

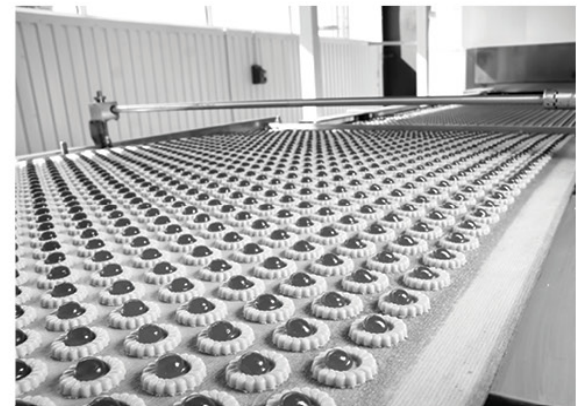
INTERNATIONAL FOOD PROTECTION TRAINING INSTITUTE



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IFPTI Fellowship Cohort IV:
Research Presentation
Tessa R. Dixon, MBA, RS
2014-2015



Change Management Practices by State and Local Food Safety Regulatory Agencies

Tessa R. Dixon, MBA, RS

IFPTI 2014-2015 Fellow

Louisiana Department of Health and Hospitals

Office of Public Health

Sanitarian Services

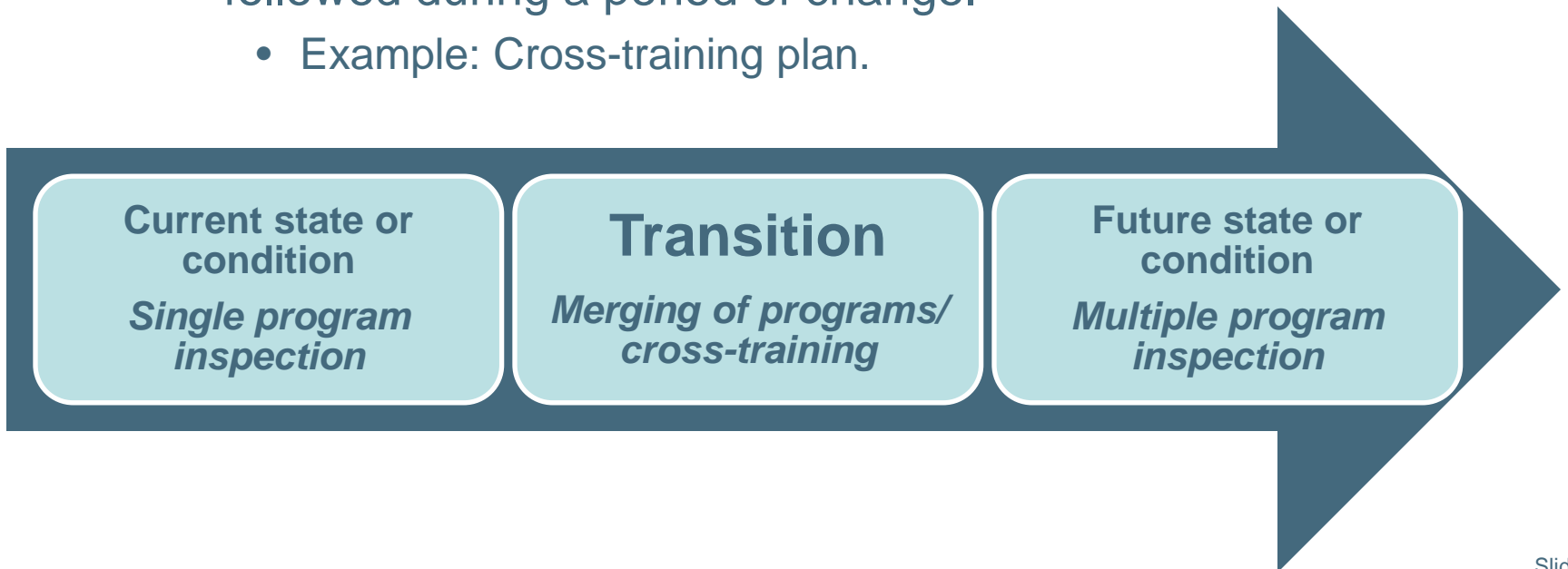
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Background

- 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.



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

Senior / Administrator Level 4500	4600	MC7 Certificates & Certifications (CC)																																		
	4500	Advocacy (AV)	Budget (BL)	Conflicts of Interest (CO)	Health Management (HM)	Laboratory Affairs (LA)	Occupational Safety (OC)	Public Health (PH)	Program Grant Management (PG)	Reg. Analysis (Management & Certification) (RM)	Statistical Support (SS)	Systems Analysis (SA)	Accreditation/Certification (AC)	Change Management (CM)	Emerging Issues (EI)	Human Resource Management (HR)	Information Organization for Distribution (IO) (Section 6) (IN)	Public Relations (PR)	Leadership/Executive Program (LE)	Instructor Development (ID)	Project Management (PE)	Integrated Food Safety System (IFSS) Implementation (IS)	Emerging Issues (EI)	Emerging Technology (ET)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)								
Supervisor/ Manager Level 4000	4400	MC2 Certificates & Certifications (CC)														MC3 Certificates & Certifications (CC)																				
	4300	Advanced Chemistry (AC)							Advanced Microbiology (AM)							Advanced Microbiology (AM)							Advanced Microbiology (AM)													
4200	Conflict Resolution and Mediation (CR)							Incident Command Systems (ICS) (IC)							Negotiation (NG)							Risk Communication Introduction (RC)														
Expert Level 3000	3600	MC2 Certificates & Certifications (CC)																																		
	3500	Feed (FE)	Food (FO)	Shellfish (SF)	Animal Health (AH)	Feed (FE)	Food (FO)	Shellfish (SF)	Instrument Repair (IR)	Laboratory Evaluation Officer (ELO) (LE)	Metrology (ME)	Nanotechnology (NA)	Validation Methods (VM)	Microbiology (MV)	Integrated Food Safety System (IFSS) Implementation (IS)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)							
	3400	MC2 Chemistry Concentration (CC)														MC3 Microbiology Concentration (MC)																				
	3300	Added Foods (AF)	Allergens (AL)	Evidence-based Decision Making (EM)	Grant Writing (GW)	Internal Audit (IA)	Labeling (LR)	Measurement Uncertainty (MU)	Method Modification/Development (MD)	Risk Analysis (RA)	Chemistry (CV)	Microbiology (MV)	Validation Methods (VM)	Microbiology (MV)	Integrated Food Safety System (IFSS) Implementation (IS)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)	Emerging Issues (EI)							
	3200	MC2 Chemistry Concentration (CC)														MC3 Microbiology Concentration (MC)																				
Mid-level 2000	2600	Animal Health (AH)	Dairy (DA)	Feed (FE)	Food (FO)	Shellfish (SF)	Animal Health (AH)	Dairy (DA)	Feed (FE)	Food (FO)	Shellfish (SF)	Animal Health (AH)	Dairy (DA)	Feed (FE)	Food (FO)	Shellfish (SF)	Animal Health (AH)	Dairy (DA)	Feed (FE)	Food (FO)	Shellfish (SF)	Animal Health (AH)	Dairy (DA)	Feed (FE)	Food (FO)	Shellfish (SF)	Animal Health (AH)	Dairy (DA)	Feed (FE)	Food (FO)	Shellfish (SF)					
	2500	Gas Chromatography-Mass Spectrometry (GCMS) (GC)	Hazardous Material Shipping (HM)	Inductively Coupled Plasma Mass Spectrometry (ICPMS) (IC)	Liquid Chromatography (LC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)				
	2400	Critical Thinking (CT)	Epidemiology, Foodborne Illness Investigation, & Response (EP)	Evidence Management (EM)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)	Integrated Food Safety System (IFSS) (IF)					
	2300	Gas Chromatography-Mass Spectrometry (GCMS) (GC)	Hazardous Material Shipping (HM)	Inductively Coupled Plasma Mass Spectrometry (ICPMS) (IC)	Liquid Chromatography (LC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)	Chemistry Concentration (CC)				
Entry Level 1000	1900	MC1 Certificates & Certifications (CC)																																		
	1800	Animal Health Certification (AN)	Dairy Certification (DC)	Environmental (EN)	Feed (FE)	Food (FO)	Shellfish Certification (SC)	Radical (RA)	Animal Health (AH)	Dairy (DA)	Environmental (EN)	Feed (FE)	Food (FO)	Shellfish Certification (SC)	Radical (RA)	Animal Health (AH)	Dairy (DA)	Environmental (EN)	Feed (FE)	Food (FO)	Shellfish Certification (SC)	Radical (RA)	Animal Health (AH)	Dairy (DA)	Environmental (EN)	Feed (FE)	Food (FO)	Shellfish Certification (SC)	Radical (RA)	Animal Health (AH)	Dairy (DA)	Environmental (EN)	Feed (FE)	Food (FO)	Shellfish Certification (SC)	Radical (RA)
	1700	Animal Health (AH)	Dairy (DA)	Environmental (EN)	Feed (FE)	Food (FO)	Shellfish (SF)	Radical (RA)	Animal Health (AH)	Dairy (DA)	Environmental (EN)	Feed (FE)	Food (FO)	Shellfish (SF)	Radical (RA)	Animal Health (AH)	Dairy (DA)	Environmental (EN)	Feed (FE)	Food (FO)	Shellfish (SF)	Radical (RA)	Animal Health (AH)	Dairy (DA)	Environmental (EN)	Feed (FE)	Food (FO)	Shellfish (SF)	Radical (RA)	Animal Health (AH)	Dairy (DA)	Environmental (EN)	Feed (FE)	Food (FO)	Shellfish (SF)	Radical (RA)
1600	Basic Chromatography (BC)	Basic Mass Spectrometry (MS)	Chemical Fume Hood (FH)	Separation Techniques (ST)	Aspiric Techniques (AT)	Basic Microbiology (BM)	Immunosorbent Assay (ELISA) (IA)	Basic Polymerase Chain Reaction (PCR) (PC)	Biosafety Cabinet (BC)	Culture (CU)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	
1500	Accreditation/Certification (AC)	Communication Skills (CS)	Basic Laboratory Math (BL)	Basic Laboratory Statistics (LS)	Chain of Custody (CH)	Ethics (ET)	Incident Command Systems (ICS) (IC)	Integrated Food Safety System (IFSS) (IF)	Laboratory Information Management System (LIMS) (LI)	Method Resources (MR)	Public Health Principles (PH)	Quality Management System (QA)	Regulatory Programs (RP)	Regulatory Sampling (RS)	Safety (SA)	Sample Handling (SH)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)	Waste Management (WM)		

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

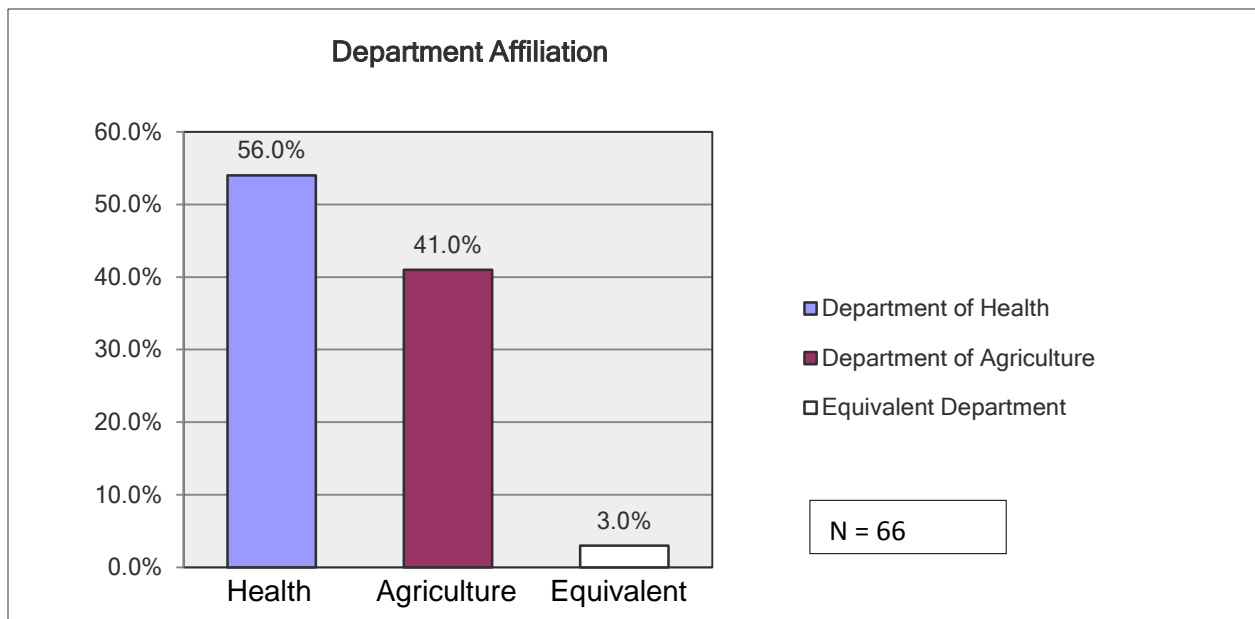
Study Population

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)

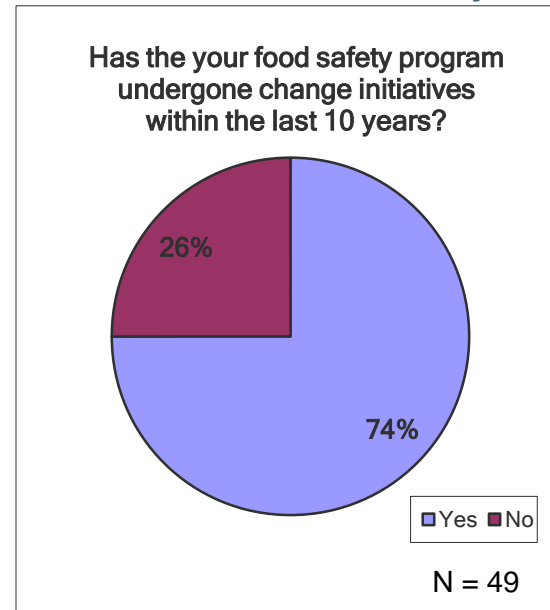
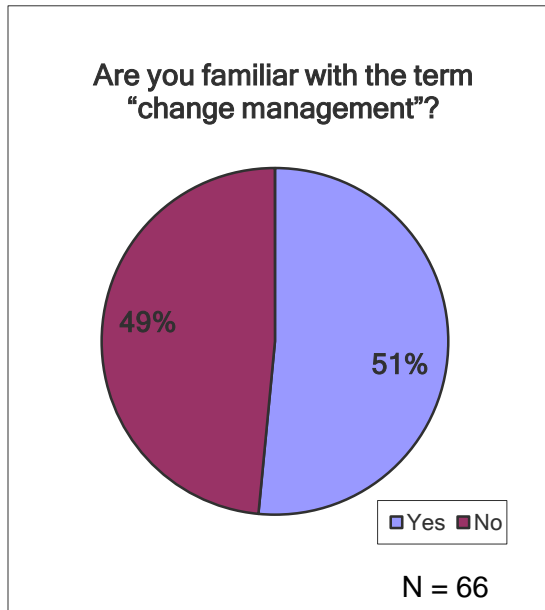
Results

- 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.



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)

- 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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 - Lance Broussard, LADHH, Chief of Specialty Operations
 - Brian Warren, LADHH, Food & Drug Unit Program Manager
- U.S. Food and Drug Administration (FDA)
 - Tressa Madden, MFRPS Standards Implementation Staff
- 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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