

Directing Change Management at the University of Minnesota

President's Emerging Leaders Project 2007

2006-2007 President's Emerging Leader Team

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Executive Summary

The purpose of this project was to identify components of successful change management models and strategies and use them to make recommendations for incorporating best practices into the University's processes or approaches to optimize its success in managing future change initiatives.

The PEL team was charged to:

- Complete a literature search to identify available models and strategies for successful change management.
- Conduct focused interviews with executive leadership, and with unit leaders, managers, staff, and faculty involved with specific change initiatives.
- Recommend change management strategies to support current and future change efforts at the University.

The literature search identified change management practices used in corporate but not academic settings. Several key change management models were compared, and five common themes for any successful change initiative were identified: communication, written plans, human factors in change management, availability of resources, and leading change. Additional research identified the role of these themes in an academic culture.

Four University of Minnesota change initiatives were selected as case studies for examination, and interview questions were developed based on the common themes identified in the literature. Interviews were conducted with senior leaders, middle managers, and operational staff from each of these units. A group of University executive leaders was also identified, and interviews using questions reflecting the common themes were conducted. Finally, interviews with leaders of University units that support change initiatives were conducted.

Analysis of the interview data revealed areas of concurrence and divergence about each of the common themes. A set of general observations and a list of advice to others were also developed from interviews with staff involved in the change initiatives. Lists of lessons learned and barriers to change were developed from interviews with executive leaders.

Data from the interviews were combined with the results of the literature search to produce some recommendations for change management at the University. Briefly, the recommendations are:

1. Develop a communication framework that will aid the University and individual units to improve the effectiveness of communication about change initiatives;
2. Create a centralized change management function to coordinate and integrate all change management resources, coordinate with strategy

management, and provide support to the university system for all change initiatives. It is necessary to provide more coordination and visibility for the resources available to individual change agents at all levels of the organization;

3. Incorporate an introduction to change management concepts and techniques into formal leadership and management training for department and center heads and chairs;
4. Leverage and support middle managers as a resource in any change initiative. This group of staff plays a key role in translating the aspirations of executive and unit leaders to the units, by contextualizing the change and engaging employees at all levels. They must be provided with tools and resources to support this important role;
5. Ensure the Office of Human Resources is engaged from the very early planning stages of any significant change initiative;
6. Gain an understanding of the culture of the unit undergoing change (faculty, P&A, Civil Service and bargaining units, students, etc) before a change initiative is launched; use this understanding to guide the implementation strategies and communication plan; and
7. Better understand how change affects faculty culture by conducting a study to identify the factors and influences that specifically affect University of Minnesota faculty.

Introduction

Change has become a fact of life in most organizations. The University of Minnesota is no exception. From the Transforming the University Initiative that will have a far-reaching and long-range impact on the university system, to regular changes at the department level, all faculty and staff need to navigate through change.

“Change management” has been defined as “. . . managing people in a changing environment so that business [and organizational] changes are successful and the desired business [or organizational] results are realized.” (Hiatt & Creasey, 2003) Ultimately, the management of people involved in any change can mean the difference between the success or failure of the initiative. The objective of this PEL project was to identify components of successful change management models and strategies and to make recommendations for incorporating these best practices into the University’s processes and approaches to change, to optimize the University’s success in managing future change initiatives.

The PEL team was charged to:

1. Complete a literature search to identify available models and strategies for successful change management.
2. Conduct focused interviews with executive leadership, and with unit leaders, managers, staff, and faculty involved with specific change initiatives.
3. Recommend change management strategies to support current and future change efforts at the University. (See Appendix A.)

The nature of the interview process created a snapshot in time. **During the nine months of the project, many of the issues identified in the interview process and included in the recommendations have already been addressed or are in the process of being addressed.**

Literature Search

Purpose

The purpose of the literature search was to:

- Review recognized change management models and evaluate them for similarities, differences, and best practices as applicable to the University of Minnesota.
- Identify practices and procedures to recommend as components of a “Change Management Toolkit”.
- Define common themes to address in change management resources that are critical for bringing about successful large-scale changes.

- Discover if there are change management issues specific to academia.

General Findings

Most of the materials focused on general practices related to change management, or on change management in corporate settings. Little was found regarding change management that was specific to academic settings. Articles geared toward change in academic institutions dealt primarily with single issue changes that directly affected faculty, such as changes in tenure. The literature search did not uncover system-wide transformational change initiatives at other academic institutions that were comparable to those currently being undertaken at the University of Minnesota.

Two elements were identified that need to be taken into consideration when planning for and implementing change at academic institutions: (1) academic culture in general and faculty culture in particular and (2) the governance structure of higher education. An in-depth understanding of the roles of culture and governance is crucial to successful change. Academic culture is discussed below.

Many of the reviewed books and articles contain valuable ideas regarding causes for change failures, strategies to overcome resistance, and barriers to successful change implementation. The project team identified which of these ideas could be effective as change management resources for the University community. For a review summary of selected books/articles see Appendix B. For a complete bibliography see Appendix C. See Appendix G for a compilation of general change management principles, questions to consider when planning for change, and implementation checklists that would be suitable for inclusion in a "Change Management Toolkit".

Change Management Models

Over the past decade, multiple change management models and processes have been developed and used to direct change initiatives within industries and organizations. According to Mento (2002), there are three well known change management models currently used by business and industry: General Electric's change acceleration process model, Jick's ten step model for implementing change, and Kotter's strategic 8-step model. The Kotter Model has been more widely used as a framework for change at the University of Minnesota. No literature was identified that focused on change management models specifically for higher education institutions.

The review of the literature underscores that change models and processes contain many common elements; what varies is how and when these elements are used. A detailed review of the three well known models by Mento (2002) highlighted twelve common elements directly or indirectly specified within each model. These elements are: 1) highlight the idea for the change; 2) define the

change initiative; 3) evaluate the climate for change; 4) develop a change plan; 5) find and cultivate a sponsor; 6) prepare your target audience, the recipients of change; 7) create a cultural fit, making the change last; 8) develop and choose a change leader team; 9) create small wins for motivation; 10) constantly and strategically communicate the change; 11) measure the progress of the change effort; and 12) integrate lessons learned.

The following table compares Mento’s 12 steps to Kotter’s (1996) 8-step model.

Table 1: Comparison of Mento’s 12 Step Framework to Kotter’s 8 Strategic Steps

Mento’s 12 Step Framework	Kotter’s 8 Strategic Steps
Step 1. Highlight the idea for the change	1. Establish as sense of urgency
Step 2. Define the change initiative	3. Creating vision
Step 3. Evaluate the climate for change	1. Establish a sense of urgency
Step 4. Develop a change plan	
Step 5. Find and cultivate a sponsor	2. Form a powerful guiding coalition
Step 6. Prepare your target audience, the recipients of change	5. Empower others to act on the vision
Step 7. Create a cultural fit, making the change last	5. Empower others to act on the vision 7. Consolidating improvements – Producing more change 8. Institutionalizing new approaches
Step 8. Develop and choose a change leader team	2. Form a powerful guiding coalition
Step 9. Create small wins for motivation	6. Planning for and creating short-term wins
Step 10. Constantly and strategically communicate the change	4. Communicate the vision
Step 11. Measure the progress of the change effort	7. Consolidating improvements – Producing more change
Step 12. Integrate lessons learned	8. Institutionalizing new approaches

All the models identified elements that aid in assuring a successful change management effort. When the models were combined for the purpose of comparison, what emerged was a series of common themes that had a major impact on the successful outcome of any change initiative.

Common Themes

The following five themes are repeatedly identified throughout the literature on change management as being critical factors for successful change.

- **Communication:** Communication is a key component in the success of any change initiative. The general message is communicate early, clearly, often, and through all levels of the organization. The goals for effective communication are to increase the organization’s understanding and commitment, reduce confusion, and prepare staff for the impact of change.

- **Written Plans:** A Change Management Plan is a written document that defines the vision and scope of the change. It includes both the technical project plans and the plans for managing people as they implement the change. It lists the objectives and deliverables of the change, strategies to implement changes, roles and responsibilities of people affected by the change (throughout the organization), resources available to implement change, and specific steps and schedules to implement strategies. This document serves as a guide for the entire process of the change, and helps everyone involved in or affected by the change make sense of what is happening. This document needs to be assessed and updated at regular intervals. Plans created for specific areas need to relate to this overall plan. Area-specific plans may include: Communication, Human Resources, Finance/Business Plan, Risk Assessment, and a detailed timetable.
- **Human Factors in Change Management:** The process of change has an impact on the people who live through it. **When organizations undertake any transformational change process, they must make a distinction between the strategic and tactical plans and actions to accomplish the change, and the experience and emotions of the people who will design, implement, and live with the change.** Both of these elements must be systematically addressed in the development and implementation of strategic plans, to ensure the ultimate success of the change process.
- **Availability of Resources:** Resources must be clearly identified and made available to middle managers and operational or front line staff in order to successfully implement an initiative to support transformational change. Necessary resources may include additional staffing, additional funding, training in both change management and project management, administrative support, technical support, change management support, project management support, and communication tools.
- **Leading Change:** Leading a change effort requires a strong sponsor and/or champion for the change. Change can be lead by one person or a group of people who are passionate, visible, and committed to the effort. Leading change requires clearly identifying the need for change, creating a vision, gaining support or commitment, and keeping the momentum going.

These five themes were used to develop the interview questions and, along with the interview results, informed the recommendations.

Role of Academic Culture in Change Management

Although the preceding themes are important for all individuals involved in change, they are of particular concern for faculty. The literature indicates that for successful implementation of large-scale change initiatives with a strong impact on faculty, it is important to pay special attention to human factors, and to understand the academic culture at the specific institution. (Storberg-Walker &

Torraco, 2004; Kezar & Eckel, 2002; Kezar, 2001) The following change elements were frequently mentioned as requiring special attention in academic institutions.

- **Broad inclusion** in planning and decision making is needed to improve buy in. Initiatives perceived to be “top-down” do not work well. There may be a culture of distrust between faculty and administration.
- The **culture** for each faculty unit is different and needs to be understood, including recognizing the factions that may work against one another.
- **Shared power** for decision-making between faculty and administration along with **transparency** of the process are critical for success.
- Change initiators and administrators need a great deal of **good will** and **trust** from faculty.
- Faculty need to understand and contextualize the **relevancy** of a change to their own work, to their department, and to the institution’s overall goals.
- When developing a strategy to overcome resistance, one must be aware that faculty have a strong tendency to perceive changes as a **fad** that will pass. A great deal of continuity of support and communication is needed to maintain momentum and overcome this perception.
- **Individual learning and change** must be accomplished before institutional change will be successful.

Additional detail about these elements can be found in Harris, et.al. (2003), Schweitzer (2000), Storberg (2004), Perlmutter (2005), Bennis (2006), Olson (2006), and Best (2006).

Methodology

Four change initiatives were selected as case studies to review for this study. A set of questions was developed, based on the five key themes identified in the literature: communication, written plans, human factors in change management, availability of resources, and leading change. Information was also collected from a separate set of interviews conducted with University executive leadership and from interviews with leaders of University units that support change initiatives.

Case Studies

Cases were selected using two criteria:

- Change initiatives that represented different stages in the process – either in progress or completed.
- Change initiatives that represented broad impact on unit – included impact on finances, processes and procedures, and human resources.

The following criteria were used to exclude initiatives as case studies:

- Change initiatives that represented small changes with limited impact.
- Change initiatives that affected only student services.
- Change initiatives that affected only faculty.

The following four change initiatives were selected as case studies for this project:

College of Design – The College of Design (CDes) is a new college that opened on July 1, 2006. It is one of three new colleges, following the closing of six existing Twin Cities campus colleges. CDes represents the realignment of the Department of Design, Housing and Apparel and the College of Architecture and Landscape Architecture into an interdisciplinary design college. The new college process began in the summer of 2005. The focus for this project was the impact of this change on administrative staff, and to a lesser degree, on faculty.

Enterprise Financial System Project – As a result of an aging and unsupported computer-based financial system, the entire University is moving to a new software system (PeopleSoft Financials) to handle all financial activities. This new system provides an opportunity to review and update the University's financial accounting policies and procedures. When completed, the new system will integrate the financial accounting processes that were previously completed using different systems that did not allow for easy or comparative reporting or analysis of departmental or institutional data. The Enterprise Financial System Project has a target implementation date of July 2008.

Extension Service – In 2002, facing severe reductions in state and county funding, Extension began a transformational process that had been discussed for years – moving this nearly 100-year old land-grant outreach unit of the University from a county-based service model to a regional model with stronger ties to the University's academic and research resources. The new model provides regional educators and state specialists (agriculture, water resources, forestry, etc) and allows counties and other entities to contract for specific programs or positions as needed, with the goals of improving Extension's relevance to the people they serve and increasing the scholarly rigor of their programs. The new system was launched in January 2004, and represents an on-going process of sustaining this *new normal*.

One Stop – The One Stop model grew out of a University-wide effort to use information technology to improve registration and financial services for students. In the process, the services of three offices on the Twin Cities campus – Registrar, Student Financial Aid, and Student Accounts – were combined into one central unit. This integration involved reclassification of jobs, streamlining of processes, retraining of employees, and integration of separate work cultures and activities. This change process began in 1998,

and was chosen as an example of a completed change. The focus for this project was the impact of this change on the staff involved, not the impact on students.

Data Collection Procedures

Interviews with University Executive Leadership

Interviews were conducted with selected members of University executive leadership to complete a comprehensive picture of current change management tactics and resources. The questions asked of these leaders reflect the common themes identified in the literature review. (See Appendix D for list of interview questions.)

Interviews with Leaders of University Units Supporting Change Initiatives

Managers of several offices that provide services for managing change were interviewed, both to clarify resources currently available at the University for managing change, and to determine what additional resources are needed to support future changes. The executive leadership interview questions were adapted to understand these specific programs.

Interviews with Case Study Representatives

Questions were developed based on the critical factors identified in the literature, and interviews were conducted to determine whether and how these themes were incorporated into each of the change initiative case studies. (See Appendix E for list of interview questions.)

Interviews were conducted with staff members at three general levels within each change initiative:

1. Senior Leaders – People managing the change at the highest level within the unit.
2. Middle Managers – Staff members who are directed by senior management to direct, organize, and implement actual change on a day-to-day basis.
3. Operational Staff – People who are required to carry out the change on a day-to-day basis in their local context.

Analysis of Results

The results of the interviews were summarized and analyzed to identify areas of concurrence or divergence of perspective, to understand how the critical factors identified in the literature were incorporated into each change initiative. More

important, this analysis led to an understanding of how the perceptions about the themes varied among staff at different levels.

When reviewing these results, it is important to remember that although perceptions of operational level staff may not reflect reality as seen by upper management, they reflect reality as seen by that individual or group of individuals. If the same perception is shared by a group it becomes their reality and must be appropriately addressed to overcome resistance and move the change effort forward in an effective way.

Summary of Case Study Interviews

Communication

Interviewees from all four change initiative case studies agreed on the key role of communication in any change. Methods of communication ranged from formal – emails, newsletters, meetings, retreats – to informal discussions to present information about the change. The biggest challenge was continuing to communicate as the project progressed and everyone became increasingly busy with keeping the change moving forward while doing their jobs.

Areas of concurrence:

- Communication was key!
- Consistent messages needed to be communicated through the entire change process.
- Needed to focus on communication with internal audiences and external stakeholders.
- Needed to use as many direct and personal forms of communication as possible.

Areas of divergence:

- Communication was two-way – senior leaders felt they were listening but middle managers and operational staff did not feel as if they were heard.
- Some communication was confusing, e.g. the specific purpose of the communication was not clearly identified, and people struggled to understand how to respond or what to do.
- Consistency of the message between all levels was often in doubt.

Written Plan for Change

Interviewees indicated an awareness of making plans for changes, and in one case, that such a plan existed. But this awareness did not lead to the systematic development and use of a plan, or consistent communication about a comprehensive written plan for the change. Even in the case where a plan was

developed by senior leaders, there was limited awareness of its existence by employees at other levels within the organization.

Areas of concurrence:

- Initiatives did not develop comprehensive written plans as a tool to communicate/guide change throughout the unit, although some elements of the change were formally developed and/or written.
- These plans were not communicated to everyone who had to carry them out on the middle management or operational staff levels.

Areas of divergence:

- There may be confusion about what such a plan should include, and how to prepare one.

Attention to Human Factors

There was consensus among all interviewees that not enough attention was focused on the human side of any of the change initiatives. Units undergoing changes often looked to existing University of Minnesota resources, which were already overstretched and/or unprepared to offer assistance. Operational staff also indicated that even if assistance was available, they were too busy to use it.

Areas of concurrence:

- Not enough attention was focused on the impact of change on the people involved.
- Existing support mechanisms were overwhelmed and not properly staffed to deal with change.

Resources Made Available

This topic is related to “human factors”, and again, interviewees from all change initiatives indicated that there were few resources available, much less directly allocated to dealing with the change in their unit. Office of Human Resources was cited as the main source of support, and most indicated that they seemed overwhelmed and unprepared for dealing with the changes they were experiencing.

Areas of concurrence:

- Few resources were available for units undergoing change.
- Employees at all levels wanted and needed resources to provide information and to support them through changes.

Leading Change

Interviewees were able to identify one or more sponsor or champion for their change initiative. There was also a strong degree of agreement among the various groups about the identity of those champions for the change initiative, with some identified leaders from central administrative offices and some unit-level leaders.

Areas of concurrence:

- There were one or more clearly identified leaders for each change initiative.

Success of Effort

Respondents representing all change initiatives viewed them as successful. They differed, however, in how they qualified that success. Senior leaders and some middle managers identified the change as successful, often using outside feedback to measure the success. Operational staff viewed the change as successful, but also indicated that it had come at a high cost to employees.

Areas of concurrence:

- The change had been successful.

Areas of divergence:

- Operational staff and several middle managers qualified the success by balancing it with the costs to the people involved.

Advice to others

One of the richest rewards to be gained from any change effort is a list of “lessons learned.” It is in the University’s best interest to review past and current change initiatives and capture practices that served them well and those that should not be repeated in the future. This review provides a reference point for future growth.

Appendix F contains a summary of the lessons reported by interviewees as learned during their change process.

General Observations from Interviews with staff involved in change initiatives

Observations regarding leadership:

- Senior leaders need to be aware of the ‘marathon effect’, the idea that the higher a person’s position in an organizational structure, the more quickly they move through the change process. Senior leaders may be crossing the finish line while other employees are just crossing the starting line. Because senior leaders can see the intended destination before others, it is easy for them to forget that it will take others longer to go through the transition.
- Middle managers and local leaders must be provided training and resources so they are prepared to “re-package” messages from executive leadership for their units – they need to know how to communicate the intent of the executive leadership message customized in a context that will help staff in their unit understand the change and put it in the proper perspective.
- Middle managers are under-utilized as agents of change. They need to be provided training about managing change so they can provide support for the needs of their unit.
- Strong leadership that is unified and perceived as trustworthy is an important element in the success of any change initiative.
- Leaders need to have a strong clear vision for the change, and communicate that vision in positive and consistent ways.

Observations about the process of change:

- When considering a unit’s readiness for change be aware of the potential for layering of changes; if a unit is already experiencing one or more changes, they may need additional resources (time, staff) in order to stay on track with the timeline of any new change initiative.
- Identify the change agents early and provide them with the central support they need to succeed. This may include providing the resources to shift duties as new responsibilities related to the change are added.
- Bring operational staff into the change initiative immediately.
- Allow some contemplation time about new changes and plans. Some mistakes could be avoided if new ideas are given a chance to be considered for a bit longer.
- There should be a “debriefing” session/process at the end of each change effort for colleges/administrative units to reflect on their lessons learned. The outcomes should be a document that can be shared within their organization and with other colleges/units within the University community.

Observations about impact of change on people:

- Remember that operational staff are receiving messages about the change through informal networks (i.e., the grapevine). These messages may precede – and shape their reactions to – anything they receive through formal communication mechanisms.
- The impact of any change initiative on the people involved is usually underestimated – prepare for the worst and be pleasantly surprised when it does not happen.
- People will vary in their ability to see how a particular change initiative might make their lives better – build this knowledge into communication and planning.
- It is important to examine existing resources and offices to make sure they are staffed and prepared to offer appropriate and timely assistance, and offer clear communication about the support they can and cannot offer.
- Prepare to respond to many levels of ambiguity. For example, there may be questions that cannot be answered early in the process, such as the final impact on jobs. Every effort should be made to provide information and reassurance as early in the process as is possible.
- Don't underestimate the power of perception – this affects everything from how people understand the reason for the change initiative, to how communication is received, to how answers to questions are heard and/or believed, to whether the impact of the change on the people involved was considered. In general, understand that each individual will supply his/her own context for the change.

Observations about academic culture:

- The University's faculty culture of independence is particularly strong, even compared to other institutions.
- The nature of an academic institution is to be very good at researching options and planning but not as good at implementation.

Summary of Executive Leadership Interviews and Identified Available Resources

In addition to the individuals from the four case studies, high level executive leaders at the University were interviewed. The purpose of these interviews was to complete a comprehensive picture of current change management tactics and resources. As in the case studies, discussions with the executive leaders revolved around five key themes: communication, written plans, human factors in change management, availability of resources, and leading change.

The executive leaders were also asked about how they see their roles in transformational change, lessons learned from past or current large-scale changes, and barriers to change specific to the University.

The following summary is organized by change management practices/elements about which there was concurrence, ideas about change management practices/elements about which their ideas diverge, lessons learned, and identified barriers to change.

Areas of concurrence:

- The University's executive leadership provided a consistent high-level message regarding the primary goal of transformational change. However, each leader expressed different secondary goals.
- All executive leaders indicated that the task force model provided a means of creating buy-in for change initiatives since specific recommendations for transformational change were put forward by the task forces.
- Leaders who participate in hands-on unit management reported that they use meetings and work groups to create consensus for specific change initiatives.
- All the leaders understood the importance of paying attention to human factors in change management.
- The Kotter model was seen as providing a flexible framework that can be used to manage change at all levels of complexity and with all employee groups, including faculty. However, no central message or guidance has been provided for specifics on how to use the Kotter model as such a framework.
- Although there is wide-spread agreement within the University community that major changes are needed to remain competitive and be a top research university, interviewees indicated that little has been done to assess unit and individual readiness for change before large-scale changes are implemented. The term "readiness for change" has not been defined within the context of the University and there is not a consistent message about how or why to evaluate it. Some interviewees indicated that they saw the wide-spread agreement that change is necessary as an indicator of "readiness for change".
- There was agreement that internal communication is weak and that an internal communication plan is needed to ensure that consistent messages are communicated in an effective manner.
- Personal communication was identified as the most effective communication. A good method for mass communication has not been found.

Areas of divergence:

- There was no consistent perception about the number and adequacy of resources provided for change agents. Some resources were described for upper level managers, such as mentors for leaders in the merged

colleges. There was not a consistent response regarding resources available for those at the middle management or operational level.

- There was no consistent perception about the use of written plans for change management. There was not a consistent definition of written plans or guidelines for the type of change management elements to include in plans. Plans that do exist are at a high level and do not contain specifics for smooth change implementation.
- Leaders indicated that there are no consistent expectations for how skill sets are to be assessed in units undergoing change, or about how to improve skill levels.
- Although the message is consistent that the primary goal of transformational change is to “become one of the top three public research universities in the world”, there was no consistency in additional specific messages to support that goal.
- The largest divergence of perspective was encountered in discussions regarding the value of using consistent change management procedures versus individual units developing their own procedures. The range of responses reflected the mixture of administrative functions found in this large and complex organization. Some functions are centralized and standardized while other functions are decentralized and customized.

Lessons learned from current or past changes:

- Changes take more time than originally anticipated, so it is necessary to allow more up-front time for preparation, emotional processing, and cultural changes.
- There is a need to pay more attention to communication, including an internal communication plan, methods of communication, and ensuring that a consistent message is going all the way through the ranks within any change initiative.
- Change agents must be willing to keep evaluating and reviewing the change process and have the courage to amend the change as needed – remain open and flexible.
- Change is accomplished one person at a time. Each one of us must be a positive agent for change.

Identified barriers to change:

- Not having an internal communication plan.
- Difficulty in maintaining momentum and support for long-term changes.
- Having a strong culture of planning, but a weak culture for implementation.

Identified available resources:

- Organizational Effectiveness Program, including coaches for upper level management in the new colleges.

- Transformational Leadership Program and other resources from Office of Service and Continuous Improvement.
- Office of Human Resources training and workshops.
- Faculty Development Program.
- Central administration has identified individuals whose role is to support change management.

In summary, the University's executive leaders are mindful of the importance of addressing the five key themes in order to bring about successful change. They agree that the area most in need of improvement is internal communication. They, for the most part, believe that written plans are being followed and that resources have been made available for change agents. However, a lack of agreed-upon definitions of terms for key concepts makes it difficult to determine if the individuals interviewed shared a common vision of plans and resources.

Both the interview process and the analysis of results were encumbered by the lack of a common change management language. This was especially apparent in the definition of terms commonly used to discuss change and change management. For example, the term 'written plan' means different things to different people. When leaders were asked if written change management plans were being followed for specific transformational change initiatives, the reply generally referred to either task force recommendations or work plans. A distinction was not made between project management plans and change management plans, nor were elements described that should be included in either.

Since change management terms and basic processes are not defined in a consistent manner, it is difficult to communicate expectations about how change is managed. Each level of leadership assumes key themes for success are being properly addressed at all levels of change implementation, but there is no process to ensure that this is being done.

NOTE: Additional interviews with individuals who provide change management resources, operational change agents in need of more coordinated resources, and individuals with change management-related administrative positions were conducted and used to help formulate the following recommendations.

Change Management Statement of Need

It is commonly agreed that the University of Minnesota has two defining characteristics that have a major impact on organization-wide program administration. One is the size and complexity of the organization, which makes it necessary to have an exceptionally complicated mix of centralized and de-centralized administrative components. The second defining characteristic is the cultural independence of the academic units, which is primarily driven by a strong faculty culture. It is not uncommon for faculty and staff to identify themselves first

by association with their academic field or department and then as members/employees of the University.

The combined factors of administrative complexity and a weak culture for a single identity make it difficult to unite faculty and staff around a shared vision, and to provide the necessary organization-wide resources to achieve a shared vision. The case studies demonstrate that operational staff across the university, who implement the change initiatives on a day-to-day basis, are the people who bear the consequences of how the people side of change is managed. Lack of consistent or sufficient communication that penetrates all levels of a change initiative and lack of change management training and resources at the unit level were cited as factors having a negative impact on change implementation in all four case studies.

To achieve successful and sustainable transformational change, close attention must be paid to the needs of middle managers and operational staff on an organization-wide basis, not a unit basis. There is currently no comprehensive and systematic mechanism for how to provide the necessary tools and resources to the right place at the right time. This is a University-wide need, not a local need, and is relevant to both academic and service units. Strong change management leadership from the highest executive and administrative level in support of faculty, middle managers, and operational staff would have a positive impact on the success of change initiatives.

In summary, observations from the literature search and from interviews conducted with staff involved with change initiatives at the University of Minnesota revealed the effect of both good and poor change management efforts.

Poorly managed change results when each of the critical success factors – communication, written plans, human factors, availability of resources, and leading change – are not fully considered. Although the intended outcomes of the change may be met in the end, the process of getting to that point can lead to a sense of anxiety, fear, and frustration among staff, which in turn can result in low productivity and morale and the generation of rumors.

Well-managed change initiatives are those where each of the critical success factors are fully considered and planned for. The result is informed and engaged employees, fewer productivity and morale issues, and employees who know not only what resources are available, but also how to access them.

Change Management Recommendations

Based on the literature review and interviews with leaders and staff across the University, seven recommendations emerged to support a sustainable organization-wide culture of transformational change.

1) Develop a **communication framework** that will aid the University and individual units to improve the effectiveness of communication about change initiatives. Efforts to develop this framework could include:

- An **inventory** of all available means of communication with both internal and external constituencies.
- An **evaluation** of the effectiveness and applicability of communication used in previous change initiatives at the University.
- A **list of recommended means and frequencies of communication** taking into consideration the message, the audience, the timing within a project, and the importance of the message to the overall change initiative.
- **Engage faculty advisors** early in projects involving academic units, to ensure better understanding and support of the change initiative.

This framework should provide leaders and change agents with the guidance to formulate and deliver communication to constituents efficiently and effectively. It will aid in:

- **engaging staff** at their appropriate level,
- **improving the linking of top leadership** to change agents at all levels,
- **developing consistent messages and expectations** from top leaders through unit leaders to middle managers and to operational staff,
- **maximizing the use of internal communication resources** to meet necessary goals and expectations,
- maintaining **momentum** for change, and
- developing **standardized messages** for middle managers to use as “talking points” to customize and make relevant for individual audiences – these tools can help middle managers get the right message to the right audience at the right time.

2) Create a **centralized change management function** to coordinate and integrate all change management resources, coordinate with strategy management, and provide support to the University system for all change initiatives. It is necessary to provide more coordination and visibility for the resources available to individual change agents at all levels of the organization. Critical functions for this function to perform include:

- Complete a **comprehensive inventory** of all existing university programs and resources that support change management.
- Develop a simple, concrete, and usable web-based self-service **tool kit** that is available for change agents at all levels – see Appendix G for examples of items to include, such as checklists for critical

components of change management that would be useful for both unit leaders and individual change agents.

- Develop a basic **change management plan template** (using consistent change management language) that can be customized for each individual change initiative to define terms and provide consistent base-line standards/guidance for managing change initiatives across the university – see Appendix G for a checklist for this plan.
 - Leverage existing change management resources including those with expertise, and further develop a **team of trained change management consultants** to be available as change agents on an as-needed basis to help units identify and use applicable change management techniques and tools.
 - Create a well-maintained and dynamic **change management web page** that includes available tools and resources for everyone involved in change initiatives.
 - Provide **opportunities for middle managers and operational staff to network, share ideas, and receive consistent change management messages:**
 - Create an open participation change management Listserve.
 - Arrange a time and place for regular open attendance get-togethers for self identified personnel interested in change management.
 - Communicate that **input regarding change management is welcomed** from all faculty and staff.
 - Communicate what **resources** are available and that all staff and faculty are welcome to ask for change management assistance.
- 3) Incorporate an **introduction to change management concepts and techniques** into formal leadership and management training for department and center heads and chairs.
- 4) **Leverage and support middle managers as a resource** in any change initiative. This group of staff plays a key role in translating the aspirations of executive and unit leaders to the units, by contextualizing the change and engaging employees at all levels. They must be provided with tools and resources to support this important role.
- 5) **Ensure the Office of Human Resources** is engaged from the very early planning stages of any significant change initiative.
- 6) **Gain an understanding of the culture** of the unit undergoing change (faculty, P&A, Civil Service and bargaining units, students, etc) before a change initiative is launched; use this understanding to guide the implementation strategies and communication plan.

- 7) **Better understand how change affects faculty culture** by conducting a study to identify the factors and influences that specifically affect University of Minnesota faculty.

Conclusion

The purpose of this PEL project was to identify components of successful change management models and strategies, using a literature review and an examination of the experiences of a variety of leaders, staff, and faculty involved in selected change initiatives at the University of Minnesota. This research provided insight about what works and does not work in this academic environment. It also provided the basis for making a set of recommendations that leaders can use to help ensure their success in managing future change initiatives at the University.

Acknowledgements

The PEL team would like to thank all the people who took time to share their experiences of managing and/or living through change. Their openness provided a rich source of information for this project, and demonstrated the importance of managing the people side of any change initiative. Equally important, their thoughtful responses demonstrated how the theory about change management can be put into use on a daily basis to ensure the success of any change initiative.

Appendices

Appendix A. Project Charter

Appendix B. Review of Literature – Summary of Selected Resources

Appendix C. Change Management Bibliography

Appendix D. Interview Questions for Executive Leaders

Appendix E. Case Study Interview Questions

Appendix F. Lessons Learned

Appendix G. Suggests for a Change Management Toolkit – Ideas, Considerations, and Checklists

Appendix A

Directing Change Management at the University of Minnesota Project Charter 11/13/06

OPPORTUNITY STATEMENT:

Successful change may be comprised of hundreds of transitions for individuals, units, colleges, and the institution. In order to assist the University of Minnesota through current and future changes, this project will seek to identify components of successful change management models and strategies, and use them to make recommendations about processes or approaches to manage future changes within the University.

BENEFITS OF THE PROJECT TO THE UNIVERSITY:

- Identify current change models in use by the University and other organizations of comparable size and complexity.
- Provide a better understanding of the strengths and limitations of those change models.
- Provide a foundation to build a toolkit to manage change at all levels of the University. A toolkit of change management tools could be used to provide enterprise-wide resources to:
 - Provide a framework for responding to on-going internal/external change forces.
 - Create a culture that is less resistant to change by improving skills of change agents.
 - Reduce risks that may result from poorly implemented changes, such as feelings of disenfranchisement, lack of buy-in, reduction in morale, reduced productivity, etc.
 - Identify possible resources for materials that could be part of a change management toolkit.

GOALS:

Complete a literature search to:

- Identify current models and their components in use by academia and other large, complex organizations
- Determine elements of successful change management processes and approaches, and review those elements for applicability in an academic setting
- Identify components that have not worked - particularly in academic settings
- Identify best practice models for organizations of similar size and complexity to the University

Conduct focused interviews with leadership, managers, employees, faculty and customers within the university involved in recent change management activities to:

- Identify change management resources currently available at the University
- Identify specific large-scale change efforts (e.g., new colleges, EFS, Athletics)
- Identify processes used in planning and implementing the change (model/process used, who was involved, how it was communicated)
- Identify components/activities that were successful and not successful
- Develop list of lessons learned from successful and not successful activities
- Create best-practices matrix/list

Conduct focused interviews with organizations of similar size and complexity to the University to:

- Identify change model(s) being used
- Identify change management resources available to leaders and staff
- Identify how change is planned for, implemented, and communicated at all levels
- Identify lessons learned from successful and not successful past changes
- Create a best-practices matrix/list

Recommend change management strategies to support current and future change efforts at the University of Minnesota.

PROJECT SCOPE:

Items/Issues within scope:

- Assessment of change models used by organizations of similar size and complexity to the University
- Assessment of past/current change practices used at the University, including sponsor of change, level at which change occurred, implementation and communication methods, and success of change initiative
- Exploration of successful strategies for proper timing and methods to implement sustainable change
- Exploration of possible measures for progress of change, employee impact, and success of change over time
- Development of matrix of transition/change tools
- Identification of strategies for building change agent capacity at the University

Items/Issues outside of scope:

- Small changes with limited impact
- Changes that primarily impact students

Appendix B

Review of Literature Summary of Selected Resources

Reference	Summary	Key Themes
Anderson, D., & Anderson, L. (2001) <i>Beyond Change management: Advanced strategies for today's transformational leaders</i> . San Francisco, CA: Jossey-Bass/Pfeiffer.	<p>Remove barriers to information and energy exchange – transformation is an open exchange between people and the environment. Seed information to the critical mass, let conflicting positions be heard.</p> <p>Optimize human dynamics – plan for human transitions – letting go of the past, rites of passage; embrace differences and involve resisters; allocate time for human connection and needs; maximize “truth telling”; bring long standing “undiscussables” into the open and clear them up. Use team building and attend to relationships to build bonds between people across the project community.</p>	<p>Listen to critics</p> <p>Team building</p> <p>Build bonds</p> <p>Plan for time needed to let go of past and accept change</p>
Bennis, W., & Movius, H. (2006). Why Harvard is so hard to lead. <i>The Chronicle of Higher Education</i> , 52(28), B20.	<p>Three major university trends have made it more important than ever for university leaders to "successfully diagnose and confront areas of chronic conflict."</p> <ul style="list-style-type: none"> • Trend: Rise of science and technology can divide campuses by "creating a two-tiered culture of campus haves and have-nots, in which the non-science departments feel increasingly marginalized and undervalued." At Harvard non-science disciplines felt they had been left behind by plans for expanding science and technology. Divide can be lessened by building consensus and implementing a decision-making process that is seen as fair. • Trend:-Rise of campus entrepreneurship can cause more "decentralized and less cohesive university in which departments and schools that have large budgets operate almost like-separate institutions." • Trend: Rise of individual mobility makes competing for faculty more important. <p>Lessons that can be learned from Harvard's problems:</p> <ul style="list-style-type: none"> • In order for change agents to be successful they must have an enormous reservoir of good will. The bigger the change the bigger the reservoir needs to be. • Faculty members expect to be consulted on everything that affects them, have a voice in the process, be heard, and not be talked down to. Decision making must be perceived as being fair. • Transparency is necessary. Acknowledge inequities and conflicts and ask for help. Listen to people across campus and "elicit a collective vision for the future". • "Build consensus, share power, create an equitable decision-making process." 	<p>Faculty change:</p> <ul style="list-style-type: none"> • Change initiators need a lot of good will • Consult faculty in everything that affects them • Build consensus • Share power • Be transparent
Best, J. (2006) From fad to worse. <i>The Chronicle of Higher Education</i> . 52(32), B6.	<p>Many faculty have seen so many change initiatives turn out to be fads (short-term enthusiasm) that they may look at any change initiative as being just another fad and procrastinate until it goes away</p> <p>Often sufficient time is not allowed for studying the impacts</p>	<p>Faculty Change:</p> <p>Change can not be seen as a fad that will go away if ignored long enough</p>

	of a change for long-term effectiveness or recognizing fads before a change is implemented.	
Bridges, W. (1991). <i>Managing transitions: Making the most of change</i> . Reading, MA: Addison-Wesley.	Presents an overview of the change process, designed to help readers understand the difficulties of trying to get people to change, and specific tactics to help people cope with change. Makes distinction between change (external process) and transition, an internal process of ending old, being in "neutral zone", and the new beginning. Presents information on each stage and uses case study to illustrate strategies that are and are not effective for dealing with each.	<ul style="list-style-type: none"> • Change + Human Beings = Transition. • Cannot avoid this equation, but can manage it. • For the success of the change, must manage it.
Bruce, K. (2005, September). Embracing change for the better. <i>Foodservice and Equipment & Supplies</i> , 86.	Steps to effective change 1. Assessing the current situation 2. Determine the best practice 3. Clear and frequent communications	<ul style="list-style-type: none"> • Assess the current situation • Provide clear and frequent communication
Cameron, E., & Green, M. (2004). <i>Making sense of change management: A complete guide to the models, tools and techniques of organizational change</i> . London: Kogan Page.	Provides overview of managing many kinds of change in a corporate setting – from individual to team and organizational change. Addresses why change happens, how it happens, and how to welcome rather than dread it. Includes theory about change and how to lead. Applies theory by offering practical examples, drawn primarily from corporate and IT settings. Addresses a variety of frameworks, models, and ways to approach change, along with how to select the appropriate approach.	Overview of change management theory and practical application in corporate and IT settings.
Christensen C., Marx M., & Stevenson H. (2006) The tools of cooperation and change. <i>Harvard Business Review</i> , 84(10), 73-80.	For successful changes leaders must first assess the level of agreement within the organization regarding <ul style="list-style-type: none"> • extent to which people agree on what they want; values, priorities and goals • extent to which people agree on the actions that will lead to the desired outcome <p>The four broad categories of cooperation tools for change are:</p> <ul style="list-style-type: none"> • Power Tools (threats, coercion) Most effective tool when members of an organization have little consensus for either what they want or what to do. • Management Tools (training, standard operating procedures, measurement systems) These tools work best when members of an organization agree on cause and effect of actions but are not in agreement about what they want. • Leadership Tools (vision, role modeling, salesmanship, charisma) These tools work best when members of an organization have broad consensus about what members of the group want but there is not strong consensus regarding cause and effect of changes. • Culture Tools (tradition, rituals, democracy) These tools work best when members of an organization have broad consensus about what members of the group want and strong consensus regarding cause and effect of changes. 	Assess level of agreement regarding what is wanted and actions that will lead to the outcome Variety of management tools needed depending on level of agreement within change unit

<p>Coetsee, L. (1999, Summer). From resistance to commitment. <i>Public Administration Quarterly</i>, 205.</p>	<p>To move people from being barriers to being supporters keep them involved:</p> <ol style="list-style-type: none"> 1. Provide information about the process - communications 2. Provide knowledge of the work. 3. Provide empowerment, the ability to make decisions about their work. 4. Provide rewards and recognition 5. Provide vision – goals and values 	<ul style="list-style-type: none"> •Communication •Empower •Reward and recognize •Vision
<p>Dalziel, M., & Schoonover, S. (1988). <i>Changing ways: A practical tool for implementing change within organizations.</i> NY: <i>American Management Association.</i></p>	<p>Causes for change failure:</p> <ul style="list-style-type: none"> • Not taking end-user needs into account. • Not recognizing all of the functions (roles) involved in the change. • Not delegating responsibilities and involving others. • Not identifying who will be affected by change. • Not identifying whose support is needed. • Not defining expectations clearly. • Not seriously addressing complaints. <p>Tips to overcome resistance and implement a successful change:</p> <ul style="list-style-type: none"> • Provide a written and visible plan – revise and update as needed during the change process. • Assess if organizational unit is ready for change, if unit has a history of resistance to change: <ul style="list-style-type: none"> - explain change plans fully - present plans skillfully - make information readily available - make sure plan includes benefits for all in unit as well as the organization - spend extra time talking with unit members - ask for additional feedback from unit members - start small and simple - arrange for a quick, positive, visible payoff - publicize successes • Clarify expectations about the change <ul style="list-style-type: none"> - emphasize the common interests of all participants - specify all the assumptions about the impact of the change particularly the potential problems - communicate the plans early - ask for feedback - don't suppress or marginalize negative opinions - focus on clear, concrete outcomes • If the origin of the change is seen as a barrier to the change being accepted: <ul style="list-style-type: none"> - Identify end-user concerns and set goals that address those concerns as a first step. - Clarify who wants change and why - Present a clear case for the change - Bridge communication gaps among various groups in the organization. - Spend more time communicating. - Arrange for a quick visible payoff. • If lack of top management support is a barrier to the change: 	<p>Identify who affected, whose support is needed, needs of those affected.</p> <p>Written plan</p> <p>Assess readiness for change</p> <p>Clarify expectations</p> <p>Communicate how the change fits with overall organizational vision</p>

	<ul style="list-style-type: none"> - Become knowledgeable about the change. - Develop upper-level allies. - Develop informal coalitions for support. - Build a case for change that appeals to top-level concerns. - Start and sustain a formal management review process. - Ask for help. - Keep focused on practical outcomes. • If the organizations culture is not compatible with change: <ul style="list-style-type: none"> - Specify how the change fits with overall organizational directions. - Make change plan(s) overt, concrete, and simple. - Integrate the change into routine procedures whenever possible. - Initially implement the change in the most accepting surroundings. 	
Egan, G. (1988). Change-agent skills B: Managing innovation and change. San Diego, CA: University Associates, Inc.	<p>Strategies to overcome resistance:</p> <ul style="list-style-type: none"> • Define problems and opportunities in terms of the outcomes and behaviors that are in the control of the change agents. Don't state problems in terms of what others are or are not doing – no blaming. State problems in terms of 'what can we do to overcome.' Use energy in creative ways to manage problems. • Pick initial change or change task that can produce fast, positive results. • Identify a key player(s) that is ready to be productive in the change effort. 	<p>Start with change task that can produce fast positive results</p> <p>Identify key player(s) that is ready for change</p>
Goleman Daniel. (2000). Leadership that gets results. <i>Harvard Business Review</i> , 78(2), 78-90.	<p>All leaders, including change leaders, need to master different leadership styles and know which one will be effective for each situation.</p> <p>Authoritative Motivate by making it clear how individual jobs/tasks fit into the larger vision for the organization. Works best when changes require a new vision or when clear direction is needed.</p> <p>Affiliative Strives to keep employees happy and create harmony while building emotional bonds. Message is "people come first". This tactic improves communication because people who like each other talk more and share ideas.</p> <p>Democratic Works best to build buy-in or consensus or to get input from valuable employees.</p> <p>Coaching Works best to help improve performance and develop long-term strengths.</p>	Master several leadership styles
Harris D., Da Rosa, D., et.al. (2003). Facilitating academic institutional change: Redefining scholarship. <i>Faculty Development</i> , 35(3), 187-192.	<p>Conducted interviews about tenure change in five different medical schools and identified factors that foster or hinder change.</p> <p>Barriers to fostering change:</p> <ul style="list-style-type: none"> • Perceived misconceptions • Non-supportive stakeholders • Lack of resources <p>Factors associated with achieving buy-in:</p> <ul style="list-style-type: none"> • Involvement of department chairs in steering process 	<p>Faculty changes:</p> <ul style="list-style-type: none"> • Need broad inclusion and strong buy-in • Include critics in process • Identify advocates • Provide sufficient resources

	<ul style="list-style-type: none"> • Practices of broad inclusion • Collegial networking • Involvement of critics in the process • Identify champions for change within the faculty to promote the process <p>Factors associated with sustaining a change:</p> <ul style="list-style-type: none"> • Continuing reevaluation and education • Continuous show of support by institutional leadership • Recognition of individual efforts and accomplishments • Commitment of needed resources <p>Advice for others considering faculty change:</p> <ul style="list-style-type: none"> • Identify change advocates • Continue communication • Have broad inclusion in the process • Commit to allocation of resources 	
<p>Hiatt, J. M., & Creasey, T. J. (2003). <i>Change management: The people side of change</i>. Loveland, CO: Prosci Learning Center Publications.</p>	<p>Presents concepts and practical guidelines for managing the people side of change. Offers basic definition of change management that focuses on managing people in changing environments to make changes successful and to ensure the achievement of the desired results. Summarizes the primary change management principles:</p> <ul style="list-style-type: none"> • Senders and receivers • Resistance and comfort • Authority for change • Value systems • Incremental vs. radical change • The right answer is not enough • Change is a process <p>Uses the ADKAR model to understand how each individual goes through change:</p> <ul style="list-style-type: none"> • Awareness of the need to change • Desire to participate and support the change • Knowledge about how to change • Ability to implement new skills and behaviors • Reinforcement to keep the change in place <p>Uses ADKAR model to help organizations understand what they must do to successfully manage the people side of change.</p>	<p>Clear overview of how individuals experience change that can be applied in managing change in organizational settings.</p>
<p>Jones, J., Aguirre, D., & Calderone, M. (2004). <i>10 Principles of change management. Resilience Report</i>. Retrieved December 18, 2006, from http://www.strategy-business.com/resilience/rr00006?tid=230&pg=all</p>	<p>Provides “top 10” set of tools and techniques that can be adapted for use in many situations:</p> <ol style="list-style-type: none"> 1. Systematically address the human side. 2. Change starts at the top, with modeling and consistent behavior. 3. Involve every level of organization. 4. Articulate the case formally, with a written vision statement and a plan to get there. 5. Create ownership. 6. Overcommunicate through multiple, redundant channels. 7. Assess the cultural landscape. 8. Explicitly address organizational culture. 9. Prepare for the unexpected. 10. Speak to the individual. 	<p>List of tools and techniques for managing change in any setting.</p>

<p>Kekale, T. (1998). The effects of organizational culture on successes and failures in implementation of some total quality management approaches, Acta Wasanensia No. 65 (Industrial Management 1). University of Vaasa Publications.</p>	<p>Best chance of successful change is if change is big enough to be seen as being worthwhile but not so big it threatens the organization's identity and is not seen as being attainable. Need to decide on one of two major change strategies.</p> <ul style="list-style-type: none"> • Use the 'least resistance' route by starting with changes that best fit the existing assumptions of the organization and gradually change the culture by continuing to bring in new approaches that work or • Use the 'culture-change route' by systematically managing a culture change to accept new approaches. 	<p>Two change strategies: 1) Start with least resistance changes and gradually change culture by slowly bringing in more changes 2) Change culture first to accept changes</p>
<p>Kezar, A. J. (2001). <i>Understanding and facilitating organizational change in the 21st century: Recent research and conceptualizations</i>. Washington, DC: George Washington University, Graduate School of Education and Human Development. ERIC Document Reproduction Service # ED457763.</p>	<p>Synthesis of research literature on the process of organizational change with an emphasis on higher education institutions. Presents a way to think about a common language for understanding organizational change – the why, how, and outcomes of change. Outlines the six main categories of theories of change, and how each helps to understand, describe and develop insights about the change process, and discusses which have worked best in academic settings, including combinations of models. Discusses why it is critical to understand the nature of higher education organizations, and lists key features. Provides list of research-based principles of change:</p> <ul style="list-style-type: none"> • Promote organizational self-discovery • Be aware of how institutional culture affects change • Realize that change in higher education is often political • Lay groundwork for change • Focus on adaptability • Construct opportunities for interaction to develop new mental models • Strive to create homeostasis and balance external forces with internal environment • Combine traditional teleological tools such as establishing vision, planning, or strategy with social-cognition, cultural, and political strategies • Be open to a disorderly process • Facilitate shared governance and collective decision-making • Articulate core characteristics • Focus on image • Connect the change process to individual and institutional identity • Create a culture of risk and help people in changing belief systems • Be aware that various levels or aspects of the organization will need different change models • Realize that strategies for change vary by change initiative • Consider combining models or approaches 	<p>Change in Academic Culture Good synthesis of research literature on change management in academic context.</p>
<p>Kezar, A., Eckel, P: (2002) Examining the institutional transformation process:</p>	<p>Five core strategies common to institutions experiencing effective transformational change:</p> <ol style="list-style-type: none"> 1. Supportive senior Administrators/Leaders Individuals in positional leadership provide support in terms of value 	<p>Strategies for success:</p> <ul style="list-style-type: none"> • Supportive leaders • Collaborative/shar

<p>The sensemaking, interrelated strategies, and balance. <i>Research in Higher Education</i>, 43(3), 295-328</p>	<p>statement, resources, or new administrative structures.</p> <ol style="list-style-type: none"> 2. Collaborative/shared leadership The positional and non-positional individuals throughout the campus are involved in the change initiative from conception to implementation 3. Robust Design Taken from the work of Eccles and Nohria (1992). Leaders develop a “desirable” and flexible picture of the future that is clear and understandable and includes set goals and objectives related to the implementation of that picture. The picture of the future and the means to get there are flexible and do not foreclose possible opportunities. This concept originally includes vision, but was redefined based on the data from the study. 4. Staff and faculty development A set programmatic effort to offer opportunities for individuals to learn certain skills or knowledge related to issues associated with the change effort 5. Visible Action Steps in the change process that are noticeable. Activities must be visible and promoted so that individuals can see that the change is still important and is continuing. An important strategy for building momentum within the institution. (Definitions, p. 324) 	<p>ed leadership</p> <ul style="list-style-type: none"> • Clear picture of future with goals and objectives to achieve • Staff development • Visible action steps to maintain momentum
<p>Kotter, J. P. (1995). Why transformation efforts fail. <i>Harvard Business Review</i>, 74(2), 59-67.</p>	<p>Outlines and justifies 8 steps to transforming an organization:</p> <ol style="list-style-type: none"> 1. Establishing a sense of urgency 2. Forming a powerful guiding coalition 3. Creating a vision 4. Communicating the vision 5. Empowering others to act on the vision 6. Planning for and creating short-term wins 7. Consolidating improvements and producing still more change 8. Institutionalizing new approaches 	<ul style="list-style-type: none"> • These are the big mistakes • A vision is absolutely necessary
<p>Kotter, J. P., & Schlesinger, L. A. (1979). Choosing strategies for change. <i>Harvard Business Review</i>, 57(2), 4-11.</p>	<p>Resistance to change must be predicted and diagnosed. Resistance usually takes four forms:</p> <ol style="list-style-type: none"> 1. Desire not to lose something of value 2. Misunderstanding of the change and implications 3. Belief that change does not make sense 4. Low tolerance for change <p>Dealing with resistance:</p> <ol style="list-style-type: none"> 1. Education and communication 2. Participation and involvement 3. Facilitation and support 4. Negotiation and agreement 5. Manipulation and co-optation 6. Explicit and implicit coercion <p>Must choose strategy to overcome resistance based on:</p> <ul style="list-style-type: none"> • Amount and type of resistance anticipated • Position of the change initiators related to the resisters (power, trust) • Focus of relevant data for designing change and the energy to implement • Stacks involved 	<ul style="list-style-type: none"> • Evaluate and plan for resistance as the first step • Engage in a solution to resistance immediately, don't wait for it to surface
<p>Lenckus, D. (2001) Promoting change,</p>	<ul style="list-style-type: none"> • Build readiness for change • Identifying those impacted by change, where they are in 	<p>Build readiness for change</p>

<p><i>Business Insurance</i>, 35(20), 42.</p>	<p>the process, and where they need to be. Then identify actions that must be taken by management to close the gaps</p>	
<p>Leppitt, N. (2006). Challenging the code of change: Part 1. Praxis does not make perfect. <i>Journal of Change Management</i>, 6(2), 121–142.</p>	<p>Reviewed previous efforts by Beer and Nohria to classify the multiple change management models and research into two areas, Theory E and Theory O approaches. Theory E – any change approach that focused on economic value Theory O – any approach seeking to change organizational capacity Failure to integrate both economic value and organizational models limits long-term change Dimensions of Beer and Nohria integrated model: 1. Goals - explicitly embrace economic value and operational capability 2. Leadership – set direction from above and engage people from the bottom 3. Focus – focus simultaneously on the hard structures and systems and the soft corporate culture 4. Process and Planning – plan for spontaneity 5. Reward Systems – use incentives to reinforce, but not to drive process 6. Use of Consultants – consultants should be experts resources who empower employees Leppitt modified the Beer and Nohria approach recommending that dimensions include: 1. Context 2. Vision and strategy 3. Urgency 4. Consensus 5. Leadership 6. Build capability 7. Plan resources 8. Plan process 9. Secure resources 10. Delivery approach 11. Quick wins 12. Monitoring and metrics 13. Consolidation</p>	<ul style="list-style-type: none"> • There is a need for a new change management model that includes focus on organizational capacity and economic value • The proposed model requires revision
<p>Mento, A. J., Jones, R. M., & Dimdorfer, W. (2002). A change management process: Grounded in both theory and practice. <i>Journal of Change Management</i>, 3(1), 45–60.</p>	<p>For any model, successful change depends on:</p> <ul style="list-style-type: none"> • The nature of the change • How sensitive implementers are to voices in the organization • Recognition that change is continuous and not discrete • Models/plans must be like a pilots pre-flight checklist - even though they know it perfectly they follow it each and every time <p>A 12 step model for change management proposed from the three well known models of Jick, Kotter and GE</p>	<p>Change is a continuous process</p> <p>Be sensitive to voices of stakeholders</p> <p>Follow a plan</p>
<p>Meyer, C. B., & Stensaker, I. G. (2006). Developing capacity for change. <i>Journal of Change Management</i>, 6(2), 217-231.</p>	<p>Elements of change capacity 1. Capability to implement sequentially 2. Capability to implement a single change 3. Capability to maintain daily operations Key messages: <ul style="list-style-type: none"> • Communicate the reasons for change and the rationale. </p>	<ul style="list-style-type: none"> • Communicate reasons and rationale • Provide long term support

	<ul style="list-style-type: none"> • The pacing and sequencing (the tempo and timing) are very important • Organize the structure behind the process to provide long term support. 	
Newman, D. (2006). Quick change, <i>Hospitals & Health Networks</i> , 80(2), 84.	<p>Reasons for failure to change:</p> <ul style="list-style-type: none"> • Inadequate support from leaders • Inadequate buy in by those impacted by change • Confusion about results and accountability • Slow reaction to road blocks • Not removing allegiances to the old process <p>To succeed must:</p> <ul style="list-style-type: none"> • Include all levels of an organization • Must focus on the behaviors of the leaders and teams 	<p>Tips for success:</p> <ul style="list-style-type: none"> • Strong leadership • Buy-in • Clear expectations • Include all levels of organization in the process
Nickols, F. <i>Change management 101: A primer</i> . [On-line]. Retrieved December 18, 2006, from http://home.att.net/~nickols/change.htm	<p>There is no single strategy, assess:</p> <ol style="list-style-type: none"> 1. The degree of resistance 2. The size of the target population 3. The extent of the stakes - higher the stakes the more strategies to employee 4. The time frame allowed for the change 5. The level of expertise required for change <p>Key components to successful change</p> <ol style="list-style-type: none"> 1. do it 2. clear sense of mission 3. build a team 4. flat organizational structure 5. pick people with relevant skills and energy 6. toss out the rule book 7. action-feed back model – short intervals 8. set flexible priorities 9. everything is temporary 10. ask for volunteers 11. find a good “straw” boss and stay out of their way 12. give the team whatever they ask for 13. concentrate dispersed knowledge 	<p>Assess:</p> <ul style="list-style-type: none"> • skills and expertise needed • time needed <p>Tips for success:</p> <ul style="list-style-type: none"> • clear mission/vision • team building • pick change agents with needed skills • provide sufficient resources • identify knowledge base and bring together
Nickols, F. (2003). <i>Four change management strategies</i> . [On-line]. Retrieved December 18, 2006, from http://www.nickols.us	<p>Defines 4 different types of change strategies; gives underlying assumptions and circumstances under which each should be used:</p> <ol style="list-style-type: none"> 1. Empirical-Rational 2. Normative-Reeducative 3. Power-Coercive 4. Environmental-Adaptive 	<p>Conclusion: no single change strategy is best; should combine strategies based on each change initiative.</p>
OSD Comptroller iCenter (2002). Change management: Guiding organizations through transition. [On-line]. Retrieved December 18, 2006, from http://www.dod.mil/comptroller/learn/changeman.htm	<p>Addresses role of leaders in organizational change, by providing background on types of change, and describing role of change agent in making changes in federal agencies. Argues for taking a systems approach to organizations. Outlines elements of how to communicate messages related to change and characteristics of successful leaders. Lists things that can get in the way of change: cultural resistance; unclear goals and performance measures; and lack of incentives for change. Describes how to get beyond them:</p> <ul style="list-style-type: none"> • Set clear goals & performance measures to drive daily operations. • Build organization’s human capital to achieve results. 	<p>Describes role of leaders in change management in government agency setting. List of how to get beyond things that get in the way of change.</p>

	<ul style="list-style-type: none"> • Link programs & processes to results & customer satisfaction. • Base decisions on sound data. • Integrate business processes into enterprise-wide approach. • Need active, sustained leaders. • Need clear lines of responsibility & accountability. • Need incentives & consequences. • Need enterprise architecture. • Need monitoring & oversight. 	
<p>Olson, G. (2006). What conspiracy? <i>The Chronicle of Higher Education</i>, 52(25), C2.</p>	<p>The following factors may reinforce a culture of 'us versus them' by increasing competition between academic units.</p> <ul style="list-style-type: none"> • tight budgets • increased government and corporate influences • consumer attitude of parents and students <p>This type of culture makes it difficult to successfully implement changes due to a lack of trust. Administration needs to work with faculty to develop trust and consensus in order to overcome a perception of conspiracy against faculty before changes can be successfully implemented.</p>	<p>Faculty Changes: Administration needs trust and consensus from faculty in order for change to work – need to understand if there is a competitive culture between units</p>
<p>Perlmutter, D. (2005). We want to change; no we don't. <i>The Chronicle of Higher Education</i>, 52(10), C2.</p>	<p>Reasons for resistance to change in academic settings:</p> <ul style="list-style-type: none"> • Professors frequently hold the same position for a long time which leads to a natural tendency "to prefer ritual and repetition over upset and uncertainty." • "Academics especially resent change when it comes from above." It is important to recognize that professors and administrators will view change very differently. <p>Need to evaluate unit to determine if there is an 'us against them' culture that needs to be addressed before changes can be implemented. Need to identify factions with different agendas. Is opposition to change based on solid concerns that this is not the right change at the right time for the right reasons or is there opposition to any change that will be inconvenient? Is consensus possible?</p>	<p>Faculty change:</p> <ul style="list-style-type: none"> • Resent top down • Identify if there are factions that will work against one another • Understand culture regarding change in the unit
<p>Schaffer, R. H., & Thomson, H. A. (1992). Successful change programs begin with results. <i>Harvard Business Review</i>, 70(1), 80–90.</p>	<p>Outlined difference between activity-based change efforts and results-based change efforts. Fallacy of Activity-Centered Change</p> <ol style="list-style-type: none"> 1. Not keyed to specific results 2. Too large scale and diffused 3. Usually result in no measurable financial or operational results 4. Measurements usually focused on activities and not results 5. Driven by consultants and staff specialist, not by operation managers 6. Tend to be biased toward orthodoxy <p>Key benefits of results drive efforts:</p> <ol style="list-style-type: none"> 1. Managerial and process innovations are only introduced as they are needed 2. Empirical testing reveals what works 3. Frequent reinforcement of small positive achievements further accelerates the process <p>Process creates continuous learning based on results of previous efforts and affects the design of the next effort.</p>	<ul style="list-style-type: none"> • Focus on little achievable changes • Keep changes at the operation level • Reward and recognize

<p>Schuler, A. J. (2002). Planning change management communication, [Online]. Retrieved June 21, 2007, from http://www.schulersolutions.com/change_management_communication.html</p>	<p>Lists two key elements of core message in change management communications:</p> <ul style="list-style-type: none"> • A clear, brief statement of the purpose for the change—how the change will make the organization more successful • A clear statement of why such a change is in the interest of employees, and ideally how it will make their working lives better once completed 	<p>Key communication:</p> <ul style="list-style-type: none"> • Clear statement of purpose • Why change is in the interest of the employees
<p>Schweitzer L. (2000) Adoption and Failure of the Boyer Model at the University of Louisville. <i>Academic Medicine</i>, 75, 925-9.</p>	<p>Unsuccessful faculty tenure change:</p> <ul style="list-style-type: none"> • It was a top-down process that did not include enough attention to buy-in. • Faculty did not understand how the change would be helpful. • Goals of change not seen as being realistic and not given practical explanation of how change will be positive and beneficial • Not enough attention given to all possible negative impacts of change • The leadership was inconsistent regarding the change. • Change initiative did not have continuity in support so momentum was lost. <p>Change that was attempted to be implemented was based on a theoretic model for scholarship – not on the culture and specific situation of the University of Louisville.</p>	<p>Faculty changes: Need strong attention to buy-in, top down doesn't work</p> <p>Explain benefits of change</p> <p>Need sufficient support so as not to lose momentum</p> <p>Understand culture of unit</p>
<p>Steel, C. (2004). <i>UQ blackboard implementation project June 2004-July 2005: Change management and communication plan</i>. Communication Plan V2.1doc, University of Queensland, Australia, October 2004.</p>	<p>The document is a good example of how to lay-out a communication plan, including three key parts:</p> <ul style="list-style-type: none"> • Stakeholders Analysis • Approaches and Principles • Plan and Schedule of Events. 	<p>Developing communication plan</p>
<p>Storberg-Walker, J., & Torraco, R. (2004). <i>Change and higher education: A multidisciplinary approach</i>. Paper presented at the Academy of Human Resource Development International Conference (AHRD), Austin, TX.</p>	<p>The governance structure of higher education, combined with numerous institutional leaders, managers, and academics, resembles more like the governance and leadership of democratic country than the governance and leadership of a typical business organization. Organizational politics, coalition building and the differential power of both leaders and constituents play a much greater role in higher education organizations than in the traditional view of the firm. (p. 812)</p> <p>Key factors in higher education change include:</p> <ul style="list-style-type: none"> • Institutional Leadership and governance • Diverse stakeholders and constituents • Understanding institutional culture is critical to implementing change Each step of the planned change process seeks to be aligned with the culture in order to be successful. In higher education environments, however, studies have found distinct subcultures 	<p>Understanding institutional culture is critical to implementing change</p> <p>Individual transformative learning is required for organizational change</p> <p>Change in academic institutions is evolutionary, deliberate, and incremental rather than revolutionary</p>

	<p>generated from the loose coupling of institutional sub-units (Weick, 1976) The consequence of these sub-cultures is problematic for one overarching planned change process and it means that each step should be culturally sensitive to a number of sub-units in order to have an impact on system-wide changes.</p> <p>Individual transformative learning is required for organizational change. If an organization does not place a high priority (with appropriate resources) on individual transformation, then organizational change interventions may fail.</p> <p>Change in higher education is typically characterized by collegiality, extended dialogue, consensus, emphasis on educative excellence, and respect for academic tradition.</p> <p>Change is evolutionary, deliberate, and incremental rather than revolutionary and quantum in nature.</p> <p>The complex governance structure, diverse constituencies, and cultures of higher education contribute to a pace of change that is considerably slower than what is typical in the private sector</p>	<p>and quantum in nature.</p>
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Appendix D

Interview Questions for Executive Leaders

What is your role/job in your unit?

How would you describe the University's definition of transformational change?

How would you describe the University's objectives for transformational change?

How would you describe the impetus for transformational change across the university at this time?

Describe the change your area/unit experienced/is experiencing.

What was the impetus/reason for the change?

Who was the initiator/initial champion for this change?

Describe your role in the change. Were you appointed for this role, or did you volunteer for this role? How were you trained for this role?

What was done to evaluate the unit's readiness for change?

What institutional resources were made available for this change?

How did you identify the change agents, leaders of this change? Were they asked or appointed? How were they trained? How were they rewarded?

Was there a written plan for this change? Who developed this plan? How did it address the project steps of the change? How did it address people issues of the change? How was this plan communicated to the change agents? To others within the unit?

Were there changes made to your systems and structures to accommodate the change process? If none, would changes have been beneficial?

What was done to create buy-in and support for this change?

What message were top administrative leaders trying to send to all levels of the institution related to the change, the goals of the change, and the change process? How was this message communicated to you? Was this communication effective? How could it have been better?

What messages did you communicate to the people who work for you about this change? Was what you did effective? How could it have been better?

In your opinion, was the change in your unit successful? If not, why not? If yes, why?

What are your feelings toward the process? As you went through it? Now?

What advice do you have for others on lessons you learned from this change?

Appendix E

Case Study Interview Questions

Interview Questions for Senior Leaders

What is your role/job in your unit?

How would you describe the University's definition of transformational change?

How would you describe the University's objectives for transformational change?

How would you describe the impetus for transformational change across the university at this time?

Describe the change your area/unit experienced/is experiencing.

What was the impetus/reason for the change?

Who was the initiator/initial champion for this change?

Describe your role in the change. Were you appointed for this role, or did you volunteer for this role? How were you trained for this role?

What was done to evaluate the unit's readiness for change?

What institutional resources were made available for this change?

How did you identify the change agents, leaders of this change? Were they asked or appointed? How were they trained? How were they rewarded?

Was there a written plan for this change? Who developed this plan? How did it address the project steps of the change? How did it address people issues of the change? How was this plan communicated to the change agents? To others within the unit?

Were there changes made to your systems and structures to accommodate the change process? If none, would changes have been beneficial?

What was done to create buy-in and support for this change?

What message were top administrative leaders trying to send to all levels of the institution related to the change, the goals of the change, and the change process? How was this message communicated to you? Was this communication effective? How could it have been better?

What messages did you communicate to the people who work for you about this change? Was what you did effective? How could it have been better?

In your opinion, was the change in your unit successful? If not, why not? If yes, why?

What are your feelings toward the process? As you went through it? Now?
What advice do you have for others on lessons you learned from this change?

Interview Questions for Middle Managers

What is your current role/job in your unit?

Describe the change your area/unit experienced.

What was the impetus/reason for the change?

Who was the initiator/initial champion for this change?

Describe your role in the change. Were you appointed for this role, or did you volunteer for this role? How were you trained for this role?

What resources were provided to make the change happen? If so, were resources available to deal specifically with the human impact of the change? Describe these resources. How did you find out about these resources? Were they enough?

Were you working from a written plan? If yes, who wrote the plan? What did it include (steps of project, i.e. goals, timelines, specific action steps, outcomes, milestones, etc? issues/plans about people, i.e. input from those affected by change, communication plans/messages, etc?)? Was it ever updated?

What messages were you given by management (senior management of University &/or within your unit) about this change, the goals of the change, and the change process? How was this message communicated to you? Was this communication effective? How could it have been better?

What messages did you communicate to the people who work for you about this change? Was what you did effective? How could it have been better?

Did you identify change agents among the operational staff in your unit? How were they identified? How were they trained? How were they rewarded?

In your opinion, was the change in your unit successful? If not, why not? If yes, why?

What are your feelings about the change? As you went through it? Now?

What advice do you have for others on lessons you learned from this change?

Interview Questions for Operational Staff

What is your current role/job in your unit?

Describe the change your area/unit experienced.

What was the impetus/reason for the change?

Who was the initiator/initial champion for this change?

Describe your role in the change. Were you appointed for this role, or did you volunteer for this role? How were you trained for this role?

What support or resources did you have to implement change assignments? How did you know these resources were available? Was it enough? What else would have been helpful?

Who within your unit was charged with leading the change process? How were they charged with this role?

If your unit is or was following a written change plan, describe what it includes. Who wrote it? Did you have input into the development of this plan? Was it ever updated?

What messages were you given by management (senior management of University &/or within your unit) about this change, the goals of the change, and the change process? How was this message communicated to you? Was this communication effective? How could it have been better?

How did you learn about changes affecting what your job was or how you did it? Was this a good process? If no, how could it have been improved?

How did you learn about how these changes affected your work unit as a whole? Was this a good process? If no, how could it have been improved?

What support were you given to go through either type of change (listed in questions 10 & 11)? Was it effective? How could it have been different/improved?

Did you have opportunities to provide feedback about any of these changes? To whom? In what form? If yes, what was the outcome of this feedback?

In your opinion, was the change in your unit successful? If not, why not? If yes, why?

What are your feelings about the change? As you went through it? Now? What could be done to change your feelings about this change or change process?

What advice do you have for others on lessons you learned from this change?

Appendix F

Lessons Learned

All interviewees were asked the following question: “What advice do you have for others on lessons learned from your change process?” The following is a representative sample of responses from each group.

Executive Leaders

- Changes take more time than originally anticipated, so it is necessary to allow more up-front time for preparation, emotional processing, and cultural changes.
- We need to pay more attention to communication, including an internal communication plan, methods of communication, and ensuring that a consistent message is going all the way through the ranks within any change initiative.
- Change agents must be willing to keep evaluating and reviewing the change process and have the courage to amend the change as needed – remain open & flexible.
- It is difficult to maintain momentum and support for long-term changes.
- Planning for change and implementing changes are equally important processes. It is important to be aware that academic institutions typically have a stronger culture for planning than for implementation.

Senior Leaders

- Be aware that multiple quickly implemented changes will create significant stress for the people involved. Fast moving change can be a successful strategy to establish momentum, but it may come at a high price.
- Develop a formal project plan and use it to organize and track progress. Designate one main project manager. Try to keep a balance between analysis and going forward.
- Communicate to staff and communicate to stakeholders. Offer reassurance and show appreciation for staff. Build in motivation, celebration and rewards to help with morale and to develop a culture of teamwork.
- Learn from others who have gone through a similar process.

- It is best to start with as complete a sense of the end product as possible. Then it is beneficial to communicate the entire end product to all levels of the organization affected by the change.
- Identify individuals – internal and external – who can help identify and clarify the need for change for staff who will be directly affected by the change.
- Don't underestimate the time and energy that it takes to make transformational change happen! It takes time to define, refine, and practice new ways of doing things. It is important to provide data and specific information to support rationale for change and why it will improve things.
- It is important to maintain positive energy. Reinforce messages about why this change, why now, and how it will make things better.
- Must really believe, must be able to assess situation, seek counsel from good people, make sure to “manage up,” clearly communicate and inform people above you. Must have support from top leadership. Must clearly identify those people who are predisposed in the direction of your change.

Middle Managers

- Get your ducks in a row and plan. Have the right people at the table. Have a plan and how to implement.
- Clear communication is very important. Change is an emotional process, so need to be careful about language used.
- Have someone come in and talk about change management and what to expect.
- Make coaching available for middle managers at the beginning of the change.
- Have a vision of the change and where you're going. Clearly define what you are trying to accomplish.
- Have a designated person to coordinate some activities.
- Have humor – don't take this all too seriously.
- Be kind.

- Have balance in your life: eat healthy meals, get enough sleep, exercise and go out in nature.
- Take care of the people first, then you'll be stronger moving forward.
- Identify clear lines of communication.
- Communicate! People who have the information need to make sure the right people get it.
- Communication is a two-way street – make sure employees have time to vent or air concerns, and feel they have been listened to. However, must balance this with not letting it stop the process.
- Keep trying – do not get set back when someone says that what you want to do cannot be done.
- Know what cannot be done and ensure people know they have been heard.
- Provide time for people to digest and contemplate the change and its impact. Great observations and ideas develop from this time.
- Never forget to give credit and reward extra effort and achievement.
- Clear messages are essential. Be clear to all involved what the benefit(s) of the change will be to all concerned.
- Figure out how much the change will cost; strong financial analysis upfront is important.
- Take care of the people; this is your social capital, and you can demoralize your workers quickly.
- Do a social and cultural analysis before and during the change initiative.
- Keep revising what you are doing.
- Try not to get emotionally involved; be conscious of yourself as a model.
- Use non-biased outside consultants to help gain perspective on change.
- Recognize that the residual effects of change can go on for years.

- Recognize that you cannot get someone to change if they do not want to – make what you will do with these people part of your planning.

Operational Staff

- If you have questions, ask them. Seek out answers, do not wait. Keep lines of communication open, both ways.
- Engage in the change process, it can work to your advantage. Those engaged are now showing the fruits of their labor. Align yourself with those who are engaged and want to make a move.
- Identify a liaison for staff, who will work with staff and listen to needs of staff, then take this feedback to management. This person should represent point of view of those going through the changes.
- Open communication makes the whole process easier, lets employees ask questions if they do not know something.
- Recognize and be forthright that there will be challenges and sometimes painful moments in the process.
- There is a big human impact at the operational level; remember to plan for the impact and then measure the results.
- Prepare people for the next change as you are going through a change; people must be able to change and adapt. Change will continue to happen.
- When staff members have leadership experience or skills, recognize them as a resource and make use of their contributions.
- Change is a part of life; sometimes the changes will take us to another road. It is also a time of self-exploration. A time to ask: “What do I need from work; from life?”
- Get feedback from all parties involved, a top-down approach without a feedback mechanism will result in more push-back from those affected by change. This will slow the change process in the end.

Appendix G

Suggestions for a Change Management Toolkit Ideas, Considerations, and Checklists

The following are principles and questions to consider when preparing for change, and a set of checklists to help implement change. They were compiled from the findings in the literature review and enhanced with staff interview input.

I. Underlying Principles to Keep in Mind for All Changes

- Change is a process – a journey and not a destination.
- Everyone responds and reacts to change differently.
- Change needs to be done one person at a time.
- Each and every person needs to see themselves as a change agent.
- Change Management and Project Management are not the same thing. Each requires different training and a different skill set.
- The unit undergoing change must have a concrete reason for a specific change - in addition to supporting the University's overall goal of "becoming one of the top three public research universities in the world". What are the benefits of the specific change and who will it benefit? At what level will each group/individual benefit?
- Change agents need to be properly identified and given sufficient time, training and resources to successfully implement the change.
- In order to implement successful change, it must be led by trained leaders who are skilled, competent, and have good communication skills.
- Senior leaders need to be aware of the 'marathon effect' in change implementation. Top level change agents will naturally be moving forward in the change process before others may even start the change process. Everyone involved in the change needs to be given time to 'catch up' to the front runners.
- Units undergoing change are so diverse in culture and change projects are so diverse in scope that a wide variety of tools are needed to meet the needs of specific change agents.
- Change management models used for academic institutions need to be customized to take into consideration characteristics of an academic institution:
 - The independent nature of faculty makes it necessary to pay particular attention to their engagement in the process.

- Academic institutions are exceptionally good at researching options and planning but need strong leadership at all levels for implementation of changes.
- Communication is an important and on-going part of any change initiative.
- Most organizations have strong informal communication networks. Be aware of their role in, and effect on, all communication.

II. Preparing for a Specific Change

Questions for executive and senior leaders to discuss in order to prepare for a large-scale change implementation:

- What organizational unit(s) will the change affect?
- What organizational unit(s) will implement the change?
- Is the organizational unit ready for the change? (Does everyone in the unit understand the reason for the specific change, how it supports the University's overall goal, its impact on the university, and its impact on them and their work?)
- Have all stakeholders been identified and included in the process?
- Does the unit have the right mix of skills to make the change happen? If not, how can the skills be gained and how long will that take?
- What needs to be done to ensure successful implementation?
- What preliminary work needs to be done before attempting implementation?
- Have needed resources been identified and provided for?
- Have middle managers and local leaders been provided with the training and resources they need to be able to 're-package' messages from upper management in order to provide a consistent but customized and contextual message for staff/faculty in their unit?

Questions for each administrative unit to discuss when determining which specific changes to implement:

- What must change?
- What is OK to change?
- What should not change?
- What needs to be changed immediately and what should/could be a long-term change process? (Planning and implementation of immediate changes and long-term changes may need to be handled differently.)
- At what level(s) does change need to occur?
- What are potential negative aspects of proposed changes(s)?
- What might we lose in the process?
- What is the risk of not moving forward with the change?
- What is the risk of going forward with the change?

- What is the critical mass of consensus (buy-in) needed in order for the change initiative to successfully move forward? Who needs to be on board?
- What time frame is needed to bring about the change successfully from a project management point of view?
- Has an assessment been done to determine the proper speed of the change implementation from a change management point of view? Too slow and momentum will be lost – too fast and the needed preparations won't be completed.
- When considering a unit's readiness for change, be aware of the potential negative impact of layered changes. Units that already are engaged in one or more changes may need additional time or other resources if it is necessary to stay on track with a timeline.
- Is enough time being allowed to consider all aspects of a change before implementation is started? Many problems can be avoided and resistance can be overcome, by providing sufficient time to talk about possible consequences. Address perceptions as well as 'realities'.
- How can operational staff be included in the early stages of the process?

Checklist for Unit Level Tasks to Prepare for Change Initiative

1) Assess unit's readiness:

- Is it clear who wants the change and why? Has this been communicated to entire staff?
- Have stakeholders been identified and included in preparation?
- Are plans for change and its outcomes explained in a simple, detailed way?
- Are plans for change put in terms that are meaningful to those who will be affected?
- Are the common benefits for both the organization and the staff clear?
- Is there strong support for change from top management?
- Is there support from key stakeholders who can act as change agents?
- Are the potential problems or conflicts with present practices stated up front?
- Was enough time spent gathering information and opinions, defining potential problems, and getting feedback about the changes?
- Has enough support been built for the change?
- Do unit members have the skills needed to implement the change?
- Can the change be initially introduced in a small, accepting part of the unit?
- Does the change plan address the concerns of those who will be the most affected?
- Have people who are not supportive of the change been brought into the process in a meaningful way? They may have legitimate concerns and can provide valuable insights into areas that may need more preparation in order to bring about a successful change.

- Have points of reflection and evaluation been planned during the change process and at the conclusion?
- 2) Determine which of the following roles are needed to successfully implement the change and if the right people are in the right roles:
- The inventor role
 - integrates trends and data into concepts, models, and plans
 - envisions the big picture
 - adapts plans
 - The entrepreneur role
 - focuses on organizational efficiency and effectiveness
 - identifies critical issues and new possibilities
 - actively seeks advantages and opportunities
 - The integrator role
 - forges alliances
 - gains acceptance for change
 - relates practical plans to strategic plans
 - The expert role
 - takes responsibility for technical knowledge and skills to bring change about
 - uses information skillfully and explains it in a logical way
 - The manager role
 - simplifies, delegates, and assigns priorities
 - develops others and gets the job done
 - The sponsor role
 - insures support and resources from higher levels
 - communicates where change fits in organizational vision
- 3) Create a written change plan:
- Is the plan concise, clearly written, with specific action steps for each phase of change?
 - Is a communication plan part of the overall plan? Communication should be frequent, personal, repeated in multiple formats, not just a repetition of slogans – need to connect message to context at the time and to the specific audience.
 - Are goals stated as accomplishments or outcomes rather than means or strategies?
 - Are roles and responsibilities for team members described?
 - Does plan include a timeline?
 - Is plan realistic for outcomes and timeline?
 - Does plan support the organization's overall strategy and values?
 - Is the written plan distributed to the right people before initiation to gain support?
 - Is the written plan distributed to all staff/faculty who will play a role or whose work will be affected?
 - Has the plan had the input of an appropriate brainstorming group?

- Have a number of influential individuals been interviewed to get their input?
- Does the style of the written plan fit the organization?
- Is more than one communication method employed to make the plan more visible?
- Is there both a formal and informal network to lend credence and support to the plan?
- Are methods included to reward individual participation in the change process?
- Are methods included how to recognize and publicize successes?
- Are methods included to provide the needed staff skills?
- Are methods included to deal with the human impact (emotional) of the change process and the change itself?
- Are needed resources identified including human resources? List specific assistance that central HR will provide. List specific assistance that local HR will provide.
- Are methods included to get everyday work done while change is being implemented? Are temporary job re-assignments needed and included in the plan?
- Are steps included to review and amend plan as needed?
- Does the plan include milestones to measure success and provide opportunities for celebration?
- Does the plan clearly identify both the primary sponsor of the change, and the 'go to' implementation leaders?

III. Implementing the Change

Questions for checklist to overcome resistance during implementation.

- Is there a sound communication plan?
- Is a plan written that is clear, substantive, flexible, and appealing?
- Does the plan include methods to address the human factors in the change project?
- Does the plan allow enough preparation time to build skills and address human factors?
- Is the plan presented skillfully and explained fully to all stakeholders?
- Is the plan and other information about the change readily available to all stakeholders and communicated in an effective manner?
- Does the plan include benefits for all in the unit, as well as the organization as a whole?
- Is extra time spent talking with unit members?
- Are unit members asked for additional feedback? (The more resistance is encountered, the more honest feedback is needed.)
- Is negative feedback used in a positive way to make necessary modifications?
- Is participation encouraged early in change initiative?
- Is there a small and simple project/task to start with that has a high possibility for a quick, positive, visible payoff?

- Have needed resources been realistically assessed? Have sufficient resources been committed before attempting implementation?
- Has the desired changed behavior been modeled at the top and moved down through all levels?
- Have successes been recognized?
- Has each person been provided with a stable 'emotional safe place' (something that will not change) in order to help them cope with large scale changes?

Five Steps for Change Implementation:

1. Write & clarify plan
 - action steps with measurable outcomes & milestones
 - use appropriate input to create realistic goals and timelines
 - identify who is responsible for implementation
 - make plan visible – distribute to right people for support
 - continue to communicate plan and changes to plan to ensure that the change has direction and movement
2. Integrate new practices
 - ensure that everyone is prepared for the change – make rational and procedures well known
 - limit amount of change introduced in each phase of implementation
3. Provide education
 - specify key principles underlying change
 - clarify needed training by asking end-users what skills and knowledge they need to implement change
 - incorporate their feedback in training
 - train motivated or influential end-users first
 - evaluate training by observing work practices and getting end-user feedback
4. Foster ownership
 - plan change in a way that benefits end-users
 - involve end-users in change process – collaborate about ways to integrate into normal operations
 - build in incentives for innovation and change
5. Give and get feedback
 - use a range of feedback processes
 - utilize feedback to advance the change effort
 - publicize that you are using feedback suggestions

Checklist questions for change agent(s) to ask himself/herself in order to keep change plan on track during implementation:

- Is the plan specific enough? Does it need updating?
- Am I communicating goals and milestones and specifying tasks?
- Have I provided for clarifying the plan at each step of the implementation?
- Have I arranged for an on-going program of education about the change?

- Am I using the best skills and talents available?
- Have I monitored the performance of those filling the change team roles?
- Am I influencing others to get adequate buy-in?
- Am I modeling the behavior I want to see in the unit?
- Am I appropriately negotiating and compromising to attain the overall goals of the change effort?
- Am I providing strong enough leadership to keep on track and overcome resistance?
- Are we reaching milestones and am I rewarding the team for achieving those milestones and goals?
- Do my coworkers identify the new processes and procedures as their own? Do they own the process?
- Have I consistently asked my team for feedback and suggestions?
- Have I appropriately handled both positive and negative feedback?
- Have I publicized how I am using the team's input?
- Are there specific measures to track progress and is that being done effectively?
- Are we celebrating success along the way?
- Are sufficient opportunities provided for team building?