Understanding and Managing Change

**2**

*“Management is the art of getting things done through other people”.* (Mary Parker Follett)

Having worked through the first unit, we hope you now have a good sense of what health sector management entails – the key management and leadership functions, how these change across levels, the generic roles managers play and the values they need to embody to be effective. We also hope you have a good idea of your own strengths and weaknesses as a manager or potential manager, and have tools to assess and analyse the specific management needs of your own work environment.

Pause for a moment to consider where we have come so far. Do you think you have a better understanding of the role of leading and managing in the health system, and the difference between the two roles? Did you learn more about different levels of leadership, and where you are on the leadership ladder, and in terms of your own style of management?

The next three units (2-4) elaborate on aspects of the management and leadership functions and roles outlined in the first unit. We have grouped these into the broad areas of managing change (Unit 2), managing people and teams (Unit 3), and managing resources (Unit 4).

Managing change is the “getting things done” part of the popular definition of management quoted above, and encompasses functions such as the scanning, focusing and planning required to improve the quality of services and strengthen health systems. It is about managers taking the initiative to make positive changes in their work environments. You will have no doubt realised, however, that a great idea and even a great plan do not necessarily lead to action or change. Implementation difficulty is a constant theme of organizations, because having to “do things through other people” poses challenges; the resources required (time, money, know how etc.) are always in short supply; and change happens through complex organisational environments facing multiple demands simultaneously.

Managing change is not just about *making* changes but also about *coping* with change – especially unplanned or unwelcome change. The health system is not a static organisation waiting for managers to impose change on it – one view of organisations is that “planned, episodic change” occurs against a backdrop of “emergent, continuous” change (Weick 2000). This backdrop of ongoing change can be viewed as the opportunities and constraints against which planned change is implemented; where this involves creative adaptations by frontline providers it can even be regarded as an organisational resource. Being able to “read” these ongoing changes is one of the competencies which managers need to learn, which we referred to in Unit 1 as “paying attention to the goings on of the work environment in a new kind of way”. Finally, managers need to recognize their role in ensuring continuity in the face of unexpected and often unwelcome change, such as the resignation of a key team member or new demands from higher levels of the system.

This unit discusses techniques and tools for analyzing problems and planning change in health care environments, including your own. We also consider the role of the manager/leader in maintaining continuity in the face of unplanned or unexpected change.

We see these as concepts and approaches to help you think and reflect on your own practice and environment, more than straightforward recipes for action.

Study Sessions

There are three study sessions in Unit 2:

* Session 1 explores a number of concepts which others have found useful in thinking about change. These are the theories of small wins, emergent continuous change, and organisational responses to unplanned change
* Session 2 takes you through a practical process of problem identification and analysis, priority setting and action planning, and concludes with a brief overview of planning concepts, purposes and methods
* Session 3 discusses change methodologies at the coal face of service delivery – which can be broadly referred to as “quality improvement” methods.

Unit 2 - Session 1: Change as part of organisational life

1 Introduction

This session looks at three ways of thinking about change. First, we look at the role of the manager in effecting change, and ways of thinking about making changes. We then look at the ongoing change that happens, emerging all the time in different ways, which can be used as a resource or base for building other changes. Lastly we look at the unplanned or unexpected changes that may happen in an organization - the ‘curved balls’- and how a manager can cope with these and respond constructively.

2 Learning Outcomes

In the course of this session, you will be addressing the session outcomes in the first column; they are part of the overall Module Outcome/s in the second column:

|  |  |
| --- | --- |
| **Session Outcomes** | **Module Outcomes**  |
| Understand the concept of a “small win” and consider how it might be relevant to your own or other health settings. Explain the distinction between planned, episodic change and emergent, continuous change, providing examples from your own experience. Describe change as transition, and the manager’s role as “sense-giver” in this process.  | * Understand approaches to the concepts of leadership and management.
* Have conceptual tools for thinking about organisational change
 |

3 Readings and Video Material

Weick, K.E. (1984). Small wins: Redefining the scale of social problems. *American Psychologist*, 39(1): 40–49.

Weick, K.E. (2000). Emergent Change as a Universal in Organizations. In M. Beer & N. Nohria, eds. *Breaking the Code of Change*. Boston, MA: Harvard Business School Press: 223–241.

I-Tech. (2011). Everyday leadership course *Managing Organisation Change and Transition*

Video: Everyday Leadership Profile: Dr Mehari Dessalegn Tesfay <http://everydayleadership.org/people/mehari-dessalegn-tesfay>

4 Timing

There are five activities in this session, as well as the three readings listed above, and the video clip to watch. The two Weick readings are relatively demanding; the Everyday Leadership course notes are less so. The session should take you about 10 hours to complete.

5 A Manager Who Leads

You were introduced to Dr Mehari Dessalegn Tesfay in the last session. He is the medical director of Wukro Hospital in Tigray, Ethiopia. He is the son of a Tigrayan farmer and was only 25 years old when he graduated from Jimma medical school and was sent to work in a remote hospital in Northern Ethiopia. His assignment was to work as its medical director and the only doctor. As you will recall, the video describes his reactions on arrival and his approach to coping with being a manager at the hospital.

**Activity 1** - Think about Dr Mehari as a leader

Watch the video of Dr Mehari Dessalegn and answer the following questions:

* What challenges did he face when he arrived at the hospital for the first time?
* We are given to understand that Dr Mehari is a successful manager when the video concludes with the following words *“Dr Mehari has partnered with many organisations to upgrade Wukro Hospital with a new pharmacy, patient wards, a lab, an HIV clinic, updated water systems and staff training. His hospital was honored with a special award from the Ethiopian government.”*  In what ways was he was able to achieve this?

**Feedback:**

This is what we know of Dr Mehari and what we can surmise from the video. You might be able to add to the lists below:

|  |  |
| --- | --- |
| Personal factors | Came from another area of Tigray region, father was a farmer i.e. suggesting that he was the first generation university educated“I was committed, they saw my commitment - I myself would pick up stones, I was leading them”Is transparent, accountable, has integrity |
| Problems | Sent to work in remote areaDepressed, aloneHospital very dirty Staff did not consider cleaning as their job – “How can we? The government has to do that” |
| Strategy | Focused on reminding people they were serving their own familiesConsulted management teamRegular “open house” in his office so they can talkTalk repeatedly about changeIntroduced mandatory staff cleaning daysThree meetings before staff agreed to pull down the old “traditional” waiting area that was an eyesore, blocking flowAppreciate, recognize and motivate staffCommitted leadership and committed staff |
| Enabling factors | Motivated and recognized by a mentor |

While we have limited knowledge at our disposal, we can speculate the following about Dr Mehari:

* He had a strong view of what he thought the hospital should look like (a vision)
* While not from the specific area, he understood and identified with the users of the service (commitment)
* Had an appreciation of the cultural context (tacit knowledge)
* He sought to model transparency, integrity and accountability and got directly involved in activities such as cleaning (role model)
* He chose concrete, do-able actions – whether instituting an open house or introducing mandatory cleaning days (small wins) to achieve his vision, which led to bigger things (new buildings and perhaps new visions)

It is very unlikely that he entered the new environment with a plan or blueprint, or that he had thought through a very clear sequence of steps required to achieve his vision, or even that his vision remained static. However, if the conclusion of the video is correct, he ultimately achieved a major turn-around of this hospital.

6 The power of small wins

This case study of Dr Mehari illustrates clearly the idea of “small wins”- an approach to thinking about change proposed by organisational theorist Karl Weick in the 1980s.

We ask you to read the article *“Small wins: Redefining the scale of social problems” (Weick, 1984).* While this article is not particularly easy to read, we strongly encourage you to spend time working through it. Previous students on our management programmes have indicated that the concept of small wins was one of the most memorable and empowering ideas they had learnt.

**Reading**

Weick, K.E. (1984). Small wins: Redefining the scale of social problems. *American Psychologist*, 39(1): 40–49.

*“A small win is a concrete, complete, implemented outcome of moderate importance…Small wins are controlled opportunities that produce visible results.”* (Weick, 1984:43)

If a situation is seen as a serious problem, this can in itself be a problem, in that people are inhibited from action by stress and a sense of helplessness. For example, in overwhelming situations you may hear people say: “Nothing can change until…

* + The government gives us more staff/money/attention
	+ We have a change of leader/party/system
	+ The system changes fundamentally
	+ We have a complete moral regeneration of society
	+ Patients/communities change their attitudes and behaviour
	+ We have a new global order/capitalism ends
	+ etc. etc.”

However, as Weick says*,*

*“When social problems are defined this way, efforts to convey their gravity disable the very resources of thought and action necessary to change them. When the magnitude of problems is scaled upward in the interest of mobilising action, the quality of thought and action declines, because processes such as frustration, arousal and helplessness are activated.” (*Weick, 1984: 40).

Conversely, focusing on small wins can make a problem situation more comprehensible, give people a sense of control and encourage them to use their skills and be innovative in tackling the problem.

**Activity 2 – Guided Reading**

Here are some key pointers, ideas and questions to guide you as you read:

* The introductory sections of the article **set up the argument** for social/management problems as potentially overwhelming. Weick uses the term “arousal”, which in this instance can be read as “anxiety” – too much arousal limits creativity and leads to paralysis. Here Weick is explicitly making a *psychological* argument, no doubt because he is writing for a psychology journal and he himself comes from the field of social psychology.
* The “inverted U” relationship between arousal and performance is represented graphically above. Explain the relationship described in this diagram briefly in your own words?
* Weick provides a series of **examples** of small wins. Which stand out for you?
* In the example of the Steelers Football Team, you will note that they became league winners by what Weick later refers to as *“the steady application of a small advantage”* – can you explain this with reference to the example?
* With respect to the US Environmental Protection Agency, Ruckelshaus *“did not tackle everything nor did he even tackle the most visible source of pollution, which is air pollution. Ruckelshaus identified quick, opportunistic, tangible first steps only modestly related to the final outcome. The first steps were driven less by logical decision trees, grand strategy, or noble rhetoric than by action that could be built upon, action that signalled intent and competence.”* (page 42).
* Explain in your own words what you think Weick means by the following: (page 43)
* *“Small wins often originate as solutions that single out and define as problems those specific, limited conditions for which they can serve as the complete remedy.”*
* *“Once a small win has been accomplished, forces are set in motion that favor another small win.”*
* *“Small wins do not combine in a neat, linear, serial form, with each step being a demonstrable step closer to some predetermined goal. More common is the circumstance where small wins are scattered and cohere only in the sense that they move in the same general direction or all move away from some deplorable condition.”*

*- “Small wins stir up settings, which means that each subsequent attempt at another win occurs in a different context. Careful plotting of a series of wins to achieve a major change is impossible because conditions do not remain constant.”*

* After a fairly extensive discussion of the psychology of small wins, Weick goes on to explore

 “the **politics of small wins**” in which he responds to the criticism that the idea of

 small wins may be naïve. Why is this so?

- Going back to Dr Mehari – in what way do you think the theory of small wins may explain his success?

Some local examples of small wins could be:

* Dealing with the problem of distribution of textbooks vs trying to change the whole educational system in South Africa.
* Campaigning for ARVs for the Prevention of Mother To Child Transmission was a ‘small win’ that set the stage for universal access to ARVs
* The hand-washing campaign was a ‘small win’ in the fight against childhood diarrhoea.

**Activity 3 – Thinking about small wins in your workplace**

Can you think of other small wins that have been attempted in your context? Were they effective?

In conclusion, in applying the theory of small wins to your own situation, you might consider Weick’s practical suggestion that, ‘*The rule of thumb is: if you can tolerate high levels of arousal (*anxiety*), go for big wins; if you can’t, go for small wins*.” (Weick, 1984: 48).

7 Coping with change in organisational life

Change is an unavoidable feature of organizational life, as organizations are dynamic, and are situated in contexts which evolve continuously. Some change is planned and some not; what is clear is that however change happens and whatever it is, it needs to be responded to in a positive way, so that it can be used as a resource rather than a barrier to organizational and personal development.

**Emergent change**

In the same way that Weick describes small wins as a useful way to think about making changes in organizations, he presents the idea of *emergent change* as a constant in organizations and a factor to bear in mind when making planned changes. Emergent change is described as that change which happens, without intentional ‘planning’, when people respond to everyday situations by improvising and adapting. When these adaptations are repeated and shared they can turn into perceptible and significant organizational changes. For example, health workers in facilities frequently develop strategies for managing patient flow in clinics, whether positive (such as instituting appointment systems) or negative (such as turning patients away if the facility is full). These strategies can develop into routines and become a “way of doing things” in the health system.

**Reading**

Weick, K.E. (2000). Emergent Change as a Universal in Organizations. In M. Beer & N. Nohria, eds. *Breaking the Code of Change*. Boston, MA: Harvard Business School Press: 223–241.

Weick theorises that emergent change can act as a positive force that challenges organisational inertia when four conditions exist:

* People are animated and willing to keep moving
* There is a sense of direction
* Management ensures ongoing awareness of and updates on the situation
* Respectful interaction happens and trust develops.

Change that arises out of an emergent process, paradoxically, is often more successful than planned change from above, since the four conditions listed above are precisely those likely to be inhibited by a formal, imposed process, and curbed by management in a hierarchical system.

*“Planned change often takes the form of off-the-shelf standardized solutions that focus on one issue and are driven through the organisation by directives from top management. As Beer and his colleagues (1990) demonstrate, these attempts at revitalization amount to false starts, because they fail to have simultaneous impact on three important drivers of effective change: coordination, commitment and competence.”* (Weick 2002:235)

Emergent change, although not easy to “read” and identify, is something managers should be attuned to, as it provides the opportunity for linking planned changes to already existing forms of problem solving by frontline providers. In the context of emergent change, a wise leader is seen as a “sense-giver”, who identifies changes that are happening in the workplace, interprets them and builds upon them. In Weick’s words, “...management doesn’t create change. It certifies it.” (Weick, 2002:239).

**Activity 4 – Identify emergent changes in your organization**

Reflect on your organization or department. Are there instances of emergent change which you can remember? What was the result of these adaptations or emerging changes?

**Change as transition**

So far, we have looked at the concept of “small wins” to think about making changes as a manager, and the background context of ongoing, emergent change as opportunity for managers. In this section we deal with the last kind of change – sudden or unexpected “curved balls” which managers may have to deal with such as a resignation of a staff member or a new demand from the top.

You might recognize some of these changes below:

* Change in leadership (retirement or relocation of a manager, supervisor, etc.)
* Change in technical or administrative procedures (new forms, policies, technical processes, etc.)
* Change in organizational structures (management and supervision, team structures)
* Changes in partnerships or relationships with other organizations or agencies
* Responding to national initiatives or programs (such as scaling-up enrollment in health training institutions, vaccination campaigns, etc.)
* Changes in the external environment (large or small scale, examples might include change of political leaders, natural disasters, etc.)

The Everyday Leadership module ‘*Managing Organisational Change and Transition’*, which you can find in your readings, describes this as a process consisting of three stages – dealing with endings; going through the neutral zone of changes happening; and engaging with the requirements of a new situation. For people to disengage from the old and engage with the new, a psychological *transition* process is required. Note: the concept of transitions can be applied to thinking about both planned and unplanned change. They could be used to analyse the changes Dr Mehari’s sought to introduce at Wukro Hospital. The value of viewing change as a psychological transition is in understanding change 1) from the point of view of those living the change 2) as a process that requires time.

**Reading**

I-Tech. (2011). Everyday leadership course - *Managing Organisation Change and Transition*

The table below summarises the three stages of transition described in the reading and how to manage them.

|  |  |  |
| --- | --- | --- |
| Endings | Neutral Zone | New Beginnings |
| *A time of letting go* | *“The Wilderness”* | *The 4 P’s* |
| * “You have to end before you begin”
* Expect over-reaction
* Acknowledge losses openly and sympathetically
* Identify what is changing, what is remaining the same
* Expect and accept grieving: Anger, sadness, anxiety, confusion, denial
* May experience some excitement
* Compensate for the losses in some way
* Mark the endings
* Treat the past with respect
* Give people information, and do it again and again
* Show how endings ensure the continuity of what really matters
 | * See as a difficult but creative time, a time for sorting out
* Consider what no longer serves us well
* Normalize the neutral zone
* Redefine it; seek new metaphors
* Create temporary systems
* Strengthen connections within the group
* Use a transition monitoring team
* Use the neutral zone creatively:
	+ Experiment
	+ Train on discovery and innovation
	+ Embrace losses, setbacks, or disadvantages as entry points for new solutions
	+ Brainstorm new answers to old problems
	+ Plan retreats, surveys, suggestion campaigns
	+ Make time to take stock and question the usual
 | * PURPOSE: Explain the purpose behind the outcome being sought. Why are we doing this?
* PICTURE: Paint a picture of how the outcome will look and feel. What are people going to experience that is going to be different?
* PLAN: Lay out a step-by-step plan for phasing in the outcome. People need a clear idea of how they can get where they need to go. What will we do on Monday? What will we do in our jobs to implement this change?
* PART TO PLAY: Give each person a part to play in both the plan and the outcome. What is the tangible way I should contribute and participate in the transition process and outcome?
 |

Source: Bridges, William. 2003. *Managing Transitions (2nd Ed).* Cambridge, MA: Da Capo Press.

Consider this apparent paradox as a way of thinking about the table above:

“*Transition starts with an ending and ends with a beginning.”*

**Role of the manager in the change processes**

Crucial to ensuring that transition takes place effectively, is the role of the manager as leader and “sense-giver”. A leader needs to communicate about change, helping colleagues to make transition easier. If this does not happen, change can be demoralising, and negatively affect motivation and productivity in the organization, because it often involves strong emotional reactions. A manager needs to be aware of and address the questions:

* What is changing here?
* What will be different?
* Who is going to lose what?

A leader must ensure that all three stages of transition are addressed, not only the New Beginnings stage, which tends to be the focus. It is important to acknowledge and respect the feelings involved in letting go of the old, and the uncertainty of the ‘wilderness’ of the new, before moving ahead into the final stage of planning and acting on a new beginning. Successful transition depends on the players taking the psychological steps of confronting feelings of fear and loss, and letting go. Only then can the new realities of change be effected and lived.

**Activity 5- Reflect on a change process in your organisation or unit**

1. What was the change, how did it come about (planned, emergent, unplanned), how it was handled across different levels of management, what impact it had on staff, and have it was received by staff.
2. Reflect on how well the process was managed, and how it could have been strengthened using the three phase model of transitions. Which stakeholders were engaged and how, and what the timelines

8 Summary of Session

In this session we have surveyed the landscape of ‘change’ and tried to build an understanding of what is entailed in the concept and practice of change. We started by watching a video of an interview with Dr Mehari, a manager who had introduced changes in his workplace. We then went on to see that the changes Dr Mehari had introduced could be seen as ‘small wins’ – a concept theorized by Weick, who also introduced us to the idea of *emergent* as opposed to *planned* change. Finally we looked at change in relation to the process of transition; a three-stage process which requires sound management in order to be effectively completed.

Unit 2 - Session 2: Making Changes

1 Introduction

Drawing on the concepts discussed in the previous session, this session has a more practical orientation in taking you through a series of change steps - scanning, problem identification, priority setting and action plans.

2 Learning Outcomes

In the course of this session, you will be addressing the session outcomes in the first column; they are part of the overall Module Outcome/s in the second column:

|  |  |
| --- | --- |
| **Session Outcomes** | **Module Outcomes**  |
| Recognise the process of problem identification/setting as involving judgment and interpretation. Use analytic tools such as the “fishbone” and “five why’s” to analyse causes of problems. Reach a negotiated understanding of the issues and problems of your own work environment. Based on your analysis of the problems, establish a vision for Waitola clinic and your own workplace, and identify possible small wins as starting points for change. Be familiar with aspects of formal planning. | * Have conceptual tools for thinking about organisational change

 * Develop skills for analysing every day management and service delivery problems, and plan improvements to address these problems
 |

3 Readings

Management Sciences for Health. (2005). *Managers Who Lead: A Handbook for Improving Health Services* 3rd ed., Cambridge, MA: Management Sciences for Health. Chapter 2: Leading teams to face challenges.

SOPH. (2016). *Case Study of Waitola Community Health Centre: Introduction and Part 2*. UWC

4 Timing

This session will probably take you about 15 hours, including time spent on your assignment. There are four activities, three of which are substantial and prepare you for your second assignment. Read Chapter 2 of *Managers Who Lead* before starting this section. During the course of the session you will also be asked to refer back to a section of the Waitola CHC case study to read.

5 What is the problem here?

Consider the words of Donald Schon (1983:40):

*“In real-world practice, problems do not present themselves to the practitioners as givens. They must be constructed from the materials of problematic situations which are puzzling, troubling, and uncertain. In order to convert a problematic situation to a problem, a practitioner must do a certain kind of work. He must make sense of an uncertain situation that initially makes no sense... Although problem setting is a necessary condition for technical problem solving, it is not itself a technical problem. When we select the problem, we select what we will treat as the “things” of the situation, we set the boundaries of our attention to it, and we impose a coherence which allows us to say what is wrong and in what directions the situation needs to be changed. Problem setting is a process in which, interactively, we name the things to which we will attend and frame the context in which we will attend to them.”*

To prepare for this session, read chapter 2 of *Managers who Lead*. When combined with the concepts outlined in Session 1 (small wins, transitions etc.), this chapter provides a practical methodology for planning and implementing change in a participatory fashion.

**Reading**

Management Sciences for Health. (2005). *Managers Who Lead: A Handbook for Improving Health Services* 3rd ed., Cambridge, MA: Management Sciences for Health. Chapter 2: Leading teams to face challenges.

Now have a look at the Waitola CHC Case Study - Introduction and Part 2. The first step in thinking about change at Waitola CHC is to identify challenges and opportunities, and in what directions the situation needs to be changed. After reading the case study, answer the questions in Activity 1 below, about the problems at the Waitola CHC. In this activity we require you to apply to key problem analysis techniques: the Fishbone and Five Whys techniques outlined in *Managers Who Lead.*  These techniques are commonly used to reflect more deeply and systematically on workplace problems. They complement the “process mapping” technique involved in the waiting times survey discussed in Session 3 of this Unit.

**Reading**

SOPH. (2016). *Case Study of Waitola Community Health Centre: Introduction and Part 2*. UWC

**Activity 1 – Identify problems facing Waitola CHC**

 **(Note:** Activities 1 & 2 prepare you for Assignment 2, where you will have to answer similar questions in relation to your own workplace. We suggest you start the assignment after completing them.)

1) Does reading about Waitola CHC provoke anxiety “arousal” because of apparent multiple problems and an overwhelming social context (Weick, 1984)? If you were the manager, how would you be feeling? Would you:

* Look for another less stressful job
* Ask for a rotation system
* Do the best I can under the circumstances
* Try to think of changes

2) How would you describe the key problems at Waitola?

3) Selecting one or more of problems you have identified, analyse the causes of the problem using the Fishbone (MSH page 200/1), the Five Whys (MSH page 203) techniques.

4) What do you see as the possible opportunities for building upon change at Waitola?

Take note of the following when responding to the questions regarding Waitola CHC in the activity:

* Being able to assess the situation (both problems and opportunities) at Waitola CHC is difficult because you have limited understanding of the situation. We have therefore asked you to imagine a similar place in your own setting where you would have better ‘tacit knowledge’ of the situation (people and situations, organisational routines, underlying rules of the game).
* It is very possible that the Waitola CHC manager would never describe her clinic in the way we have, and it is possible that in comparing descriptions we would come to a joint definition of the clinic and its problems.
* The important step is the process of developing a meaningful and coherent account of your environment and its problems/challenges and opportunities; this will always be unique – depending on the environment, the nature of the problems and the person observing.

6 Defining the vision and identifying the small wins

Think back to the video of Dr Tesfay in Ethiopia – his setting is different to that of the Waitola CHC, but he encountered a similar range of problems. Why did he decide on cleaning of the hospital as the first step?

To understand this, we would need to get inside the situation more clearly – as pointed out above a good deal of tacit knowledge – knowledge of the local cultural norms, the personalities of the people, etc, - which only an insider has, would be required. However, it appears that the cleaning campaign represented a small win which seemed ‘do-able’. It also reflected Dr Tesfay’s values as a leader, such as not giving up, and appreciating the importance of participation. He was able to use his intuitive cultural knowledge to identify with patients and to see the situation through their eyes. Also significant was his focus on the need for a pleasant working environment. We don’t know for sure what his vision was, but he obviously had one, even if it was more intuitive than strategic, and each action he took fitted into that vision. He found that success breeds further and bigger success, and he gained confidence through his successes.

Now imagine yourself again in the shoes of the Waitola manager (accepting your limitations of knowledge), seeking to make positive changes. Then go back to your own workplace diagnosis. Remember that for both exercises you need to take into account the constraints and demands of your job which affect your freedom to make changes, as well as your spheres of influence.

**Activity 2 – Planning small wins to match your vision for change**

1) If you were the Waitola CHC manager what would be your vision for the clinic for the future – the next three to six months would be reasonable - in relation to the solution of the problem you identified?

2) Think about and describe two small wins, working with the opportunities you identified, that might take you in that direction.

7 Developing an Action Plan to implement a change

**Activity 3 – Turning ideas for small wins into action**

Take one of the small wins for the Waitola Clinic that you thought of in Activity 2, and spell out concretely what you would do to achieve this, using the template below. Add more rows if you need them.

|  |
| --- |
| **‘Small win’ to be achieved:** |
| **Actions to be taken** | **Person/s responsible** | **Resources needed** | **Timeline (in days, weeks or months)** |
|  |  |  |  |
|  |  |  |  |

In the next unit we will discuss the issues of buy-in, and the need to create a shared approach to change. This will provide you with the opportunity to refine your plan.

8 Overview of planning concepts, issues and methods

The section above deals with identifying problems which require change, and some ideas for implementing ‘small wins’ as a way of addressing the problems. Planning does not always have to be a response to a problem, however; it is often a wider strategic process, carried out in more or less formal ways. In this section we introduce you to some formal concepts of planning. Before we do this, we reflect on the limits of planning.

The following comments on planning are the views of district managers, as reported in the 2001 *South African Health Review.* Consider whether they are still relevant today:

*“… Many of the DMs [district managers] interviewed expressed a concern that although they are developing periodic plans … these are often disrupted by demands from the provincial Department of Health, Regional Directors, community members, junior officers and even the national Department of Health.”*

*“According to the managers, ad hoc meetings arranged by provincial officers without prior notice cause most of the disruptions. Some of these ad hoc meetings have no agenda, and no minutes of previous meetings are available. Managers and other personnel being sent on training courses which have not been planned into their work schedules also disrupt the planning process, making planning useless.”*

*” … Of the two district managers who had the least problems with planning, one indicated that her province has a well-implemented and monitored strategic plan, while the other feels that she is able to prioritise her work in such a way as to be able to manage the demands …” (SA Health Review, 2001: 9)*

From these comments it seems that ‘planning’ is often overstated and problematic; but there are times when managers need to engage in formal planning processes. In this section we will look at the scope of planning, as well as one model for and approach to the process. You can also read about approaches to particular aspects of planning, such as budgeting, for example the approach referred to as “program budgeting and marginal analysis” (PBMA) described in Mitton & Donaldson (2004). This offers a way of thinking about financial and resource planning, in the real world, where managers finally only really control a small proportion of such resources. The reference for this text is in the Further Reading section at the end of the session.

Green states that plans are, “… statements of intent, concerning how resources will be used to achieve the organization’s objectives …”, and that an important component of planning is the concept of a degree of formalization in the process, i.e. that it is explicit, systematic and employs a method (Green, 1999:3). Much formal planning takes place at higher levels of the system, although some resides in less formal planning, as the responsibility of Level 1 and 2 managers.

Green notes that managers, their staff and other stakeholders need to plan sufficiently well in advance to be able to clarify and agree on goals, objectives, activities and inputs before costing their plans. This is inevitably a labour intensive and time-consuming process, which staff often resist initially, until (and unless) they see the long-term benefits.

The scope of formal planning can include:

* 3 or 5 year strategic plans
* Annual plans
* Provincial/District/Unit plans
* Human Resource planning
* Funding proposals
* Project Proposals

As a Level One or Two manager you may be called upon to participate in these planning processes; you may also want to consider introducing formal planning (e.g. annually) into your own unit. To assist you with understanding the planning process, we are going to introduce you to two models of planning which each emphasize particular dimensions of the planning process. Together they demonstrate the underlying principles of planning a series of steps which follow in a logical sequence form each other.

The first is called the Planning Cycle and the second is a planning tool developed by an international non-governmental organisation, the International Rescue Committee. (See Further Reading section at the end of the session.)

The Planning Cycle Model

The Planning Cycle Model below seeks to answer four broad questions, which are then broken down into a number of steps.

Internal factors

External factors

External factors

 **Where are we now?**

Internal factors

Internal factors

How will we know we have **How do we know we have arrived?**  **Where do we want to be?**

External factors

External factors

 **How will we get there?**

Internal factors

Each of the four broad questions in the model can be broken down into a number of steps, which make up the planning process. All these steps are constantly affected by internal and external factors.

|  |  |
| --- | --- |
| *Questions* | *Steps* |
| *Where are we now?* | Situation analysisProblem identificationProblem prioritisation | Internal factors | External factors |
| *Where do we want to go?* | Setting of goalsSetting of objectives |
| *How will we get there?* | Option appraisalStrategy selectionActivity selection (task setting)Identification of resources (human, material, financial, time) |
| *How will we know we have arrived?*  | Monitoring (tracking progress)Evaluation |

Recognising the influence of internal and external factors at every step along the way is crucial to successful planning. Internal factors are those within the control of the project staff; external factors are those beyond the control of the project staff.

**The Causal Pathway Framework**

One of the tools you could use in implementing the planning cycle is the Causal Pathway Framework. This is a formal planning tool developed by the International Rescue Committee (IRC), an NGO based in the United States, which works internationally with refugees and in disaster management. It is designed to help a planning team define explicitlyandsystematically what they want to achieve, what they need to do and what resources they need to do it.

A planning team goes through the following planning process:

* They start with what they wanted to achieve, *a goal.*
* From the goal they derive *objectives* which are specific statements of intention to achieve the more tangible outputs of the project.
* They then work out what must be done (*the activities*) which will achieve those objectives and therefore their goal.
* From the activities, they are able to work out what resources would be needed (also known as *inputs*).
* They write their plans onto a template like the one in the diagram below.

The diagram on the next page illustrates the process: Read it from *right to left,* to understand the process. As you study the template below, consider how it differs from the ‘small wins’ Action Plan you designed in section 6.

|  |  |  |
| --- | --- | --- |
| **What resources we need** | **What we need to do** | **What we want to achieve** |
| Inputs | Activities | Objectives | Goal |
|  | Output-level objectives  | Effect-level objectives |

Note that objectives may be divided into two types:

* Output-level objectives which result in changes brought about by the project directly. The results are called *outputs.*
* Effect-level objectives which result in changes in the behaviour, knowledge and/or attitudes of the target population. The results are called *effects*. A project may include both types of objectives but may also have only output-level objectives.

The planning framework is therefore a series of steps leading toward the attainment of a goal that looks like this:

|  |
| --- |
| inputs -> activities -> output-level objectives -> effect-level objectives -> goal |

At the end of the process, the planning team writes a Causal Hypothesis which provides a succinct statement of the plan, as in the example below:

*‘’The staff, funds and community support will be used to build water sources and latrines and to provide public health education. As a result, the population will maintain and utilize latrines and clean water sources, which will contribute to … lower mortality and morbidity from water-borne diseases.’’* (International Rescue Committee, 2000:10)

In other words, the statement asserts that a particular set of *inputs* and *activities* will result in certain products and services *(output level objectives)*, which will facilitate practice changes by the population (*effect level objectives*), and contribute to a specific desired *health* impact *(goal)*. This will be the guiding statement for implementation of the plans.

# Activity 4 - Reflect on planning processes in your own workplace

This set of questions provides an opportunity to conduct an audit of what kinds of planning take place in your workplace. As the manager, you would be responsible for initiating planning for your own areas of responsibility, monitoring and finally ensuring evaluation takes place.

1. Does your organization or unit have a five-year/ three-year/ annual plan?
2. Are there quarterly, monthly and weekly plans for the unit as a whole as well as for individuals?
3. Were any of the processes or tools described in this session used in your organization/unit’s planning? If not, which do you think could have been used?
4. Who is involved in the planning process – is it inclusive?

# Feedback

An audit like this can be revealing of the extent to which planning is valued in your unit and organisation. If planning is not a priority, think back to the reasons for resistance to planning and see whether you can offer any solution to reduce resistance. It is strategic to identify set times of the year for planning processes, and to formalise processes so that planning is not seen as optional. Its’ importance cannot be underestimated and it is one of the challenges of the manager to ensure that staff see the value of planning and that the process is undertaken timeously, systematically and in a way which integrates the work of different individuals and units towards achieving the same goal.

To conclude, consider a final thought on planning:

 *“… Planning is an attempt to answer questions before they actually arise, anticipating as many implementation decisions as possible by foreseeing possible problems, and deriving principles and setting rules for solving them …”* (McMahon, 1992: 268)

9 References and Further Reading

Green, A. (2007). *An Introduction to Health Planning for Developing Health Systems*, New York: Oxford University Press.

Schon, D.A. (1983). *The Reflective Practitioner*. New York: Basic Books.

Mitton, C. & Donaldson, C. (2004). Health Care Priority Setting: Principles, Practice and Challenges. *Cost Effectiveness and Resource Allocation*, 8: 1–8.

Weick, K.E., (1984). Small wins: Redefining the scale of social problems. *American Psychologist*, 39(1).

International Rescue Committee. (2000) *IRC’s Proposal Guidelines based on the causal pathway*. Draft 10/12/00. New York: IRC.

Bryant, M. (1999). Planning for and within Decentralized Health Systems. In Kolemainen-Aitken, R.-L. (Ed). *Myths and Realities about the Decentralization of Health Systems.* Management Sciences for Health, Boston.

Unit 2 - Session 3: Service delivery improvement

1 Introduction

Level 1 managers are involved in what Management Sciences for Health refer to as “management at the point of care” – ensuring quality and responsiveness (see Box below : Source: Management Sciences for Health, 2010. 9:2).



Quality improvement refers to the range of methodologies and tools for improving the quality of service delivery at the coalface, a key aspect of “management at the point of care”. There are several dimensions to the concept of quality; they include both technical and interpersonal considerations, and provider and patient perspectives. In the first part of this session we compare and contrast two views on the dimensions of quality – one by Donabedian, an early and still highly regarded writer on quality; and the more recent by MSH (2010) in its ehandbook.

We then discuss generic features of quality *improvement* methods, as change management applied to the clinical setting, and consider their application in addressing a key dimension of the patient experience of health services – namely waiting times. In a recently established Ministerial complaints hotline in the Western Cape Province of South Africa, out of 95 complaints, 62 were about waiting times and 26 about staff attitudes (personal communication, Dr Cupido). Health facilities, especially PHC and outpatients departments often process large volumes of patients needing services on a daily basis. They are characterised by crowded waiting rooms, bottlenecks in key places, frustrated and fearful patients, and irritable staff. Dysfunctional patterns are established, with patients arriving earlier and earlier, patients turned away before being attended to, staff “pushing” through the queue in the morning, closed consulting rooms during lunch and tea breaks and major bottlenecks at the dispensary.

One of the key jobs of facility and frontline managers is to manage the flow of patients so as to minimize waiting times and maximize satisfaction of both patients and staff. We intro- duce you to techniques of “process improvement”, discuss an example of a facility that did this, then return to our case study clinic, Waitola, where we present the results of a waiting times survey and ask you to think about strategies to reduce waiting times in this clinic.

2 Learning Outcomes

In the course of this session, you will be addressing the session outcomes in the first column; they are part of the overall Module Outcome/s in the second column:

|  |  |
| --- | --- |
| **Session Outcomes** | **Module Outcomes**  |
| 1. Describe the key dimensions of quality.
2. Describe the generic characteristics of quality improvement methods.
3. Apply process mapping to a health care problem.

Drawing on these principles and data from a waiting times survey, develop a strategy for quality improvement at Waitola Clinic.  | * Develop skills for analyzing every day management and service delivery problems, and plan improvements to address these problems, using tools and other resources.
 |

3 Readings

Donabedian, A. (1988). Special article: The Quality of Care - How can it be Assessed? *Journal of the American Medical Association*, 260(12):1743–1748.

Finishes and Interior Sector. (2015) Factfile: A Guide to Process Mapping. FIS: West Midlands UK. Available at: <http://members.thefis.org/member-zone/factfile/business-management/> [Downloaded 18 Jan 2015]

Isaacs, A. & Hellenberg, D. (2009). Implementing a Structured Triage System at a Community Health Centre using Kaizen. *South African Family Practice*, 51(6):496–501.

Management Sciences for Health. (2010). *Health Systems in Action: an ehandbook for Leaders and Managers*, Cambridge, MA: Management Sciences for Health. 9:4-11

Walshe, K. (2009). Pseudoinnovation: the Development and Spread of Healthcare Quality Improvement Methodologies. *International Journal for Quality in Health Care: Journal of the International Society for Quality in Health Care / ISQua*. 21 (3):153–9.

SOPH. (2016). *Case Study of Waitola Community Health Centre: Part 3*. UWC

4 Timing

In this session you are asked to read three theoretical articles, a research report and part of the Waitola CHC case study. These and the four activities should take you about 12 hours to complete.

5 The Dimensions of Quality

**Reading**

Donabedian, A. (1988). Special article: The Quality of Care - How can it be Assessed? *Journal of the American Medical Association*, 260(12):1743–1748.

Donabedian is considered to be the ‘founding father’ of quality assessment in health care. In his article, he claims an important role for the systematic assessment of the quality of care, in assuring patients’ health and welfare. He emphasizes the need to define quality, and decide on what and how broadly to assess health care, before its’ assessment can take place. Before looking at Donabedian’s scope of quality, it might be useful to consider the well-known definition of quality of services used by WHO:

*‘Proper performance (according to standards) of interventions that are known to be safe, that are affordable to the society in question, and that have the ability to impact no mortality, morbidity, disability and malnutrition.’* (Kols and Sherman, 1998)



This can be summarized by a popular definition of quality as “doing the right thing, in the right way.”

Compare the WHO definition with Fig.1 on the right, which summarises Donabedian’s typology of quality at different levels, represented by concentric circles. At the centre is care by practitioners/providers, consisting of their technical abilities, knowledge and judgement, and interpersonal skills. The other influences on quality are represented by the circles around practitioner care – amenities (or structures), patient contribution to the care, and access to care at a community level (Donabedian, 1988: 1744).

In the article, Donabedian outlines possible approaches to assessment of health care encompassing each of these levels, indicating that this should measure three aspects: health structures (physical settings), processes followed and outcomes of care provided. In order to do this, information is needed on how these features interlink and interact. Once this information is in place, clear criteria and standards for assessment need to be set.

**Reading**

Management Sciences for Health. (2010). *Health Systems in Action: an ehandbook for Leaders and Managers*, Cambridge, MA: Management Sciences for Health. 9:4-11

In this reading, Management Sciences for Health extends Donabedian’s dimensions of quality (see summary in Box 2 below). It also gives details and indicators for the three aspects of quality which Donabedian identified: structural, process and outcome. The combination of information gathered in these three areas can yield useful quality measures in the endeavour to build and maintain quality of services. The MSH reading offers examples of some interesting cases of performance and service quality projects from developing countries.



(Source: MSH, 2010.9:6)

**Activity 1 – Reflect on the readings**

1. Which of the two readings do you think offers a clearer and more helpful explanation of the concept of quality and its’ assessment? Why do you think so?
2. Which of the Donabedian and MSH dimensions of quality do you consider to be the most important indicators of service and performance quality in health care?
3. Which dimensions are most commonly used to assess health care in your experience?
4. If your answers to (a) and (b) are different, why do you think this is?

6 Quality Fads and Fashions

In his review of two decades of quality improvement methods, Walshe (2009) identified ten different approaches – from medical audit, clinical governance, to total quality management and the more contemporary ‘lean’ approaches – to discussing and presenting quality improvement. Their wax and wane in popularity is indicated in the figure below from Walshe (2009:155).

**Reading**

Walshe, K. (2009). Pseudoinnovation: the Development and Spread of Healthcare Quality Improvement Methodologies. *International Journal for Quality in Health Care: Journal of the International Society for Quality in Health Care / ISQua*. 21 (3):153–9.





Despite this plethora of models, techniques and terms, Walshe claims that all quality improvement approaches share four key characteristics:

1. Cycle of improvement – data collection, problem description, changes, evaluation;
2. QI tools and techniques, e.g. fishbone diagrams, process mapping or flow charting, quantitative indicator construction, brainstorming;
3. Organisational dimension: leadership, provider commitment
4. Engagement or involvement of frontline clinical staff, grounded in their knowledge and ideas.

**Activity 2 – Summarise key points in the reading**

After reading the Walshe paper, briefly summarise the conclusion he reaches about Quality Improvement innovations.

**Feedback**

Walshe argues that all of these approaches are really “dialects of the same language” – referring to them as “pseudo-innovations”, invented to serve particular interests and end-user needs. He finds the approaches similar in content, and therefore concludes that the re-design of Quality Improvement methods has been largely counter-productive, and a waste of effort and resources. He suggests that practitioners should be more skeptical of the ‘innovations’, and ask whether they are really new, or really an improvement on previous efforts.

He concludes that more rigorous research is needed, combining theoretical, empirical and experiential evidence in a more systematic way. Essentially there is a, *‘…need for evidence about QI methodologies to be better organized, clearly synthesized and made more available to those who manage and lead QI programmes in healthcare organizations.’* (Walshe, 2009: 159).

The next reading is an article on a project carried out at the Mitchell’s Plain CHC in the Western Cape Province in South Africa. The aim of the project was to understand and address the problem of flow of patients at the clinic.

**Reading**

Isaacs, A. & Hellenberg, D.(2009).Implementing a Structured Triage System at a Community Health Centre using Kaizen*. South African Family Practice*, 51(6):496–501.

**Activity 3 – Identify characteristics of Quality Improvement**

In the table below, write an example from the Mitchell’s Plain CHC research report of each of the 4 characteristics of Quality Improvement approaches mentioned by Walshe.

|  |  |
| --- | --- |
| **Characteristic of Quality Improvement** | **Example from the research paper** |
| Cycle of improvement |  |
| QI tools and techniques |  |
| Organisational dimension |  |
| Engagement and involvement of frontline staff |  |

The outcome of the Mitchell’s Plain Quality Improvement project could be linked back to Mintzberg’s framework of people, action and information planes, and the concept of managing as science, craft and art. Refer back to Mintzberg’s model of managing, to which you were introduced in Unit 1 Sessions 2 and 3, to remind yourself of the manager’s role in quality improvement.

7 Process Mapping

The Isaacs and Hellenberg article illustrates well the fishbone and five whys techniques of problem analysis. It also provides a practical example of “process mapping” (see figure 7 from the article below). A process map is a visual representation of the steps in a process required to reach a desirable outcome. For example, the flow of a patient through a clinic (screening, consultation, pharmacy etc.); in a procurement system it may be the steps from the receipt of an order to the delivery of the goods; in the HR system it might be the steps from a staff resignation to a new appointee starting work at a facility. Mapping these steps is often a very useful way to identify bottlenecks.



Source: Isaacs and Hellenberg, 2009:500

**Reading**

Finishes and Interior Sector. (2015) Factfile: A Guide to Process Mapping. FIS: West Midlands UK. Available at: <http://members.thefis.org/member-zone/factfile/business-management/> [Downloaded 18 Jan 2015]

**Activity 4 – Draw a process flowchart of an aspect of your workplace**

1. Using the guidance in the above guide, draw a simple process flowchart of any aspect of your work, breaking it down into its constituent steps, as outlined on page 4 of the guide.
2. Do any of the steps along the pathway represent bottlenecks?
3. How does this technique complement the fishbone and five whys techniques?

8 Waiting at Waitola Clinic

We now look at another example of the application of a quality improvement process - the case of the Waitola CHC, with which you are by now familiar. Read Part 3 of the case study, which outlines the methodology for the waiting times survey and reports the findings (Waitola CHC Case Study, Part 3: Analysing Waiting Times at Waitola). Note that this methodology represents a process map, which goes further to quantify bottlenecks and suggest causes for further analysis.

The methodology and findings of the waiting times survey are explained in a lecture by Dr Gavin Reagon, available on the SOPH’s YouTube channel at the following link: (<https://www.youtube.com/watch?v=cNkfgRHubno&list=PLzJfkixHHekxx02R0HSVcUNlsDmt_R0JC&index=4>)

Read the case study and watch the lecture and do Activity 5.

**Activity 5 – Analysis and action on waiting times at Waitola**

1. What are the a) range and b) median waiting and services time at Waitola CHC?

2. Summarise the problems revealed in the survey by filling in the table below:

|  |  |  |
| --- | --- | --- |
| Problem | Y/N | Station/s |
| Batching |  |  |
| Mismatch |  |  |
| Inefficiency |  |  |
| Logistical |  |  |
| Flow |  |  |
| Queueing |  |  |
| High service times |  |  |
| Workloads |  |  |

3. What five key actions would you institute to improve waiting times?

4. Drawing on the Walshe and Isaacs papers, how would you go about implementing generic steps of quality improvement to address the waiting times?

Referring back to Mintzberg’s Science-Art-Craft, the exercise of collecting and analysing information on waiting times at Waitola is example of the “science” of management, and of managers using information to improve services. It corresponds to the “analytic” mindset described by Gosling and Mintzberg (2003), which we introduced in Unit 1. It highlights very clearly the specific changes needed at Waitola. However, for these changes to implemented – especially through and with people – managers need to apply other mindsets. There is also a need for a creative, reorganizing, collaborative and reflective mindset, and thinking through small wins as a way of addressing the problem.

This is dealt with further in Unit 3, which focuses on managing people and teams

**Note**: if you are interested in the waiting times survey methodology and tools, please contact Dr Gavin Reagon at greagon@uwc.ac.za.

9 Summary of Session

This session on quality assessment of health care introduced you to a range of definitions and descriptions of ‘quality’ and approaches to its improvement, to try to develop an understanding of the concepts. You then read an article by Walshe, in which he surveyed a number of methodologies for quality improvement, and suggested that they have possibly over-proliferated. Two examples of the application of quality improvement processes gave a sense of the theories in practice. We introduced a further technique for analyzing problems, namely process mapping. Finally, through an analysis of waiting times at Waitola we further highlighted the analytic mindset required of managers.

For those interested in reading further about problem analysis techniques and change processes and management strategies outlined in Unit 2, we recommend a very comprehensive review conducted for the UK NHS by Iles and Sutherland entitled: Organisational Change: A Review for Health Care Managers, Professionals and Researchers (referenced fully below and available in your reader).

9 References and Further Reading

Gosling, J. & Mintzberg, H., 2003. The Five Minds of a Manager. *Harvard Business Review*, (November), pp.54–63.

Iles, V. & Sutherland, K. (2001). Managing Change in the NHS. Organisational Change: A Review for Health Care Managers, Professionals and Researchers. National Co-ordinating Centre for NHS Service Delivery and Organisation R&D. UK: NCCSDO, London School of Hygiene and Tropical Medicine

Mintzberg, H., 2009. *Managing*, San Francisco, CA: Berrett-Koehler Publishers, Inc.