# SECTION 5
## TYING IT ALL TOGETHER

SPONSOR AND LEADER | **RESOURCE GUIDE FOR UBTs**

**LMP** LABOR MANAGEMENT
PARTNERSHIP

# TYING IT ALL TOGETHER

## Introduction

Given the amount of material contained in this *Guide*, and the organizational expectation that UBTs will drive KP transformation, you may be wondering, *"Now what? How do I tie this together and begin? How I ensure sustainability?"*

Transforming KP is a journey. The success of UBTs is critical, as they are the foundation for process improvement. By the end of 2010, all UBTs will be in place. Our focus is shifting from launching teams to learning how to continue the process and sustain the gains while spreading the innovations.

UBTs are about changing our culture. Being successful at lasting cultural change requires strong and enduring sponsorship. As a sponsor, you play a key role in building a culture of continuous improvement and patient-centered care—an environment where teams thrive, apply learnings, engage in new behaviors, and are recognized for their efforts.

As a journey, this effort has no end. We will be successful when UBTs and a performance culture are no longer an implementation project, but are instead the way we do business at Kaiser Permanente.

**Get involved, nurture your teams, experience the change— and remember to enjoy the journey!**

| Achieving the performance needed to ensure a strong future for Kaiser Permanente will take the effort of many people and involve all three constituencies—physicians, unions and management. UBT success is the sum of many parts: | | | |
|---|---|---|---|
| [✓] | Process improvement | [✓] | Team development |
| [✓] | Individual skills and attitude | [✓] | Collaboration and partnership |
| [✓] | Consistent, strong sponsorship and leadership | [✓] | Awareness and utilization of available support services and tools |
| [✓] | Reinforcement | [✓] | Continuous improvement |
| [✓] | Patient/member focus | [✓] | Innovation and sustainability |

# Team Development

## Stages of Unit-Based Team Development

Leaders and sponsors play an important role in the ongoing development of UBTs. The more you understand about where your teams are in the developmental process, and what they need to move to the next level, the more effective you can be in supporting their forward momentum. The faster this process happens, the faster you will see results. Work with your co-sponsors to identify team status, strategize ways to help move them forward and develop a plan for long-term sustainability.

### Guidelines for Using the Following Tool

1. Each month, give this tool to your teams and have them assess themselves. They must meet all the criteria in one phase before they can move to the next phase.

2. As the sponsor, part of your role is to track team status monthly. The Team Assessment Tool gives you valuable information you can use to reward teams that are making progress and support those that are not moving forward at a desired rate.

| Level 1 | Level 2 | Level 3 | Level 4 | Level 5 |
|---|---|---|---|---|
| **Pre-Team Climate** | **Foundational** | **Transitional** | **Operational** | **High-Performing** |
| Unit is learning what a unit-based team is and how UBTs work. | Team is establishing structures and beginning to function as a UBT. | Team is demonstrating progress on engagement and making improvement. | Team has joint leadership, engagement of team members and improved performance. | Team is fully successful and collaborating to improve/sustain performance against targets. |

**Key Tip!**

**Ask yourself:**

Where are your teams in the developmental process?

Who is developing and who isn't?

Why aren't they developing? What do they need?

How can you and your co-sponsors support their evolution to the next level?

# TOOL: UBT Development and Assessment Scale

| Dimension | Level 1 Pre-Team Climate | Level 2: Foundational UBT | Level 3: Transitional UBT | Level 4: Operational UBT | Level 5: High Performing UBT |
|---|---|---|---|---|---|
| **Sponsorship** | + Sponsors identified and introduced to team. | + Sponsors trained.<br>+ Charter completed. | + Sponsors regularly communicating with co-leads. | + Sponsors visibly support teams.<br>+ Minimal outside support needed. | + Sponsors holding teams accountable for performance and reporting results to senior leadership. |
| **Leadership** | + Team co-leads are identified or process of identification is under way. | + Co-leads have developed a solid working relationship and are jointly planning the development of the team. | + Co-leads are seen by team members as jointly leading the team. | + Co-leads are held jointly accountable for performance by sponsors and executive leadership. | + Team beginning to operate as a "self-managed team," with most day-to-day decisions made by team members. |
| **Training** | + Co-lead training scheduled or completed. | + Team member training (e.g., UBT Orientation, RIM+) scheduled or completed. | + Advanced training (e.g., business literacy, coaching skills, metrics) scheduled or completed. | + Advanced training (e.g., Breakthrough Conversations, Facilitative Leadership, etc.).<br>+ Focus area-specific training (e.g., patient safety or improvement tools to address human error-related issues). | + Focus area-specific training.<br>+ Advanced performance improvement training (e.g., deeper data analysis, control charts, improvement methods via operational manager training). |
| **Team Process** | + Traditional; not much change evident.<br>+ Team meetings scheduled and/or first meeting completed. | + Staff meetings operating as UBT meetings (no parallel structure).<br>+ Co-leads jointly planning and leading meetings. | + Team meetings are outcome-based; team members are participating actively in meetings and contributing to team progress and decision making.<br>+ Co-leads moving from direction to facilitation. | + Co-leads jointly facilitate team meetings using outcome-focused agendas, effective meeting skills and strategies to engage all team members in discussion and decision making.<br>+ Team makes use of daily huddles to reflect on tests and changes made.<br>+ Team collects own data and reviews to see whether changes are helping improve performance. | + Team beginning to move from joint-management to self-management, with most day-to-day decisions made by team members.<br>+ Unit culture allows team to respond to changes quickly.<br>+ Team can move from first local project to next improvement project and can apply more robust changes.<br>+ Team measures progress using annotated run charts. |
| **Team Member Engagement** | + Minimal. | + Team members understand partnership processes. | + Team members understand key performance metrics.<br>+ At least half of team members can articulate what the team is improving and what their contribution is. | + Unit performance data are discussed regularly.<br>+ Large majority of team members are able to articulate what the team is improving and their contribution. | + Team members able to connect unit performance to broader strategic goals of company.<br>+ Full transparency of information.<br>+ Team is working on questions of staffing, scheduling, financial improvement. |
| **Use of Tools** | + Not in use. | + Team members receive training in RIM+, etc. | + Team is able to use RIM+ and has completed two testing cycles. | + Team has completed three or more testing cycles, making more robust changes (e.g., workflow improvement rather than training). | + Team using advanced performance improvement training (e.g., operations manager training).<br>+ Team can move from initial project to next improvement effort, applying deeper data and improvement methods. |
| **Goals and Performance** | + Team does not have goals yet. | + Co-leads discuss and present data and unit goals to teams. | + Team has set performance targets, and targets are aligned with unit, department and regional priorities. | + Team has achieved at least one target on a key performance metric. | + Team is achieving targets and sustaining performance on multiple measures. |

The table above is designed to be used by Kaiser Permanente regions as a model for developing their own unit-based team pathways. It assesses UBTs on several dimensions of team effectivenessis and is aligned with the five-point team-effectiveness rating built into UBT Tracker. Revised December, 2009.

## Definition of a High-Performing UBT

One step in UBT development to high-performance is understanding the definition of a high-performing UBT. Review the following description with your co-leads and teams. Discuss where you currently are compared to the goal. Key your eye on the target as you go through the developmental process. You are more likely to reach high performing status if you know what it looks like.

| High-Performing UBTs Exhibit: | |
|---|---|
| [✓] | Focus on core operational and business issues that lead to performance improvement in alignment with regional priorities and strategy |
| [✓] | Success measures developed in the UBT in service of overall regional performance goals |
| [✓] | High levels of trust |
| [✓] | Focus on cultural components of their team, including trust, working relationships and mindset |
| [✓] | Knowledge of where they are on the developmental continuum and understanding of what it takes to move to the next level |
| [✓] | A culture that enables them to respond to changes quickly |
| [✓] | Engagement of all team members in decision making and performance improvement |
| [✓] | High-functioning system of communication |
| [✓] | Awareness and understanding of their sponsor/leaders' role change to coach, facilitator and mentor |
| [✓] | Achieve results over multiple indicators |
| [✓] | A deep knowledge of the business and consistent use of critical thinking skills |
| [✓] | Understanding how they personally contribute to business results, achieve sustainability and spread successful practices |
| [✓] | Understanding and use of data to drive results |
| [✓] | Quick resolution of workplace issues |
| [✓] | A high level of employee engagement and high morale |
| [✓] | Personal ownership and commitment to the teams' success |
| [✓] | Willingness to mentor other individuals and teams |

# Success Factors

## Co-Lead Role on a Unit-Based Team

As a sponsor or leader of UBTs it's important that you understand the role of co-leads who are accountable to you. Co-leads perform the hands on role of leading UBTs everyday. Their skill in leadership, attitude and behavior, knowledge of the organization and what it takes to improve performance—all have a significant impact on teams.

Become familiar with the following list of co-lead responsibilities—ones assumed in addition to the co-lead's everyday job—and use it to help you coach your co-leads. Your effectiveness at guiding and mentoring co-leads is key to your success as a sponsor.

### 🔑 Key Tip!

Make sure your co-leads have access to the National UBT Startup Toolkit for tools, tips, and ideas on how to become stronger team leaders.

**www.LMPartnership.org**

| UBT Co-leads: | |
|---|---|
| [ ✓ ] | Are flexible and open |
| [ ✓ ] | Model good partnering with their physician, union and management co-leads (plan meetings and UBT work jointly) |
| [ ✓ ] | Provide leadership to UBTs—not giving orders, but guidance as needed |
| [ ✓ ] | Set a collaborative tone—listen to all team members to ensure balanced participation |
| [ ✓ ] | Ensure teams have current data to work with. Understand data sources within the organization |
| [ ✓ ] | Help other constituency members get on board and stay engaged |
| [ ✓ ] | With co-lead partners, find resources for the team |
| [ ✓ ] | Advocate for their UBTs with the UBT sponsors |
| [ ✓ ] | Keep their UBTs informed of related initiatives and sponsor needs/wishes |
| [ ✓ ] | Help other co-leads spread successful practices |
| [ ✓ ] | Promote UBTs as an operating strategy |
| [ ✓ ] | Increase capacity and improve clinical outcomes while striving for excellent service, making the member/patient the central focus of KP work |
| [ ✓ ] | Ensure their UBTs have balanced participation |
| [ ✓ ] | Keep their sponsors and fellow constituency members informed, escalating issues or barriers, as needed |
| [ ✓ ] | Discuss confidential issues in private |
| [ ✓ ] | Use RIM as methodology for achieving goals and ensure teams have current data |

## Key Tip!

Don't forget to ask—**What do YOU think?** Co-leads and teams are empowered to make changes when you include them in a thought-partnering process. Try it and watch what happens!

"Unless high-profile managers consistently model the desired behaviors and actively recognize employees who engage in the behaviors, no real cultural change is possible."

Mark L. Feltman and Michael F. Spratt, *Five Frogs on a Log* 1999

# Outstanding UBT Sponsorship Defined

## WHEN ASKED, UBTs SAY GREAT SPONSORS:

» Are available and accessible

» Help problem solve or thought partner when asked

» Obtain resources and break down barriers, as needed

» Are cheerleaders

» Know what's expected of teams and communicate that in ways teams understand

» Are familiar with the programs and initiatives UBTs are accountable to

» Support teams in learning new ways of doing things

» Help teams develop skill with PDSA, and other performance improvement tools, while developing an understanding of when and where tools are most appropriately used

» Pay attention and monitor performance, rewarding progress as well as success

» Model teamwork and foster team development

» Set clear expectations and hold teams accountable for results

**All with the member/patient in the center.**



BEST QUALITY

BEST SERVICE

PATIENT AND MEMBER FOCUS

MOST AFFORDABLE

BEST PLACE TO WORK

## TOOL: Sponsor Checklist for Supporting UBTs

One of the most important things you can do is lead by example. Model the behaviors and attention to performance you want to see from your UBT co-leads and team members.

**Key Tip!**

Meet with your manager to ensure open communication about your role in UBT development/performance. You need clear expectations, support and reinforcement too!

| | |
|---|---|
| [ ✓ ] | Begin by understanding your role as a UBT sponsor. Your leadership and support are critical to UBT success. |
| [ ✓ ] | Next, develop an understanding of what is expected of UBTs and think about how you will support, encourage and hold your teams accountable. |
| [ ✓ ] | Check to see that your co-leads and team members have received the recommended/required training. |
| [ ✓ ] | Familiarize yourself with what teams are learning in training so you can effectively support them as they take on new responsibilities and processes. |
| [ ✓ ] | Work with your co-leads to ensure that team members who are new, missed training or need additional training get what they need to perform well. |
| [ ✓ ] | Partner with your co-sponsors. The stronger your sponsor team, the stronger your UBTs will be. Show your teams the kind of outcomes that come from collaboration and partnership between management, physicians and unions. Model desired behaviors! |
| [ ✓ ] | Learn about the phases of UBT development from pre-team to high performing. Knowing where your teams are in the development process will help ensure that the support your provide is appropriate to the needs of the team. |
| [ ✓ ] | Seek training and other opportunities that will help you become an even more effective leader. |
| [ ✓ ] | Develop capability and capacity in your co-leads, and then step back and let them lead the team. Remain available, accessible and supportive. |
| [ ✓ ] | Attend UBT team meetings to help you find opportunities to coach your co-leads and provide feedback about meeting management. |
| [ ✓ ] | Acknowledge what you want to see and celebrate together! |

**Key Tip!**

Effective sponsorship
+ effective co-leads
= high-performing UBTs!

# Summing it Up: UBT Success Factors

As a sponsor and leader of UBTs, you should know the critical success factors for teams. The more of the following you can ensure are present, the more likely your teams will become high performing and make a significant difference in patient care and the workplace experience at Kaiser Permanente.

| Co-Leads Provide Strong Leadership to the Team | » Actively engaged in team activities<br>» Respected<br>» Skilled enough in group dynamics to get real participation<br>» Held accountable for results<br>» Take responsibility to follow through<br>» Model the behaviors expected of team members |
|---|---|
| Teams Receive Needed Support | » Facilitators coach the team and provide just-in-time training, as needed<br>» Leaders help teams perform small tests of change, conduct huddles and solve problems<br>» Performance data is available at the UBT level<br>» Results are easily seen and shared with others<br>» All team members receive training needed to prepare them for their role in becoming a highly performing team |
| Strong, Consistent Sponsorship is Provided | » Executive sponsorship is evident in words and actions<br>» Sponsors clearly communicate to UBTs and executive leadership that UBTs are an important vehicle for improving performance<br>» Physicians support and participate in UBTs as the operational strategy for Kaiser Permanente and help drive clinical goals<br>» Teams receive clear directions from strategy groups<br>» Sponsors acknowledge and reinforce UBT efforts and results |

## Mindsets of Successful UBTs

Unit-based teams are learning how to evolve their thinking. The following table shows different mindsets that can help or hinder success.

| Mindsets that May Get in the Way of Achieving Transformation and Successful UBTs | | Mindsets that May Enable Us to Achieve Transformation and Successful UBTs |
|---|---|---|
| **"Self"-Mentality** | | **"Team" Mentality** |
| I work to maximize the results that I produce as an individual, therefore I place my own interests above my team's interests. | ➔ | I prioritize the needs of the team above my own needs and I feel connected to our shared purpose. |
| **Focus on Process, Minimize Risk** | | **Focus on Results, Manage Risks** |
| I need to make sure that the organization and I are never at risk, and so spend a lot of time following the right process—painstakingly detailing every aspect of the process to make sure the organization and I are not at risk. | ➔ | In each and every interaction, I focus on producing the result needed/making the decisions needed, while managing the level of risk. |
| **Agree** | | **Align** |
| To support a team decision, I must feel that it was my and everyone else's first choice. We cannot move forward if we do not all unanimously agree. | ➔ | I am prepared to support a team decision as it if were my own, even if the entire team and I did not unanimously agree. |
| **Control Others** | | **Trust Others** |
| I try to control the process others follow and the results others produce in my interaction with them. I prefer not to address instances where trust is missing and compensate by managing details. | ➔ | I trust the people in the organization and engage in interactions that help me build trust when it is not at the right level. |
| **Perfection** | | **Action** |
| It is more valuable to spend time analyzing situations than to take action quickly, 'analysis paralysis.' I need permission to progress on this. | ➔ | There are always productive actions I can take, even before all of the related questions are fully answered. I am empowered to make things happen. |
| **Can't Do—Permission** | | **Can Do—Empowerment** |
| This is why it can't work. | ➔ | This is how we can make it happen. |

# What Teams Are Learning

## UBT Learning Strategy

The foundation of the learning strategy for the unit-based team deployment is continuous learning with the co-lead playing a key role as coach for the team. The following table illustrates the competencies UBT co-leads and their teams should be building, what behaviors they should engage in and what results can be achieved when they do.

| Competencies Needed | New Behaviors | Results |
|---|---|---|
| Co-lead: | » Focus on the member/patient | » Increased number of employees on unit-based teams |
| » Coaching<br>» Team building<br>» Communication<br>» Employee engagement<br>» Change management | » Co-leads coaching vs. directing<br>» Accountable, highly functioning teams<br>» Learning while doing<br>» Those closest to the work involved in making improvements | » Employees rate the work environment as better<br>» Teams set and achieve goals around the Value Compass |
| Unit-Based Team | » Huddles held daily<br>» High degree of trust and collaboration | |
| » Systems thinking<br>» Teamwork<br>» Assertiveness<br>» Results orientation<br>» Accountability<br>» Meeting management<br>» Business acumen<br>» Performance improvement | » Blame-free environment<br>» Ability to take risks<br>» Teams trying small tests of change<br>» Evidence-based decision making<br>» Spread of improvements | |

"The definition of insanity is doing the same thing over and over and expecting different results."

Albert Einstein

# LMP Core Curriculum Map

| | Preparation | → | Team Launch | → | Continuous Learning |
|---|---|---|---|---|---|
| **Sponsor** | » Leading Performance Excellence<br>» RIM<br>» Unit-Based Team Orientation WBT | → | » Creating a Motivating Environment (Sponsorship)<br>» Sponsor and Leader Resource Guide for UBTs | → | » Facilitative Leadership<br>» CDM/IBPS WBT |
| **Co-Lead** | » Leading in Partnership<br>» RIM+ | → | » Co-lead Workshop<br>» UBT "Start-up" Toolkit | → | » Facilitative Leadership |
| **Team** | » Unit-Based Team Orientation | → | » RIM | → | » Just-in-Time Modules: (IBPS/CDM/IR) |
| **Support Role** | » Facilitation Skills Workshop<br>» Train the Trainer for Core Curriculum<br>» Just in Time Learning Methods | → | | → | |
| **Individual** | » Unit-Based Team Member Training<br>» Consensus Decision Making (CDM)<br>» Interest-Based Problem Solving (IBPS)<br>» Effective Stakeholder (labor leads)<br>» Root Learning Maps | → | | → | |

# Notes