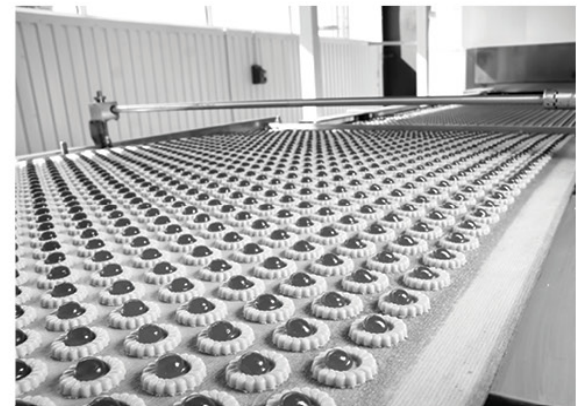INTERNATIONAL
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IFPTI Fellowship Cohort IV: Research Presentation
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2014-2015

Change Management Practices by State and Local Food Safety Regulatory Agencies

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Background

- Louisiana underwent a re-organization three years ago:
  - Lean Six Sigma:
    - Merged program responsibilities, implemented cross-training; multiple program inspection.
    - Objective: Increase efficiencies, eliminate redundancies, meet the greater demands of the state agency.

- Impetus for change:
  - Legislative action
  - Food safety program standardization
  - Federal-State cooperative agreements: MFRPS/VNRFRPS
  - FSMA—IFSS

Background (continued)

- Transition planning:
  - Transition: The process or period of changing from one state or condition to another.

  - A transition plan outlines the processes and steps to be followed during a period of change.
    - Example: Cross-training plan.

| Current state or condition
Single program inspection | **Transition**
Merging of programs/ cross-training | Future state or condition
Multiple program inspection |
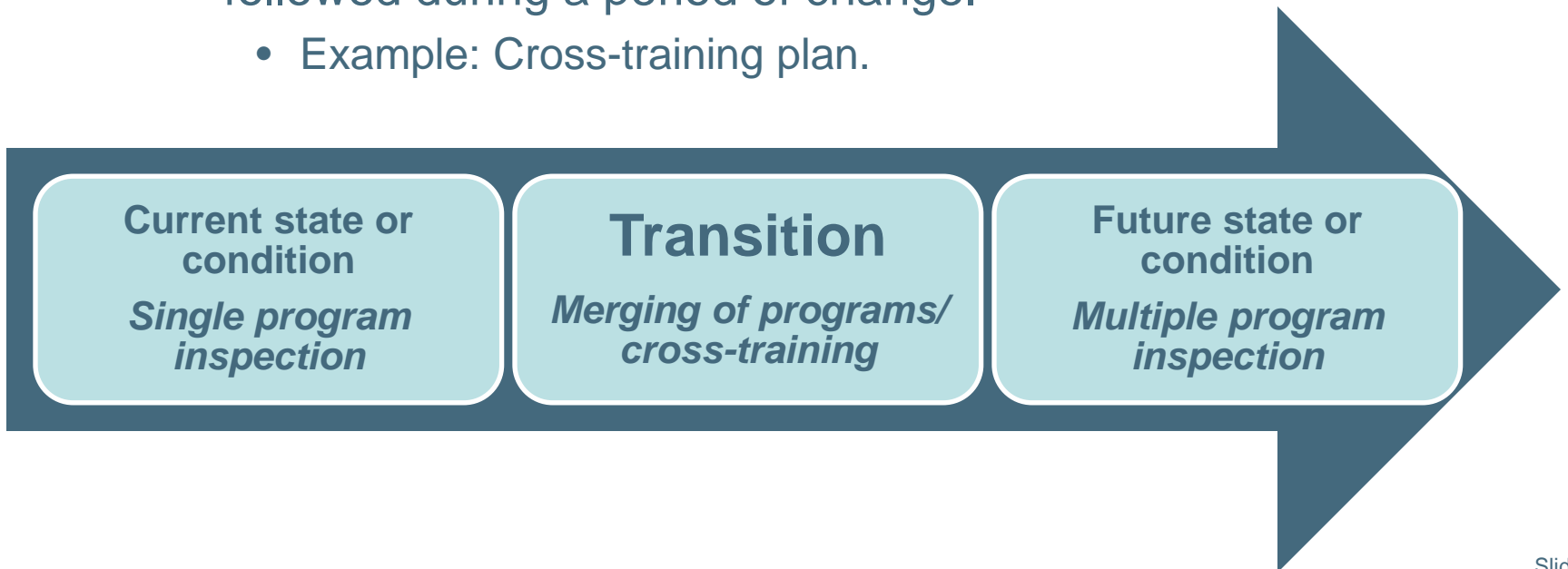
Background (continued)

Change management practices:

- The process by which the phases of transition are managed to ensure the desired outcome is achieved.

- The strategies used to facilitate organizational change initiatives and overcome resistance to change.

- A set of basic tools or structures to keep a change effort under control.

- Examples:
  - Communication plan
  - Corrective action plan, etc.

IFPTI Regulatory Food and Feed Laboratory Professionals Curriculum Framework

| Change Management | Training that focuses on structured approach to transitioning individuals, teams, and organizations from a current state to a desired future state. |

Problem Statement

- The extent to which change management practices are utilized within state and local food safety agencies is unknown.

Research Questions

1. Do state and local regulatory agencies prepare, communicate, and implement transition plans when change initiatives occur?

2. Is employee input allowed during the transition-plan development process?

3. Do transition plans address competencies identified for changes in work assignments, provide adequate training for the new competencies, and outline new employee responsibilities?

4. Do the transition plans have realistic timelines for implementation, are they effectively implemented, and are they the right solution for the change initiative?

Methodology

- **Developed exploratory survey:**
  - 9 questions; two-step process
  - Multiple choice and yes/no questions
  - 2 screening questions
  - Final question had nine (9) questions regarding transition planning

- **Data Collection:**
  - Online survey (SurveyMonkey, Inc.)
  - Response rate: 75/289 emails (26%)

- **Analysis:**
  - Data organization and refinement
  - Reported findings

Study Population

Population criteria:

- Full-time, state and local food safety employees

  – Excluded tribal and federal agencies

- Respondents experienced program transformations within the last ten years.

- Survey respondents were derived from the Association of Food and Drug Officials (AFDO) – Directory of State and Local Officials (DSLO)

Results

- 71 of the 75 participants were state or local food safety employees; 4 were screened out of the survey.

- A total of 66 respondents were statistically analyzed; 5 skipped the Dept. Affiliation question (4 were previously removed).
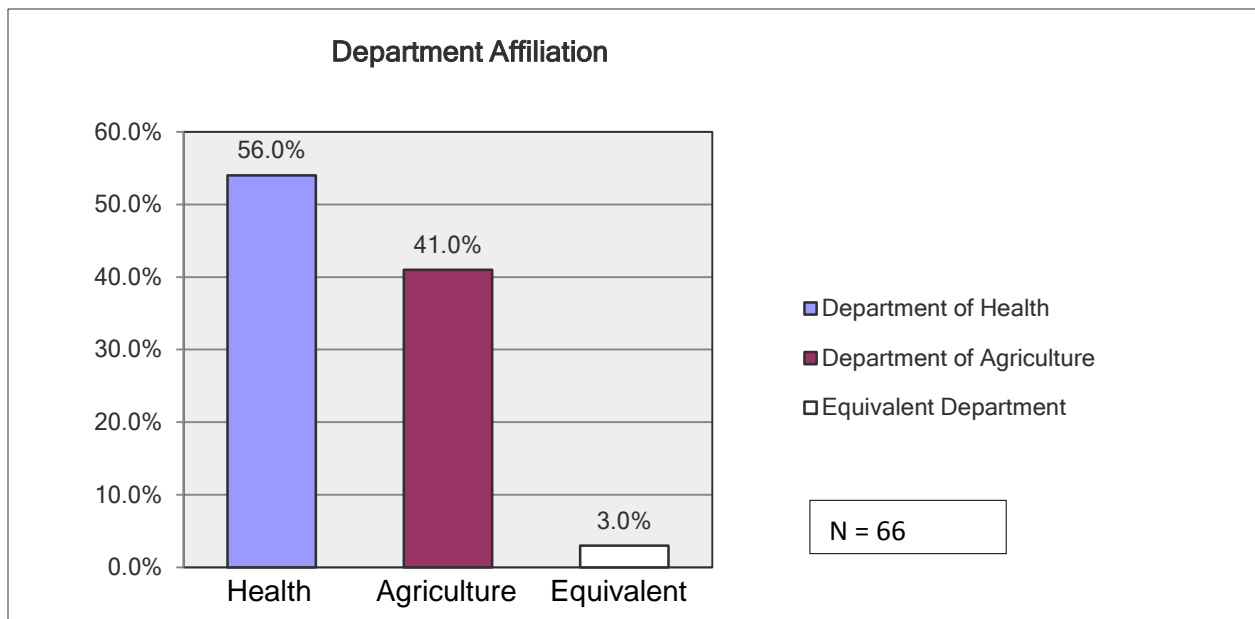
Results (continued)

- Of the 66 identified respondents, 51% were familiar with the term "change management."

- 49 (74%) of the 66 respondents had undergone program reforms/change initiatives within the last 10 years.

Are you familiar with the term "change management"?

49%   51%

☐ Yes ☐ No

N = 66

Has the your food safety program undergone change initiatives within the last 10 years?

26%   74%

☐ Yes ☐ No

N = 49
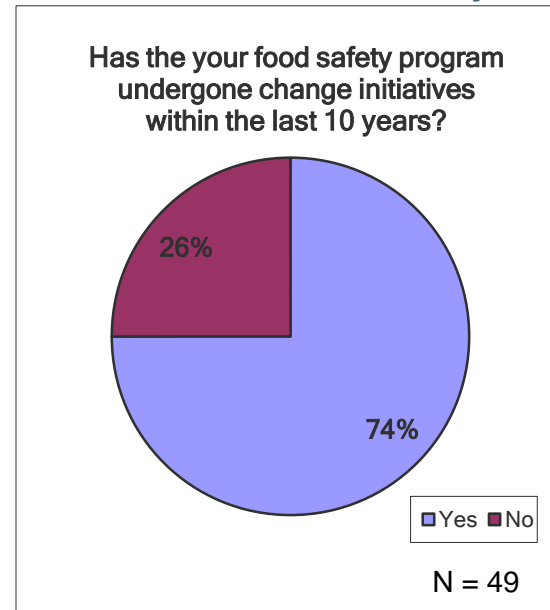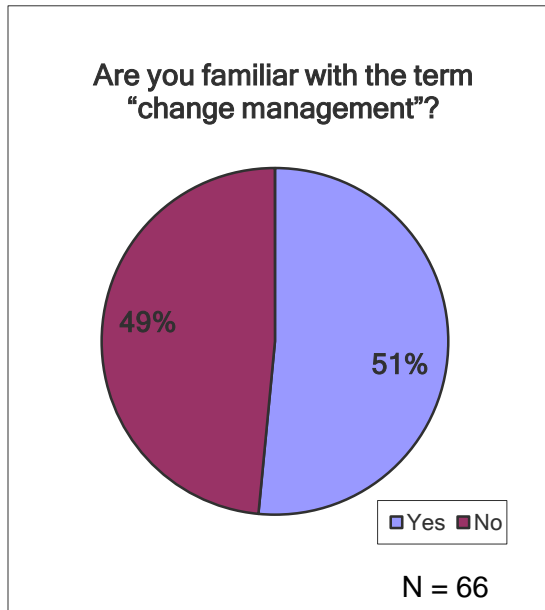
Results (continued)

- The 49 respondents were asked a series of questions about their experience of the program changes within their agency; 42 answered and 7 skipped.

- The table in the next slide shows the responses to these questions.
  - 42 respondents continued with the survey.

Results (continued)

N = 42

Topics Addressed by the Transition Plan	Responses			
	Yes	No	Unsure	N/A
Was provided by upper management?	40%	38%	10%	12%
Was explained and communicated?	46%	26%	7%	21%
Was effectively implemented?	43%	26%	12%	19%
Allowed for employee input?	43%	31%	7%	19%
Addressed the core competencies required of the changes in work assignments?	48%	21%	10%	21%
Provided adequate training for the new competencies required?	52%	21%	7%	19%
Outlined new employee responsibilities?	48%	19%	12%	21%
Timeline for implementation was realistic?	36%	26%	17%	21%
Was the right solution for the identified problem(s)?	50%	12%	19%	19%

Results (continued)

In summary, the results of the study show that:

- 51% of the survey respondents were familiar with the term "change management."

- 74% of those surveyed worked in programs that had undergone transformations in the last 10 years.

- Most of the respondents believed that transition plans were provided, communicated, effective, and the right solution for the change initiative.

Conclusions

- The survey results suggest that change management practices may be present.

- However, whether or not these practices coincide with successful change initiatives and transition plan implementation is unclear.

Recommendations

1. State and local agencies should prepare, communicate, and implement transition plans during change initiatives.

Topics Addressed by the Transition Plan	Responses			
	Yes	No	Unsure	N/A
Was provided by upper management?	40%	38%	10%	12%
Was explained and communicated?	46%	26%	7%	21%
Was effectively implemented?	43%	26%	12%	19%

2. Impacted employees should be given the opportunity to provide input and feedback.

Topics Addressed by the Transition Plan	Responses			
	Yes	No	Unsure	N/A
Allowed for employee input?	43%	31%	7%	19%

Recommendations (continued)

3. Transition plans should outline the core competencies of new work assignments and employee's roles and responsibilities.

Topics Addressed by the Transition Plan	Responses			
	Yes	No	Unsure	N/A
Addressed the core competencies required of the changes in work assignments?	48%	21%	10%	21%
Provided adequate training for the new competencies required?	52%	21%	7%	19%
Outlined new employee responsibilities?	48%	19%	12%	21%

Recommendations (continued)

4. As transition plans are implemented, upper management and leadership should ensure change management practices are exercised.

5. The effectiveness of transition plans should be evaluated once employed to maximize efficiency and ease of future transition.

Topics Addressed by the Transition Plan	Responses			
	Yes	No	Unsure	N/A
Timeline for implementation was realistic?	36%	26%	17%	21%
Was the right solution for the identified problem(s)?	50%	12%	19%	19%

Why Is Change Management Important?

Return on Investment (ROI)

- *"*Helping Employees Embrace Change*," McKinsey Quarterly, (LaClair & Rao, 2002)*:
    - Change programs were studied at 40 organizations, including banks, hospitals, manufacturers, and utilities.
    - 11 of the most successful companies had Organizational Change Management Programs and an **ROI of 143%.**
    - 11 of the companies that had problems at several levels and did not have a Organizational Change Management Program only had a **ROI of 35%.**
- John P. Kotter, Change Management Expert:
    - 30 years of research has proven "that 70% of all major change efforts in organizations fail."

Why Is Change Management Important to Food Safety?

- **Sustainability** of Cooperative Agreement Programs
  - MFRPS, VNRFPS, and RRTs

- IFSS – Integrated Food Safety System
  - "If change is going to happen, its going to happen at the state level"; Bill Eggers, *A Window of Opportunity for New State Leaders*, November, 22, 2006.

- FSMA – Food Safety Modernization Act
  - New training requirements; Implementation

- Return on Investment (ROI)

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- IFPTI Cohort IV Fellows

"Change is the norm and its velocity is increasing."
Bill Eggers, *A window of Opportunity for New State Leaders*, November, 22, 2006.

Questions?

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