

# Leading Change, Transition & Transformation



## A Guide for University Staff

# Contents

1. Purpose of the 'How To' Guide.....	3
2. Who is the Guide For and Why Use it?.....	3
3. Understanding Organisational Change.....	3
• Introduction.....	4
• What is Change Management.....	4
• What are the differences between change and transition?	
• What is transformation?	
• Leading and managing change	
• Why is organisational change difficult to accomplish?	
4. Kotter's Eight-Stage Process for Creating Major Change.....	7
5. Bridge's Three Phases for Managing Transition .....	9
6. The Project Management Approach to Change Projects.....	11
7. Managing Performance During Times of Change.....	19
8. Further Reading.....	20

## **PURPOSE OF THE 'HOW TO' GUIDE**

The purpose of this guide and accompanying online resources is to provide University staff with an overview of 'best practice' change management methodologies, research, readings and guiding pro formas.

This guide does not attempt to reproduce the many informative texts written on change management, transition and transformation. The follow-up reading is also strongly advised as it informs much of the change management and transition processes undertaken in the University of Adelaide.

The guide identifies the differences between managing the process of change and leading people through transitions. It describes the University's preferred process model of change which is John Kotter's Eight-Stage Process for Creating Major Change. The importance of transition management is also addressed by the inclusion of William Bridges' Three Phases for Managing Transitions. The guide then goes on to explain the practical implementation of these methodologies through the project management approach and key factors for success. The guide thus provides an overview of the 'nice to know' theory and intermixes it with the 'have to know' practical tools and project management methodology in managing a complex change program.

The practical steps discussed in this guide are designed to ensure that change management is carried out in a way that actively demonstrates the University of Adelaide's values of:

- Pursuing excellence in all that we do;
- Acting with fairness, integrity and responsibility;
- Respecting the rights and responsibilities of freedom of inquiry and expression;
- Engaged with the local community; and,
- Encouraging innovation, creativity and breadth of vision.

## **WHO IS THE GUIDE FOR AND WHY USE IT?**

This guide is intended for all staff engaged in or facing change. It is recognised that even with the best of intentions, leaders and managers of change initiatives can sometimes overlook elements of the change process. This can result in workplace dissatisfaction and industrial action which could impede the University from achieving its ultimate mission of being an internationally recognised, great research University and an Australian leader in research and teaching excellence.

This guide provides a toolkit to assist any change leader or manager to consider the necessary factors, steps and processes required to implement successful change.

## **UNDERSTANDING ORGANISATIONAL CHANGE**

*"The rate of change is not going to slow down anytime soon. If anything, competition in most industries will probably speed up even more in the next few decades"*

John P. Kotter

## INTRODUCTION

Organisational change is often stimulated by a major external force, for example, substantial cuts in funding, decreased market opportunity and dramatic increases in services. Typically, organisations undertake technical, structural or strategic shifts in the organisation to evolve to a different level in their life cycle, for example changing from a highly reactive organisation to a more stable proactive environment.

Key changes the University of Adelaide is facing include those presented by the competitive positioning against the Group of Eight (Go8) as well as other national and international universities, reviews in the Tertiary Sector, the global economic outlook, increased competition for research dollars, upcoming challenges, increased competition from international markets and additional external drivers. In responding to these changes the University of Adelaide must necessarily change and improve the way we deliver educational and research services to meet the needs of our students and community.

It is not only the University of Adelaide that is facing substantial change; many organisations are undergoing a radical process of transformation. Education and the media are transforming the expectations of the workforce, so that many employees are seeking different rewards from work and different kinds of relationships from those at work.

To manage within the changing environment, the University of Adelaide must adapt, and adaptation means change. We cannot just replicate yesterday's practices and expect to achieve the success we have had in the past. Yesterday's assumptions and practices may no longer be valid and may no longer work. Consequently, if we are to maintain our competitive advantage, deliver on strategic objectives, and attract and retain the brightest minds, we must respond to new circumstances in a proactive, measured and agile manner.

*"We cannot solve today's problems with the same level of thinking that created the problems in the first place."*  
Albert Einstein

## WHAT IS CHANGE MANAGEMENT



Change management is a set of processes employed to ensure that significant changes are implemented in a controlled and systematic manner.

One of the goals of change management is the alignment of people and culture with strategic shifts in the organisation, to overcome resistance to change in order to increase engagement and the achievement of the organisation's goal for effective transformation.

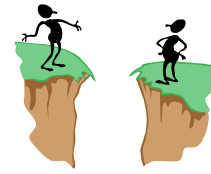
Achieving sustainable change begins with a clear understanding of the current state of the organisation, followed by the implementation of appropriate and targeted strategies. The focus of change management is on the outcome the change will produce – the NEW arrangements that must be understood. Change processes usually apply to a task and/or structural change, and can be either:

- Incremental or Transformational

- Situational

A comprehensive change management strategy should lead to the desired objectives and create a sense of ownership, enable sustained and measurable improvement and build capability to respond to future change.

What are the differences between change and transition?



William Bridges (2003:3) explains there are significant differences between change and transition. Change is the way things will be different, and transition is how you move people through the stages to make change work.

Change is a shift in the externals of any situation, for example, setting up a new program, restructuring a business, moving to new location, or a promotion. By contrast, transition is the mental and emotional transformation that people must undergo to relinquish old arrangements and embrace new ones<sup>1</sup>.

There are other distinctions too. Change is made up of events, while transition is an on-going process. Change is visible and tangible, while transition is a psychological process that takes place inside of people. Change can happen quickly, but transition, like any organic process, has its own natural pace. Change is all about the outcome we are trying to achieve; transition is about how we'll get there and how we'll manage things while we are en route. Getting people through the transition is essential if the change is actually to work as planned.

It is important to ensure that change management strategies are driven by the changes that need to occur, but not to lose focus on the more personal transition activities needed to ensure the success of the program.

What is transformation?



Transformation occurs as a result of a well-orchestrated and well-led change strategy and transition plan. The result is a metamorphosis to the desired state in which there is a deep seated adoption of the changes and the associated values, principles and/or processes. This leads to an embedded, and marked, change in organisational culture and reinforces a journey of continuous improvement.

Leading and managing change

The implementation of any significant change process usually succeeds or fails because of the leadership of that change process.

Management as a discipline focuses on processes and systems that keep the operations of the University operating smoothly, while leadership engages people to create, adapt and meet the demands of the anticipated future.

Management plays an essential part in making the changes happen; it empowers the 'doing'. Leadership inspires the transition, it is what energises people and sustains a

change in behaviour and approach. Leadership engages the hearts and minds of staff.

Leading strategy differs from managing operations. Leadership and management are two distinct and complimentary systems of action. Each has its own function and characteristic activities (Kotter, 1999:51).The table below outlines some of the characteristics essential to driving significant change initiatives at the University of Adelaide.

Managers	Leaders
<ul style="list-style-type: none"> <li>✓ Implement the vision</li> <li>✓ Plan, budget and organise the team</li> <li>✓ Maintain order and system</li> <li>✓ Manage the impact of change</li> <li>✓ Measure day-to-day</li> <li>✓ Control and problem solve</li> <li>✓ Contribute to teams</li> <li>✓ Seek step-by-step improvement</li> </ul>	<ul style="list-style-type: none"> <li>✓ Create the vision</li> <li>✓ Align people and inspire them</li> <li>✓ Create and build processes</li> <li>✓ Create change proactively</li> <li>✓ Keep the values visible</li> <li>✓ Collaborate</li> <li>✓ Motivate and inspire</li> <li>✓ Keep a helicopter view</li> <li>✓ Continue to challenge the status quo</li> </ul>

Why is organisational change difficult to accomplish?

McKinsey & Co (2006), Shaffer & Thomson (1998), and Corporate Leadership Council (CLC, 2001) site studies of hundreds of companies that entered significant change programs. Their research indicates that 60% -70% of significant and complex change management programs grind to a halt because of their failure to produce the hoped-for results. The research identified that failure isn't necessarily due to poor technical solutions; it was the result of poor project planning and change management.

Generally speaking, organisations face strong resistance to change. People are afraid of the unknown, many think things are fine the way they are and don't understand the need for change. Recognising the need to change, and acting on it, can be difficult decisions for leaders and managers to make.

Managers are taught to manage processes and resources effectively. Change however requires the 'management' of people's anxiety and confusion, or conversely their excitement and engagement. These are emotions that most managers find difficult to deal with or address. Managing the change process and transition emotions is fundamental to the success of a change oriented project.

Many people are inherently cynical about change, many doubt there are effective means to accomplish major organisational change. Often there are conflicting goals within the organisation, for example, increasing resources to accomplish goals yet cutting costs to remain viable. Organisational change often goes against the very

values held dear by people, that is, the change may go against how they believe things should be done or diminish ownership of 'how we do things around here'.

Resistance is a natural defence mechanism for those 'losing' something. The closer we are to something or someone, the greater the grief or loss. Reasons for resisting change are varied. The reasons could include perceived loss of security, money, pride or satisfaction, friends, freedom, responsibility, authority, good working conditions, status, lack of respect, objectionable manner, negative attitude, personal criticism, not having had input, bad timing, challenge to authority or second hand information.

## KOTTER'S EIGHT-STAGE PROCESS FOR CREATING MAJOR CHANGE



There are several models available to understand, frame thinking and help lead change. One of the pre-eminent thinkers in change management is John P. Kotter who teaches leadership at Harvard Business School. The University of Adelaide has adopted Kotter's Eight-Stage Process for Creating Major Change. Each step acknowledges a key principle identified by Kotter relating to people's response and approach to change, in which people see, feel and then embrace change. Kotter holds that "the methods used in successful transformations are all based on one fundamental insight: that major change will not happen for a long list of reasons" (Kotter, 1996:21). Kotter's process is designed to address this "long list of reasons" and is illustrated below. Possible tools of 'how to' work through the various aspects of Kotter's model are added for your interest.

### 1. Establishing a Sense of Urgency

- ✓ Help others see the need for change and the importance of acting immediately
- ✓ Examining the market and competitive realities ([SWOT matrix](#))
- ✓ Identifying and discussing (potential) crises



### 2. Creating the Guiding Coalition

- ✓ Make sure there is a powerful group guiding the change, one with leadership skills, bias for action, credibility, communication skills and authority and analytical skills
- ✓ Building teams and forming influential guiding coalitions
- ✓ Assemble a group powerful enough to lead & influence the change
- ✓ Getting the group to work together like a team ([5 stages in team development](#))



### 3. Developing a Vision and Strategy

- ✓ Clarify how the future will be different from the past, and how you will make the future a reality
- ✓ Creating a vision to help direct the change effort
- ✓ Getting the vision and strategy right ([Vision building](#))
- ✓ Developing strategies to achieve the vision



#### **4. Communicating the Change Vision**

- ✓ Make sure as many others as possible understand and accept the vision and the strategy
- ✓ Using every vehicle possible to constantly communicate the new vision and strategies (Communication [Strategy & Plan](#), [Storytelling Tool](#))
- ✓ Have the guiding coalition role model the behaviour expected of staff



#### **5. Empowering Broad-Based Action**

- ✓ Remove as many barriers as possible so that those who want to make the vision a reality can do so
- ✓ Enabling others to act on the vision by getting rid of obstacles, encourage risk taking
- ✓ Altering systems or structures that undermine the change vision



#### **6. Generating Short-Term Wins**

- ✓ Create some visible, unambiguous successes as soon as possible
- ✓ Planning for and generating short term wins / improvements in performance
- ✓ Creating those wins
- ✓ Recognising and rewarding those people who make wins possible ([Reward and recognition guidelines](#))



#### **7. Consolidating Gains and Producing More Change**

- ✓ Press harder and faster after the first success
- ✓ Not letting up, consolidating improvements and sustain the momentum for change
- ✓ Use increasing credibility to change all systems, structures and policies that don't fit together and don't fit the transformation effort
- ✓ Hiring, promoting and developing people who can implement the change vision
- ✓ Reinvigorating the process with new projects, themes and change agents



#### **8. Anchoring New Approaches in the Culture**

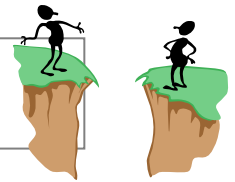
- ✓ Hold on to the new ways of behaving, and make sure they succeed until they become a part of the very culture of the group
- ✓ Creating better performance through customer and productivity oriented behaviour, more and better leadership, and more effective management
- ✓ Articulating the connections between new behaviours and organisational success
- ✓ Developing means to ensure leadership development and succession

(Kotter, 1996:21)



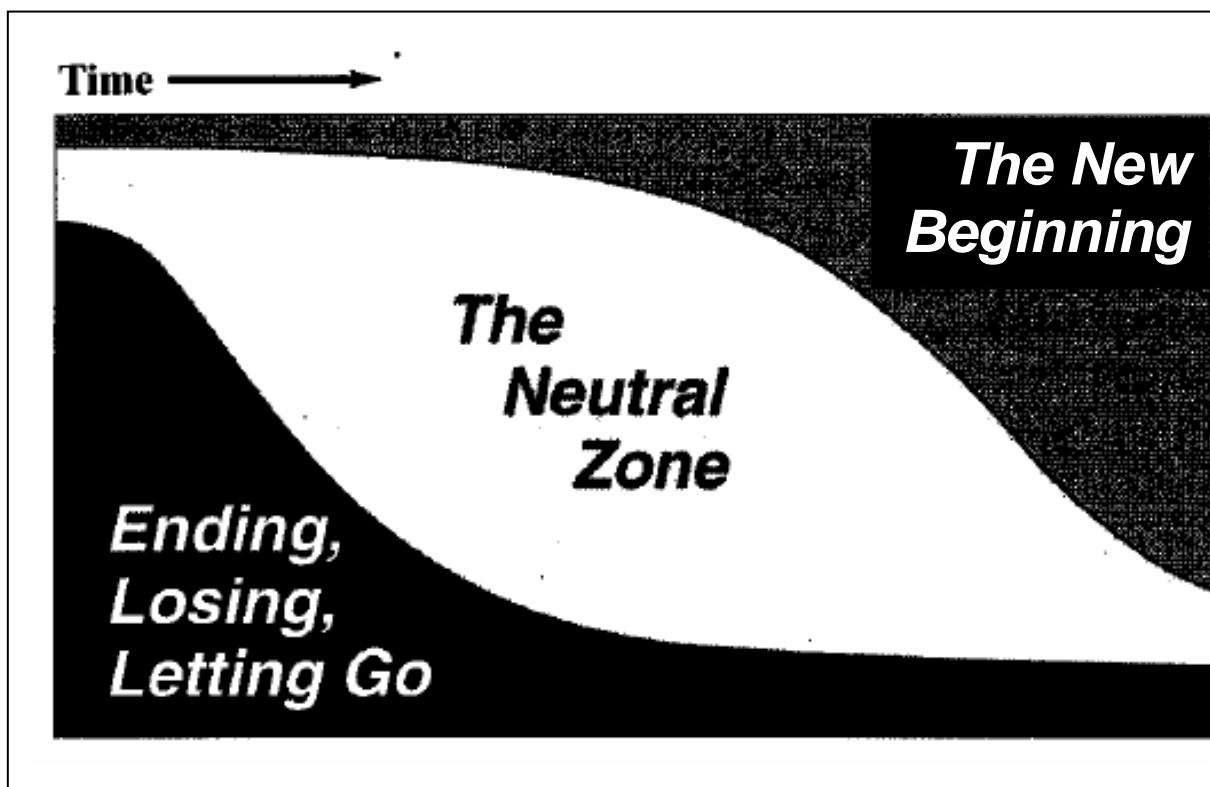
## BRIDGE'S THREE PHASES FOR MANAGING TRANSITIONS MODEL

*"It isn't the changes that do you in, it's the transitions!"*  
Anonymous



There are several models available to guide thinking on how people cope with the emotive cycle of change. William Bridges, PhD, was formerly a Professor of English, a consultant and lecturer; he made the shift to transition management in the mid 1970s. A review by Linkage (2009) identified that Bridges is ranked in the top 10 independent executive development specialists in the USA as observed by the Wall Street Journal.

Bridges holds that transition has three phases: an **ending/losing/letting go** of the current position, a disorienting **neutral** zone and a **new beginning**. If people do not deal with each of these phases, the change will be just a rearrangement of the current status quo...and then we wonder why it didn't work.



The three phases of transition

(Bridges 2003, p.5)

In *Managing Transitions*, Bridges offers advice in assisting employees to make the transition from one state to another and how to deal with the resistance. Bridges describes the following key points which any leader of change should heed as we should not underestimate the power of not dealing with the emotive side of change:

### *How to get people to let go*

- ✓ Identify Who's Losing What; and discuss it openly
- ✓ Accept the Reality and Importance of Subjective Losses; acknowledge the pain people will go through openly and sympathetically
- ✓ Don't Be Surprised at Overreaction; take it in your step

- ✓ Expect and Accept the Signs of Grieving ([Transition/Change Cycle](#))
- ✓ Compensate for the Losses by showing staff the benefits of the future
- ✓ Give People Information, and Do It Again and Again and Again and Again...
- ✓ Define What's Over and What Isn't
- ✓ Mark the Endings; make sure there are actions or activities that dramatize the end of processes, systems, cultures that reflected the old ways
- ✓ Treat the Past with Respect
- ✓ Let People Take a Piece of the Old Way with Them; endings occur more easily if people can take a bit of the past with them. If a ceremony can be created about moving on but holding a piece of the past, this will help people move on
- ✓ Show How Endings Ensure the Continuity of What Really Matters
- ✓ Whatever Must End, *Must End*.

Bridges holds that the single biggest reason organisational changes fail is that no one has thought about endings or planned to manage their impact on people. Leaders and managers of change forget that while the first task of *change management* is to understand the desired outcome, what it will look like and how to get there, the first task of *transition management* is to convince people to leave home (Bridges 2003, p.37).

William Bridges refers to the second phase of transition as the neutral zone as "it is a nowhere between two somewhere" (Bridges, 2003:40) and possibly the hardest part of managing transition. The neutral zone is a time when old clarities break down and everything is in flux. Nothing is a given anymore, and anything could happen. The neutral zone presents creative opportunities or dangers, depending on the leader. Again, Bridges holds that any leader or manager involved in change should take stock of the dangers and plan through them.

Bridges (2003:41) describes the dangers of the Neutral Zone as a time when:

- People's anxiety rises and their motivation falls;
- Sick leave increases;
- Old weaknesses, which may have been patched over or compensated for, re-emerge;
- People feel overloaded, they frequently get mixed messages as systems are in flux and therefore increasingly unreliable;
- People easily become polarised: some want to rush forward others want to hold onto the old ways; and,
- People respond slowly and hence the organisation becomes more vulnerable to competitive attack

As well as a potentially dangerous time, Bridges (2003:55) describes the Neutral Zone as a potentially creative time. The key here is for the manager of the process to:

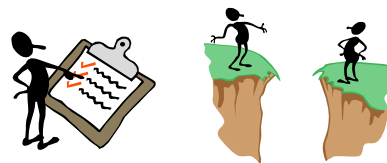
- ✓ "Normalise" the Neutral Zone by explaining that it is an uncomfortable time
- ✓ Ensure a positive metaphor is linked to the time spent in the neutral zone
- ✓ Create temporary systems and structures for people during this time when they feel lost and confused. For example review values or business processes that used to govern the old way
- ✓ Strengthen intra-group connections by rebuilding a sense of identity and ensuring frequent, succinct communication

- ✓ Use a [Transition Monitoring Team](#), its purpose is to facilitate upward communication and ensure that all stakeholders understand the stage the change and transition is at.
- ✓ Use the Neutral Zone to do things differently and creatively (provide opportunities and training, encourage experimentation, embrace losses and setbacks, look for opportunities to brainstorm answers to old problems etc)
- ✓ Above all else, support people through the Neutral Zone; spend time in staff 1 to 1 meetings, communicate to your team regularly, be perceptive and be available.

The third phase in transition according to Bridges (2003:56) is known as Launching a New Beginning. Bridges provides the following insights with respect to launching a new beginning:

- ✓ Clarify and communicate the purpose/vision
- ✓ Provide a picture of the outcome so that people can imagine it ([storytelling tool](#))
- ✓ Then create the accompanying plan and publish it broadly
- ✓ Ensure all staff are involved in the plan to implement the purpose
- ✓ Finally, reinforce the new beginning by
  - Being consistent
  - Ensuring quick wins
  - Symbolizing the new identity
  - Celebrating the successes

[John P Kotter's & William Bridges Checklists](#)



## THE PROJECT MANAGEMENT APPROACH TO CHANGE PROJECTS

Kotter (1996:23) holds that “successful change, of any magnitude, goes through all eight stages, usually in the sequence shown above. Although a leader of change normally operates in multiple phases at once, skipping even a single step or getting too far ahead without a solid base, almost always creates problems”.

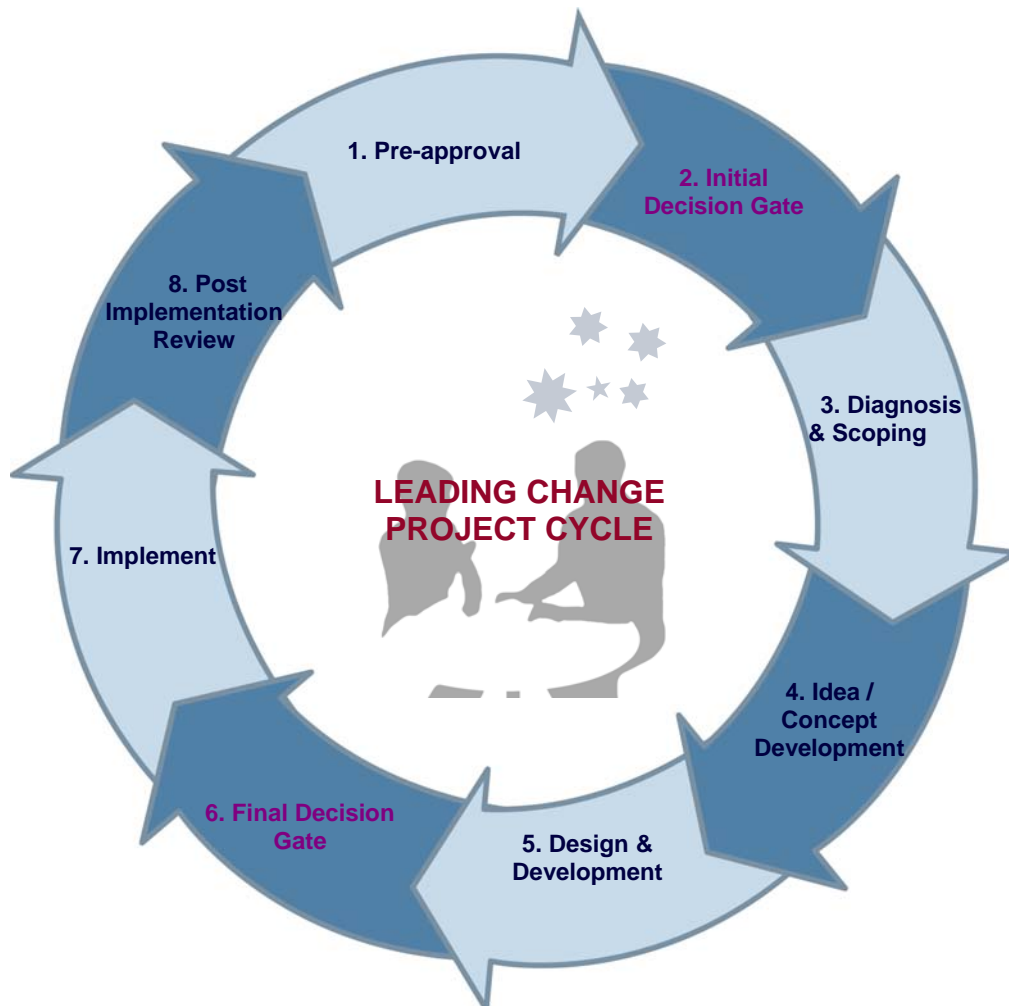
Best practise shows that projects of significant size and complexity (generally those with University wide impact) should be supported by a structured approach to project planning and implementation. At the heart of project management is the recognition that in order to succeed all projects must have a clear, consistent change vision and strong sponsorship within the University and have been prioritised to ensure they can be effectively resourced.

The change project cycle planning approach provided below incorporates the key considerations that Kotter's model identifies and applies those considerations at different stages of the project planning cycle and leads to some tangible outputs in terms of strategies and plans. From a change management perspective, each phase has a specific purpose, objectives and key activities, uses a range of change management tools and delivers outcomes.

### The Change Project Cycle has 6 clear benefits:

1. Sets a performance goal for everyone

2. Enhances value for stakeholders
3. Accelerates the rate of improvement
4. Promotes learning and sharing of new ideas and best practices
5. Improves execution of strategic change
6. Sustains success



A project management approach allows the leader of the change effort to transform the work place openly and transparently. The general project planning phases focus on:

### 1. Pre-approval Phase

*During the pre-approval phase you could consider stages one and two (establish a sense of urgency & creating guiding coalitions) of Kotter's process.*

The purpose of this phase is to identify an opportunity for process improvement or selection of a problem to be resolved ([Fishbone Diagnostic Tool](#)).

The objectives in this phase are to prepare and agree the overall [Project Plan Template](#), gain relevant approval, to define the measurable stakeholder requirements and to confirm the project should continue.

A couple of key success factors that should be addressed, as a minimum, in the pre-approval stage include:

- **Define the vision and purpose of your change initiative**

**Why**

A leader must be able to say, in as few words as possible, the reasons why change is being introduced, what it will look like, what are the benefits, and how the changes are going to be made. A picture is worth a thousand words! People have a need to understand the logic of something before they turn their minds to it.

Change starts with you!

*“We must become the change we want to see”  
Mahatma Gandhi*

**How**

The online tool may provide you with some guidance in developing your change vision. [Vision Building Tool](#)

- **Prepare the Business Case for Change**

**Why**

The business case / project brief allows the change manager to scope the change process. Good planning upfront can save a lot of time and energy further down the track as the project progresses. This is because it requires you to think through the reasons for change, why it should be important to all staff, how to make it happen and how to make it stick.

The generation of a business case/project brief is the first step on embarking on the project management change cycle. The project brief / business case involves an analysis of costs and benefits associated with a proposed change process and addresses available options for achieving the outcomes.

Business cases are required where sign-off by a sponsor is needed as the project will require considerable resourcing, time and effort. This usually involves gaining commitment to the project and approval for any funding.

**How**

The online tool may provide you with some guidance in developing your business case for change. [Business case / Project Plan template](#)

## **2. Diagnosis and Scoping Phase**

*During the diagnosis and scoping phase you could consider stages two and three (creating guiding coalitions & develop a vision and strategy) of Kotter’s process.*

This phase has as its purpose the establishments of measurements to highlight the performance of key business areas.

The objectives of this phase include allowing the change leader to collect all necessary data, quantify current processes and organisational performance, understand what is in scope and out of scope of the project, define the detailed measurements to be taken and to gain management acceptance of the problem. Tools available include a stakeholder analysis through the [Stakeholder Management Plan](#) and [SWOT matrix](#).

Research suggests that key success factors that need to be addressed in the diagnosis and scoping phase include:

- **Conduct a stakeholder analysis**

#### **Why**

The second stage of the Change Project Management Cycle includes diagnosis and scoping. Within this process, a stakeholder analysis is a vital step as individuals or groups could have a vested interest in a project. Understanding who they are and the level of interest and impact they might have on the project are important steps in any risk management process. Many change programs have become unstuck or even failed because of the lobbying of alienated stakeholders.

#### **How**

The online tool may provide you with some guidance in developing your stakeholder management plan. [Stakeholder Management Plan](#)

### **3. Idea / Concept Development Phase**

*During the idea / concept development phase you could apply stage four (communicate the change vision) of Kotter's process.*

The purpose of this phase is to develop multiple options to address the problem or opportunity.

The objectives include prioritising performance problems, identifying the [change management team roles and responsibilities](#), establishing the root causes of process / performance problems, to prepare the options for changes to process / organisation, to assess the organisations readiness to change ([change readiness assessment tool](#), [change impact assessment tool](#)), identify and assess risks (risk management [strategy](#) and [plan](#)) and the development of plans for mitigating the risks, threats and opportunities and to gain management commitment to the process changes.

Research suggests that key success factors that need to be addressed in the idea / concept development phase include:

- **Define the role of all participants in the Change Management Project Team**

#### **Why**

To achieve the highest likelihood of success for the change project, all project team members should be identified and named. Additionally, to achieve maximum benefit from a key change initiative, the identification of a key, on-going sponsor is vital. The sponsor's role is to help remove

obstacles, provide valuable advice and support and ensure that the funding is maintained throughout the project lifecycle.

### **How**

The online tool may provide you with some guidance in developing and implementing your Change Management Team.

[The Change Management Team Roles and Responsibilities](#)

- **Identify and develop plans for managing risks**

### **Why**

In the management of any project, risks or issues related to the level of political, managerial, staff and union support or resistance need to be considered. A Risk Management Strategy and Plan helps you to foresee risks; it ranks their likelihood of occurring and their priority. It identifies actions to prevent them from occurring and reduces their impact should they eventuate.

### **How**

The online tool may provide you with some guidance in developing your Risk Management [Strategy](#) and [Plan](#).

- **Acquire and develop the necessary change skills**

### **Why**

Effective leadership and team skills are critical to successful change. Change agents play a key role in gaining commitment and support among staff for business improvement activities. If the change agent and/or change team do not have the necessary skills to undertake the project then the likelihood of success is diminished and the likelihood for cynicism and discontent is increased.

Appointing people with the appropriate skills to manage change processes and providing adequate support sets the project up for success and is consistent with the University's values.

### **How**

By demonstrating the skills for change, you will show your energy, confidence and commitment to the change. You will be a role model; a champion of change.

Consider the table below listing the skills required for the change agent and the change team and assess proposed staff against these skills.



<b>Skill</b>	<b>Description</b>
Planning	This includes systems analysis, understanding workforce change issues, risk management skills, self management and awareness
Organisational Awareness	Is understanding the culture, structure and environment in which you are managing change
Analytical Thinking	This includes assessment and diagnosis skills. It is analysing and synthesising a wide range of information to draw conclusions and make decisions.
Ability to Manage Upwards	Sound influencing and communication skills
Team Working	Is contributing positively to the team in order to achieve common objectives of change. It is working with the different skill sets of all team members.
Knowledge of Process	This includes designing, implementing and evaluating change processes
Communication Skills	This includes consultation, negotiation, mediation and influencing skills.
Facilitation Skills	Is guiding and motivating groups towards an agreed goal.
Developer skills	This includes the ability to coach, teach, facilitate and influence. It is articulating clearly and encouraging others towards a viewpoint or course of action through a persuasive approach.
Presence	This includes an understanding of systems theory and the roles required to influence the system in relation to the change process
Project Management	This includes a detailed understanding of a sound project management methodology
Consultancy Skills	Are the combined interpersonal, intellectual and organisational skills that support successful change interventions. Change agents are change consultants who rarely have direct power to individually implement change. As a consultant, you have to manage relationships in a structured way, contract with your "client", collect data, feedback options and recommendations and implement chosen solutions.
Leadership	This includes the ability to inspire others and gain commitment through collaborative working relationships
Modelling University Values	This must be consistent and constant

If there is a skill gap, develop means for dealing with the skill gap. This may include, but is not limited to:

- Buying in the appropriate skills
- Coaching and mentoring by a key person
- Developing a skills transfer program with the change team
- Training and development of staff
- Job rotations
- Reading and research etc

#### **4. Design & Development Phase**

*During the design & development phase you could apply stage five (empower broad based actions) of Kotter's process.*



This purpose of this phase is to prepare a solution for University wide implementation.

The key objectives of this phase are to ensure the vision and planned targets continue to meet stakeholder requirements and expectations, to ensure options for process changes are defined in enough detail to satisfy the problem or opportunity identified and to develop the complete suite of plans necessary for implementation ([Implementation Plan](#), [Communication Strategy & Plan](#), [EBA Compliant Change Checklist](#)).

Some of the key success factors that need to be addressed in the design & development phase include:

- **Manage human resources and industrial relations issues**

**Why**

All change, even change that we willingly choose, involves people losing something. More often than not, people are not able to accept the change on just an intellectual level. They need to be able to work through their emotions and internalise it before they are able to move on to new beginnings.

There are many models which discuss the natural and emotional responses to change, just as there are models that describe people's responses to grief. An understanding of the process allows you to identify the various stages and develop strategies to address staff concerns.

**How**

It is worthwhile familiarising yourself with the emotional responses and stages to change as per the two attached cycles. [Change / Transition Cycle](#). Once you have an understanding of the cycle you will be able to design strategies and interventions to deal with the phases pro-actively.

Additionally, during the Design & Development Phase of the Change Project Management Cycle it is important to remember that there are industrial relations requirements to consider. The University encourages you to contact your HR Consultant to work through the [EBA Compliant Change Checklist](#) to ensure good practice.

- **Establish Consultation & Communication Forums and Processes**

**Why**

The Design & Development Phase of the Change Project Management Cycle lends itself to establishing clear communication and consultation forums and strategies. One of the most important rules in change management is that you can never communicate enough and those affected by change need an opportunity to participate in the decisions which affect them. Even if the change process is non-negotiable, you will not get people to embrace the change if they are not involved, informed and supported along the journey.

## How

The online tool may provide you with some guidance in developing your Communication Management Plan.

Communication [Strategy](#) & [Plan](#)

Some guiding principles in developing any form of communication initiative include:

- Determine what groups and individuals need to be consulted and what needs to be communicated to whom?
- Establish a formal consultative process which involves representatives of all stakeholder groups.
- Work with the key stakeholders in developing the communication process.
- Keep people informed of ongoing progress via informal, frequent channels of communication. Use as many channels as possible.
- Emphasise verbal communication by the Change Leader.
- Support any verbal communication with written material.
- Put yourself in the shoes of the staff, consider what they would want to know and develop a frequently asked questions (FAQ) document so that these questions can be shared publicly and answered consistently.
- Address any concerns of staff early on.
- Ensure staff are provided a means for raising concerns or feedback, and that the concerns / feedback are addressed.
- Meet with the relevant unions to clarify the change process being undertaken.
- If you are unsure of something, say you are and go and find out and communicate the answer back to the person / group who asked.
- If you do not act on peoples feedback, explain the reasons why
- Deal with the past (do not ignore), acknowledge mistakes, apologise for them, make amends, model future behaviour.
- Publicise successful changes widely.

## 5. Implementation Phase

*During the implementation phase you could apply stages six, seven and eight (generate short term wins & consolidate gains and produce more change & anchor new approaches in the culture) of Kotter's process.*

The purpose of this phase is to make sustainable improvements to performance.

The key objectives are thus to prepare and agree the University wide implementation and resource plans, deliver tailored communication across the University, ensure all staff understand the need for change, to prepare and train all key staff and stakeholders for the changes in process ([learning and development scoping of needs](#)) and / or structures, manage concerns / conflicts as soon as they arise, and ensure planned benefits are achieved.

## **How**

When a change process within the University includes significant changes in the profile, composition, operation or size of the area's workforce, the alteration of hours of operation, major technological change which impacts the skills staff need or changes which invoke redundancy, the change program is considered a "major change" under the University of Adelaide's Collective Agreement 2006-2008. In order to facilitate the part of the process that affects staff members best practice [Transition Guidelines](#) have been developed in order to place continuing staff members into appropriate positions and manage individual circumstances of other staff. It is strongly advised at this stage, if you are not already, work very closely with your dedicated HR Consultant for support and guidance during change.

## **6. Post Implementation Review Phase**

The purpose of this phase is to maintain benefits.

The objectives needed to be met in order to maintain benefits include: handing over continuous process development activities to day to day management, communicating the results to the organisation, capturing, recording and communicating lessons learnt to the broader change management team and other useful information for future change projects, capturing best practice approaches for future reference and to ensure performance objectives are maintained and the process continues to improve.

Research suggests that key success factors that need to be addressed in the post implementation review phase include:

- **Develop evaluation strategies**

## **Why**

The Post Implementation Review Phase of the Change Project Management Cycle allows for the development of evaluation strategies. Any sound process builds in a method of evaluating whether the outcomes originally set out to be achieved have actually been achieved, what the lessons learnt are and how to move forward for future like initiatives.

## **How**

Evaluation processes should be factored into your project brief / business case. It should include timelines and key performance indicators. Additionally, publishing the findings to all stakeholders is a very powerful way of ensuring ongoing learning.

## **MANAGING PERFORMANCE DURING TIMES OF CHANGE**

The role of a manager in clarifying direction is even more important during times of change. It is the role of the direct supervisor to translate the change around the team into clear identifiable outcomes and expectations for individual roles. These outcomes need to be managed and supported throughout the change process. If anything, managers need to communicate more and meet more frequently with their team members during times of change to ensure staff member's efforts stay focused and constructive towards the new change vision.

## FURTHER READING

Bridges, W. Adapted from interview “*Meet the Masterminds on Managing Transitions*” at. [www.managementconsultingnews.com](http://www.managementconsultingnews.com)

Bridges, W. 2003. *Managing Transitions: Making the Most of Change*. Nicholas Brealey Publishing, USA

Corporate Leadership Council (CLC) 2001. *Change Management Models and Business Applications*. Corporate Executive Board, Washington, DC, USA

Kotter, J.P, 1999. *What Leaders Really Do*. Harvard Business School Press, Massachusetts, USA

Kotter, J.P, 2002. *The Heart of Change*. Harvard Business School Press, Massachusetts, USA

Kotter, J.P, 2003. *Leading Change*. Harvard Business School Press, Massachusetts, USA

Kotter, J.P, and Rathgeber, H., 2006. *Our Iceberg is Melting. Changing and Succeeding Under any Conditions*. Harvard Business School Press, Massachusetts, USA

Linkage, 2009, available online at <http://www.linkageinc.com/company/people/Pages/WilliamBridges.aspx>

McKinsey & Company, 2006. *Organising for Successful Change Management*. The McKinsey Quarterly

Shaffer, R.H., and Thomson, H.A., 1998. *Successful Change Begins with Results*. In the Harvard Business Review on Change. Harvard Business School Press. Boston, MA, USA

Synnot, B, and Fitzgerald, R., 2007. *The Toolbox for Change. Practical Approach*, Danjugah Pty, Brisbane, Australia

University of Adelaide Collective Agreement 2006-2008

Human Resources Branch,  
Level 13, 115 Grenfell Street,  
The University of Adelaide,  
SA 5005 Australia

Telephone: +61 8313 1111

Facsimile: +61 8 8303 5790

Web: [www.adelaide.edu.au](http://www.adelaide.edu.au)

CRICOS Provider Number 00123M

[www.adelaide.edu.au](http://www.adelaide.edu.au)