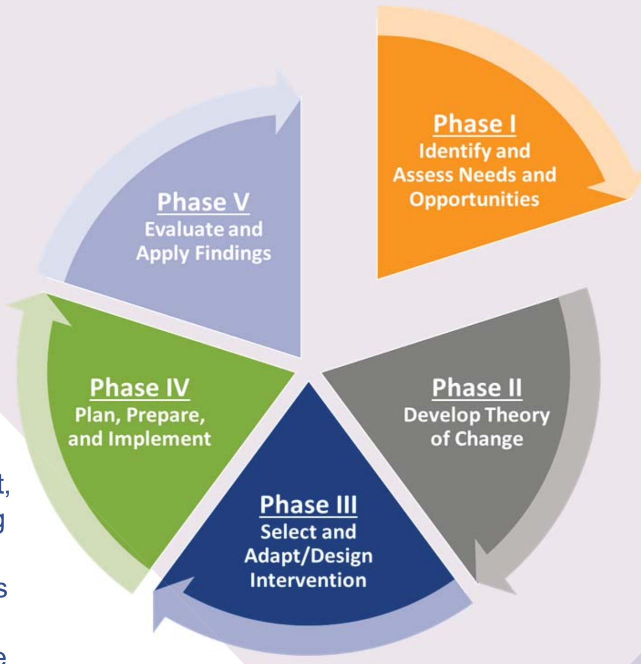
Capacity Building
CENTER FOR COURTS

CQI Quick Sheet

Change Management
Phase I: Identifying and Assessing Needs



Phase I: Assessing Needs

The first phase in any project is identifying what your need is. This is a critical information gathering phase that will inform all future stages of the work. This phase has three steps related to it, including (1) the preliminary identification of the need, (2) forming teams to guide the change process, and (3) gathering data to explore the problem in more depth (digging deeper). These steps are not necessarily linear in nature. For example, data may be gathered before the team is formed, but the team may review the data and identify further data sources of interest or additional data that needs to be gathered and examined.

Step 1 - Identify a need or opportunity to be addressed

The primary purpose of this step is to frame and define the need or opportunity.

In this step, you should consider what is known about the need, what information you have that makes you think it is a need, who is affected and what else do you need to know. A few specific tasks or milestones are offered below. Milestones are indicators of success for the step. It may not be necessary to achieve every milestone in order to successfully move your work forward.

Primary tasks or milestones of this step include:

[ ] The need is identified
[ ] The initial goal/outcome is identified
[ ] Initial readiness (to examine need) is assessed

Identify a need or opportunity

Form teams to guide the change process

Gather data and explore the problem

Step 2 - Form teams to guide the change process.

The purpose of this step is to build a team to guide the change process, facilitate communication, and perform necessary tasks.

Often CIP Collaborative committees or sub-committees might be in place already to focus on the need. Consider what is the purpose of team and who needs to be on it to make decisions and perform tasks.

Specific tasks/milestones for this step include:

[ ] Establish a team/teaming structure
[ ] Document the team purpose, authority, and membership roles
[ ] Establish team decision-making protocols

Step 3 - Gather data and explore the problem in depth (Dig Deeper)

The purpose of this step is further clarify the identified need and gather addition data to support information gathered in previous step.

Some questions to consider include what data sources can be used to identify the need or outcomes of interest, what story does the data tell, and who is most affected.

Specific tasks/milestones associated with this step include:

[ ] Create a plan to explore the need (using qualitative and quantitative data)
[ ] Obtain existing data and additional data about sources (as applicable and available) about need
[ ] Analyze data to determine root cause(s)
[ ] Review data findings with key stakeholders to better understand need
[ ] Determine if data analysis are sufficient to explain the need (or if more data should be collected)

How do I know I have successfully completed phase 1?

You can move past this phase when you are confident that you have all the data you can get regarding the need or opportunity, you have discussed what the data mean with your team, and **you are able to identify a potential root cause for the problem.**

Phase I Resources

Identifying the problem. If you are struggling with identifying the problem, check out the *Children's Bureau's Guide to Developing, Implement, and Assessing an Innovation* Volume 2. There is a worksheet starting on Page 14 that can guide you through some specific questions about identifying the problem and the target population. The document is available online at https://www.acf.hhs.gov/sites/default/files/cb/guide_vol2_exploration.pdf

Forming Teams- The Children's Bureau's *Guide to Developing, Implementing and Assessing an Innovation* volume 1 has several resources that can help in thinking through team development. The entire guide is available here: https://www.acf.hhs.gov/sites/default/files/cb/guide_vol1_teaming.pdf There is an interesting guide on team elements starting on page 11.

Digging deeper - To dig deeper and identify a root cause, consider tools like the Fishbone (Ishikawa) Diagram for Root Cause Analysis, which combines brainstorming with a mind map to help you consider all possible causes. More information on the tool can be found here: http://www.isixsigma.com/tools-templates/cause-effect/cause-and-effect-aka-fishbone-diagram/

Tip: The Capacity Building Center for Courts can provide additional resources.