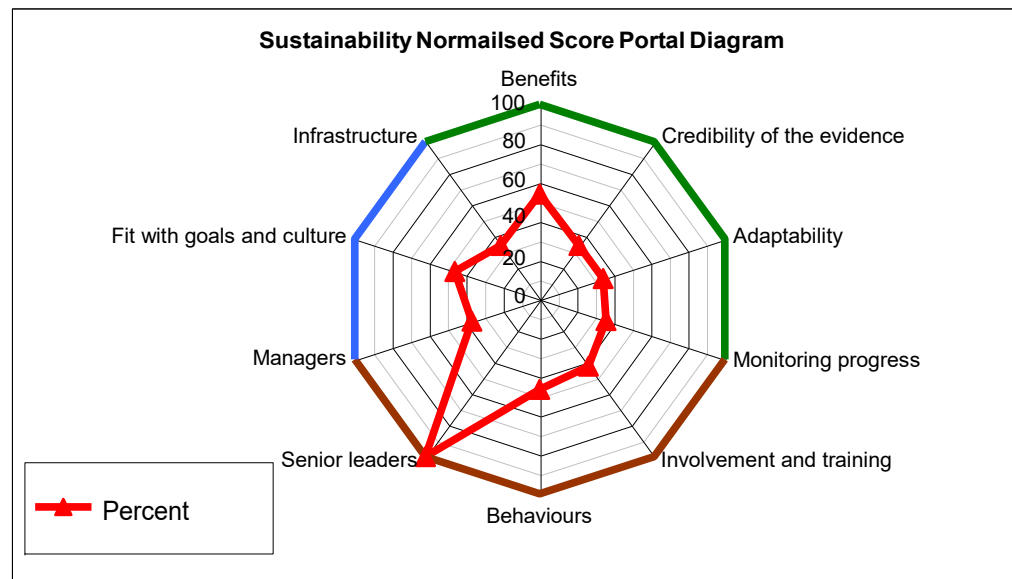
A large amount of work is needed to really help managers to be more involved. Some may have been involved in the early stages but this is a little peripheral. None are actively involved in the work or promote the initiative. This is at odds with the high level of senior leadership engagement. Have senior leaders made their plans tangible for managers to implement?

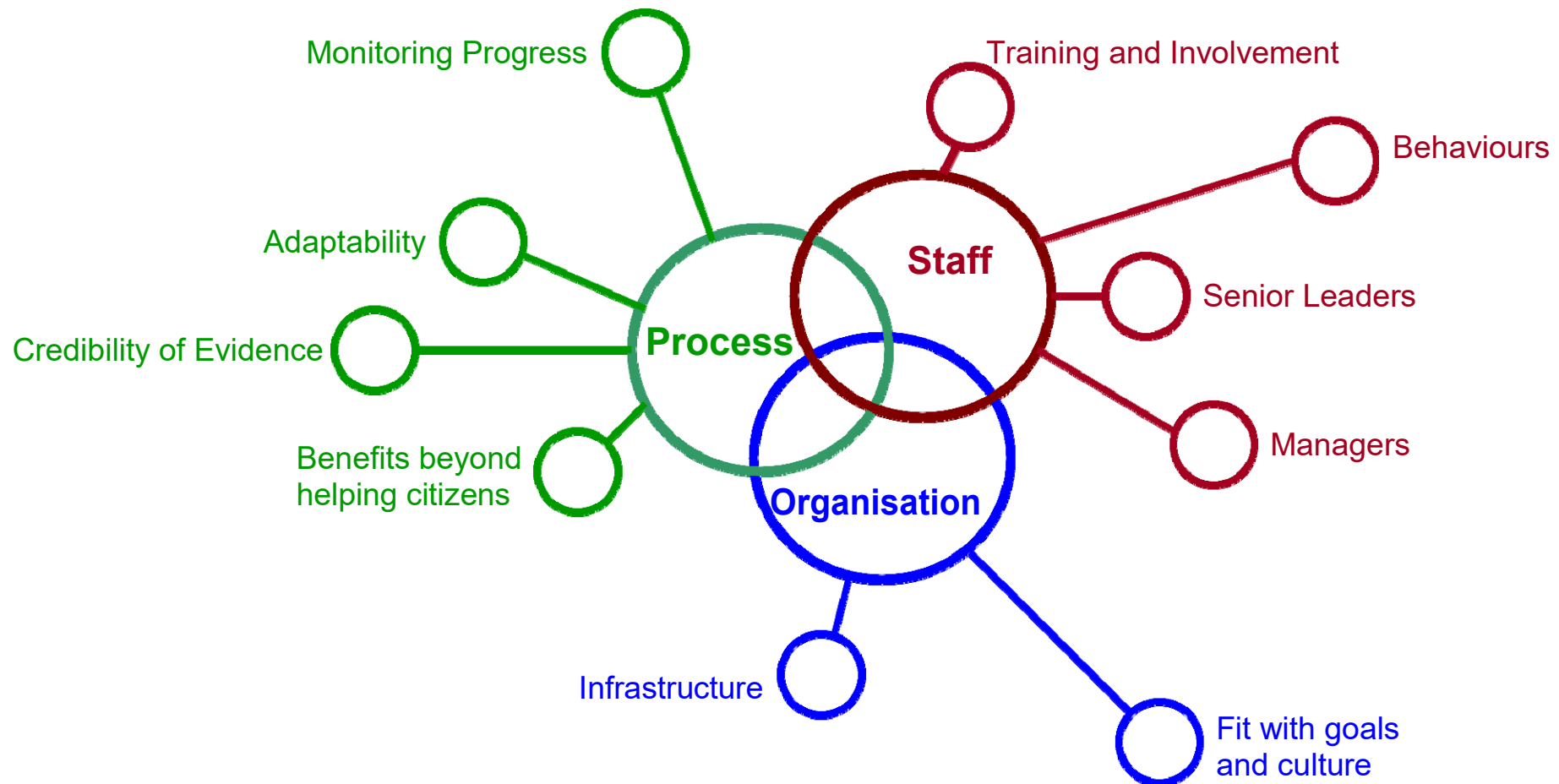
Involvement and Training

Some staff have not been involved from the beginning of the initiative and we need to catch up with them. There does seem to be some confusion about what we are really trying to do and we also need to see what their ideas are. We also need to have a higher focus on training staff to manage the new way of working as it is implemented and established. We will link this in with the Infrastructure factor.

Infrastructure

We have not thought about changing any policies or procedures yet. Communication systems are limited at this early stage of the work but we do need to strengthen this factor fairly urgently. One of the first things to do is set up some information in the work area so that staff can see progress.





‘The challenge is not starting, but continuing after the initial enthusiasm has gone’

Ovretveit (2003) Making temporary quality improvement continuous:
A review of the research relevant to the sustainability of quality improvement

Sustainability Model Evidence Sheet

	Factor	Evidence / Reasoning for Sustainability Score
Process	Benefits beyond helping citizens	
	Credibility of the evidence	
	Adaptability of improved process	
	Effectiveness of the system to monitor progress	
Staff	Staff involvement and training to sustain the process	
	Staff behaviours toward sustaining the change	
	Senior leadership engagement	
	Managerial engagement	
Organisation	Fit with the organisation's strategic aims and culture	
	Infrastructure for sustainability	

Sustainability Model Evidence Sheet

	Factor	Evidence / Reasoning for Sustainability Score
Process	Benefits beyond helping citizens	
	Credibility of the evidence	
	Adaptability of improved process	
	Effectiveness of the system to monitor progress	
Staff	Staff involvement and training to sustain the process	
	Staff behaviours toward sustaining the change	
	Senior leadership engagement	
	Managerial engagement	
Organisation	Fit with the organisation's strategic aims and culture	
	Infrastructure for sustainability	

Notes Page

3. Discussion - Application

1. How can you apply this learning in the workplace?
2. What steps will you now take on your MCS change project?
3. How will you maintain energy and momentum?
4. How will you continue to measure progress?

4. Quad of Aims

The Purpose:	Citizen/Impact:
The Deliverables:	Success Criteria:

