

# **How Do I Assess My Agency's Culture of Quality? Practical application of NACCHO's Organizational Culture of Quality Self-Assessment Tool**

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# Organizational Culture

*“Organizational culture is defined as the shared beliefs, perceptions, norms, values and expectations of individuals in organizations.”*



# Culture Transformation: Change Management



Source: Varkey P. Change Management for Effective QI: A Primer. *Am J of Med Quality*. 2010. 25(4): 268-273.

# Change Management



## “Human” Side:

- How are staff responding?
- Is there resistance?
- Are arising issues addressed?
- Is the environment “safe?”
- Continually assess culture

## “Process” Side:

- What systems/processes must be put in place?
- Do we measure performance?
- Are formal plans, policies, and procedures?
- Is there accountability?

# NACCHO's Roadmap to a Culture of Quality: [www.qiroadmap.org](http://www.qiroadmap.org)



## Roadmap to a Culture of Quality Improvement

A guide to leadership and success in local health departments

[About the QI Roadmap](#)

[Foundational Elements of a QI Culture](#)

[How to Use the QI Roadmap](#)

[Where are you on the QI Roadmap?](#)

[Resources](#)

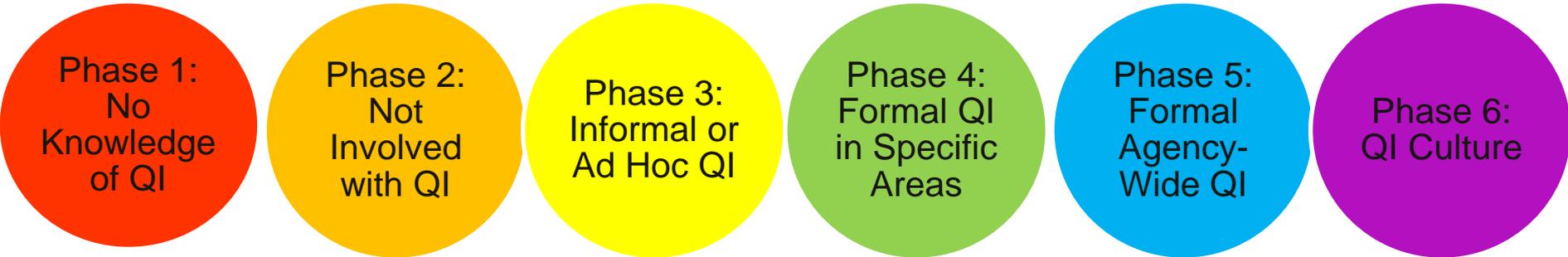


# Roadmap to a Culture of

# Quality Improvement

When building a culture of quality in LHDs, a natural evolution of change tends to occur, impacting both the people and processes within the organization. The QI Roadmap provides LHDs with guidance on progressing through six phases or levels of QI maturity until a culture of quality has been reached and can be sustained. For each phase, the Roadmap presents common organizational characteristics and strategies and resources for transitioning to the next phase. The QI Roadmap also describes six foundational elements of a QI culture that LHDs should cultivate over time. Whether a novice or advanced in QI, any LHD can adapt the QI Roadmap as a guide to understanding the current state and identifying next steps for advancing to the next stage of QI integration.

# NACCHO Roadmap to a Culture of Quality



- Agency Characteristics
- Transition Strategies
- Resources

# Building an Organizational Culture of Quality: 6 Foundational Elements



## Phase 2: Not Involved with QI Activities

QI Roadmap: Next Steps

In this phase, leadership understands and discusses QI with staff but does not enforce the implementation of or dedicate sufficient staff time and resources for QI.

### HD Characteristics

"Human" Characteristics	"Process" Characteristics
<ul style="list-style-type: none"> <li>Leaders understand, and staff are beginning to understand, QI concepts and their link to LHD practices.</li> <li>Leadership have little or no expectations of staff to engage in QI.</li> <li>Staff may view QI as a trend or temporary activity.</li> <li>Resentment among staff around the use of QI may be building (i.e., fear of being punished, worry about additional work).</li> <li>Very few training opportunities exist for staff.</li> <li>Very few QI champions exist.</li> </ul>	<ul style="list-style-type: none"> <li>Problems are randomly or inconsistently addressed.</li> <li>Leadership and staff do not know where or how to access data.</li> <li>Decisions are made without use of data or evidence base.</li> <li>Simple, informal <i>elements</i> of QI exist (e.g., evaluation activities, some data collection).</li> <li>Resources and staff time allocated for QI are very limited.</li> <li>Redundancies and variations in processes are common.</li> </ul>

### Transition Strategies

The following strategies are intended to assist in moving LHDs from "Phase 1: No Knowledge of QI" To "Phase 2: Not Involved with QI Activities."

#### Leadership Commitment

- Leaders begin to seek out and dedicate additional human and financial resources for QI.
- Leaders incorporate QI into the organization's value statement and guiding principles.
- Leaders work with PM/QI Council to develop a plan for change management including timelines, costs, short- and long-term goals, communication and training plans, and implications for staff and stakeholders.

#### Employee Empowerment and Commitment

- PM/QI Council ensures basic performance management and QI trainings and resources for every level of staff.
- QI champions engage in training opportunities to enhance their knowledge and ability to lead QI efforts and offer technical assistance to staff.

### Where to Now?



### Next Phase

➔ Phase 3: Informal or Ad Hoc QI activities

### Previous Phase

➔ Phase 1: No Knowledge of QI

## The QI Roadmap

Phase 1: No Knowledge of QI

Phase 2: Not Involved with QI Activities

Phase 3: Informal or Ad Hoc QI activities

element of a QI culture, by the "Phases" in the QI Roadmap, or by the type of resource (e.g. template, training). Search for resources around a specific topic area (e.g. performance management, Aim Statement) by typing a keyword in the "Search" box below.

Exit Resources

Show  entries

Search:

Name ▲	Description ▲	Type ▲	Foundational Element ▲	Source ▲	Resource ▲
<a href="#">25 Frequently Asked Questions about Return on Investment</a>	Ideal for those learning about ROI, this article answers the most frequently asked questions.	Article	QI Infrastructure	ROI Institute, Inc.	Phase 4 Resources
<a href="#">Aim Statement Development Template</a>	This template guides through a series of questions to develop Aim statements for QI projects, defining what the project is intended to accomplish with short, intermediate, and long-term measures.	Template	Continuous Process Improvement	MCPP Healthcare Consulting, Inc.	Phase 3 Resources
<a href="#">American Society for Quality Certification</a>	As an agency gains more experience with QI, staff may need advanced training. ASQ offers 17 different certification exams that require varying levels of knowledge and experience. The "QI Associate" and "Quality Process Analyst" certifications are ideal for staff responsible for leading QI efforts.	Training	Employee Empowerment	American Society for Quality	Phase 3 Resources
<a href="#">ASQ Quality Tools Website</a>	Contains a list of useful quality tools, including tool descriptions, instructions for use, examples, and other materials for each tool.	Website	CPI	American Society for Quality	Phase 3 Resources
<a href="#">Baldrige Self-Assessment Tool</a>	Whether adopting the Baldrige framework for performance management, use this self-assessment tool to evaluate your agency's processes, their impact on results, and progress toward agency goals and objectives.	Template	QI Infrastructure	National Institutes of Standards and Technology	Phase 1 Resources
<a href="#">Change Management for Effective QI: A Primer</a>	This article describes methods to manage the introduction of change through QI.	Literature	Leadership	American Journal of Medical Quality	Phase 1 Resources

The QI Roadmap

- ❖ [Phase 1: No Knowledge of QI](#)
- ❖ [Phase 2: Not Involved with QI Activities](#)
- ❖ [Phase 3: Informal or Ad Hoc QI activities](#)
- ❖ [Phase 4: Formal QI Activities Implemented in Specific Areas](#)
- ❖ [Phase 5: Formal Agency-Wide QI](#)
- ❖ [Phase 6: QI Culture](#)

Related Content

- ❖ [Accreditation Preparation & Quality Improvement](#)
- ❖ [Local Health Departments Using QI](#)
- ❖ [NACCHO Exchange: Accreditation \(publication\)](#)
- ❖ [View or sign up for accreditNATION \(e-Newsletter\)](#)
- ❖ [Webinars](#)

# Organizational Culture of Quality Self-Assessment Tool

- Comprehensive assessment
- Based on the 6 foundational elements (20 sub-elements)
- Aligned with QI Roadmap
- Offers transition strategies based on results



## FOUNDATIONAL ELEMENT 5: QUALITY IMPROVEMENT INFRASTRUCTURE

### Overview

To build a culture of QI, infrastructure must be in place to ensure that QI efforts are aligned with every aspect of the organization including its mission, vision, and strategic direction and that QI is linked to organizational performance. Some assessment items in Sub-element 5.1 are based on the Turning Point Performance Management Self-Assessment, while others are similar in idea or concept.

### Sub-Elements

The following are components of a strong QI infrastructure:

**5.1 Strategic Planning** – The development and use of a resourced and actionable strategic plan.

**5.2 Performance Measurement and Use of Data**– The use of process, project, and organizational performance data & resulting measures to continually improve.

**5.3 Annual Quality Improvement Planning** – The development & use of a resourced and actionable annual quality improvement plan.

**5.4 Administrative and Functional Processes and Systems**– The organizational systems and processes that support and drive improvement (i.e.; HR, Finance, Legal, IT)

### Definitions of Terms

Refer to the following definitions of terms commonly referenced in this Foundational Element:

- **Administrative and Functional Processes:** The work processes and systems that support the daily operations of the organization such as HR, Finance, Legal, IT.
- **Leaders:** Anyone who directs the work of others, including senior managers, chiefs, directors, middle managers, and supervisors.
- **Performance Management System:** A fully integrated system for managing performance at all levels of an organization which includes: 1) setting organizational objectives across all levels of the department; 2) identifying indicators and metrics to measure progress toward achieving objectives on a regular basis; 3) identifying responsibility for monitoring progress and reporting; and 4) identifying areas where achieving objectives requires focused QI processes.
- **Performance Measures:** A quantitative tool to help understand, manage, and improve performance by providing insight into whether processes are in statistical control; whether goals are being achieved; where improvements are necessary; and if customers are satisfied. Performance measures are always tied to a goal or an objective and are composed of a number which gives a magnitude (how much), and a unit of measure which give the number a meaning (what).
- **QI Leader:** The QI Leader will lead, facilitate, and drive QI to success in the organization by providing focus and leadership. The responsibilities include QI education, adoption, planning, project execution, communication and change management, the sharing of learnings, and measuring QI results. (e.g., PIM, QI coordinator)
- **QI Leadership Team:** The organization leaders who are accountable for the success of the organization and QI. Their responsibilities include modeling the organization's values, establish the strategic and QI goals, objectives, and measures, and the achievement of those goals, and lastly the elimination of barriers. (e.g., PM Council)
- **SWOT Analysis:** A strategic planning method used to evaluate the Strengths, Weaknesses, Opportunities, and Threats and determine strategic objectives. Strengths: Characteristics of the business or project that give it an advantage over others; Weaknesses: are characteristics that place the team at a disadvantage relative to others; Opportunities: elements that the project could exploit to its advantage; Threats: elements in the environment that could cause trouble for the business or project. This analysis associates the internal and external data to develop strategies.
- **Value Stream:** The high level ("40,000 ft. view") of the flow of information and materials required to produce a product or service for a customer (typically within a single work unit or organization). Value Stream mapping and analysis is a fundamental method to identify opportunities for improvement. Value stream maps include the major process steps, informative data, how information flows and a timeline for delivering products or services.
- **Statistical Control:** The state of a stabilized process in which the process performances within the expect tolerances and only common causes of variation remain (all special causes of variation having been removed), as evidenced on a control chart by the absence of (1) data points beyond the control limits, and (2) non-random patterns of variation.

## FOUNDATIONAL ELEMENT 5: QI INFRASTRUCTURE

**Sub-Element 5.1: Strategic Planning**

Rate the following statements regarding the development and use of an actionable strategic plan.

	Strongly Disagree 1	2	3	4	5	Strongly Agree 6
<b>Strategic Planning Process</b>						
A strategic planning process results in an updated strategic plan every 3-5 years.	<input type="checkbox"/>					
The group responsible for implementing the organization's strategic planning process, or Strategic Planning Committee (SPC), conducts a stakeholder analysis to identify key stakeholders, and to understand their influence on the organization.	<input type="checkbox"/>					
The SPC includes or engages key stakeholders (internal & external), including the LGE.	<input type="checkbox"/>					
The strategic planning process identifies formal and informal mandates imposed on the agency.	<input type="checkbox"/>					
The strategic plan defines the organization's vision, mission, and values.	<input type="checkbox"/>					
The SPC conducts an environmental scanning process (e.g. SWOT Analysis) to determine the internal and external factors impacting the success of the agency.	<input type="checkbox"/>					
Strategic priorities are selected based on results from an environmental scanning process, customer and health assessments, and performance gaps.	<input type="checkbox"/>					
The agency strategic plan addresses priorities identified in the community health improvement plan (CHIP) for which the health department is responsible.	<input type="checkbox"/>					
Long term goals (3-5 years) and SMART objectives are identified for each strategic priority.	<input type="checkbox"/>					
<b>Strategic Plan Implementation</b>						
Specific strategies and interventions are developed for achieving strategic goals and objectives and incorporated into operational plans and employee work plans.	<input type="checkbox"/>					
Process, output, and outcome measures are monitored to assess progress against strategic goals and objectives.	<input type="checkbox"/>					
The strategic plan guides decision making on allocating resources to achieve strategic priorities.	<input type="checkbox"/>					

[Click here to access transition strategies for Sub-Element 5.1: Strategic Planning.](#)

FOUNDATIONAL ELEMENT	SUB-ELEMENT	SUB-ELEMENT SCORE	FOUNDATIONAL ELEMENT SCORE	SELECTED TRANSITION STRATEGIES TO IMPLEMENT DURING THIS PLANNING CYCLE	STRATEGY PRIORITY Level	EVIDENCE SUBSTANTIATING CURRENT SCORE
1. Employee Empowerment	1.1 Enabling Performance	2	2.5	Document work team member roles and requirements including those of the supervisor	High	No formal process to document roles and responsibilities
	1.2 Knowledge, Skills and Abilities	3				
2. Teamwork and Collaboration	2.1 Team Performance		#DIV/0!			
	2.2 Communities					
3. Leadership	3.1 Culture		#DIV/0!			
	3.2 Resourcing and Structure					
4. Customer Focus	4.1 Understanding the Customer		#DIV/0!			
	4.2 Satisfying the Customer through the Value Stream					
	4.3 Reprioritizing and Creating Programs and Services					



# NACCHO QI SELF-ASSESSMENT TOOL

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*San Diego's Approach in Using It*

Presented by

Tamara Bannan, MPH



# OVERVIEW OF PROCESS

- Reviewed the NACCHO Quality Improvement (QI) Self-Assessment Tool (SAT)
- Obtained input from Performance Management Committee
- Determined best method to implement
- Conducted eight sessions with each PHS branch and administration office



LIVE WELL  
SAN DIEGO

# SAT SESSION AGENDA



This agenda was used at each two-hour session

- Purpose and overview of NACCHO QI SAT
- Instructions for completing the scoring summary
- Overview of the foundational elements
- Score sub-elements
- Discuss next steps





## SUB-ELEMENT 1.1: ENABLING PERFORMANCE

Rate the following statement in blue regarding enabling employees for success in the organization from 1 to 6 (strongly disagree to strongly agree)

### Creating Expectations and Getting Feedback

- Defined job and QI related roles and expectations are understood by employees.
- Employees use performance measures and targets for problem solving and improvement in their work.
- Employees receive effective feedback on job performance on a regular basis.
- QI related goals are incorporated into the performance appraisal process.
- Employees are acknowledged and/or rewarded for their contributions and successes.

# INSTRUCTIONS PROVIDE TO STAFF



- Rate the main points shaded in blue from 1 to 6 (strongly disagree to strongly agree)
- Supporting statements alternately shaded below will be used as guidance
- Performance Management Core Team will average the scores for each sub-element across the entire PHS division and gather an overall score for the foundational element
- Scores will be used to determine the appropriate next steps for continuing to build a culture of quality

# SCREENSHOT OF SCORES



NACCHO QI SAT Scoring with Branches.xlsx - Microsoft Excel

		A	B	C	D	E	F	G	H	I	J	K	L	M	N	O
1	NACCHO QI SAT Scoring											Updated 3/13/2014				
2																
3		CCS	EISB	EMS	HSHB	MCFHS	PHN Admin	PHS Admin	TB	Average	Comments	Include in Workforce Development plan	Include in the QI Plan			
4	Foundational Element 1: Employee Empowerment and Commitment															
5	Sub-Element 1.1: Enabling Performance															
6	Creating Expectations and Getting Feedback	5	5	3	5	3	4	5	3	4.1	More on individual level and acknowledging staff; more SMART goals and objectives		More QI projects on contracts; Formal projects; Use Team Charters			
7	Providing Resources	4	6	2	5	4	3	5	4	4.1	IT barriers, especially with EHR (Electronic Health Records); Hard to receive data from					
8	Empowering Individuals and Teams	5	5	5	6	4	6	6	3	5.0						
9	Sub-Element 1.2: Knowledge, Skills, and Abilities															
												Develop				

NACCHO QI SAT Scoring Overall CCS EISB EMS HSHB MCFHS PHN PHS Admin TB

# NEXT STEPS

## BASED ON FINDING FROM THE SELF-ASSESSMENT

- Finalize QI Plan to meet PHAB requirements and use data in its development and revisions
- Develop specific goals for QI activities with SMART objectives
- Provide more learning opportunities
- Support collaboration across programs
- Include customer-focused data collection for improved service, especially for those with internal customers
- Include QI competencies in Workforce Development Plan
- Train and develop leadership in performance improvement



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