Leading People
Business Knowledge Module: CM Unit 2

Leading and Facilitating Change

Leading People (Business Knowledge Module: CM Unit 2):
Leading and Facilitating Change

9.00am	Introduction And Overview Of Workshop 1	Hedy Bryant, Facilitator
9.20am	Workshop Objectives: Leading and Facilitating Change	
9.30-9.45am	Prioritising the Changes We Will Use to Develop Group Change Management Plans	Carissa Michel, Facilitator
9.45-10.00am	Using the Framework as a Guide to Developing a Change Management Plan: Key Questions, Underlying Assumptions & Myths	
10.00-12noon	**Dimension 1 and 2 : Laying the Foundations & Establishing a Sense of Urgency**	
10.00-10.30am	What are the current forces or culture for change? Group exercise The Manager as Change Leader at CSU	Hedy Bryant, Facilitator
10.30am	**Morning Tea and groups commence exercise**	
10.30-12noon	Dimension 1 and 2 Group Work	
11.45am	Groups Report Back	
12.00-2.30pm	**Dimensions 3, 4 & 5: Change Team & Interventions; Creating Strategic Alignment & Communicating the Vision**	
12.00-12.30	An Historical Scan: Change Intervention Workshop	Hedy Bryant, Facilitator
12.30pm	**Lunch and networking**	
1.00-2.00pm	Dimensions 3, 4 & 5 Group Work	
2.00-2.30pm	Groups Report Back	Carissa Michel, Facilitator
2.30- 4.30pm	**Dimensions 6,7 & 8: Maximising Connectedness; Creating and Celebrating Short-term Wins; Consolidating Performance Improvements: group Work**	
4.00pm	Groups Report Back	Hedy Bryant, Facilitator
4.30	**Reflection On The Workshop Outcomes, Our Change Management Plans, Next Steps & Evaluation**	Hedy Bryant and Carissa Michel

9.00– 9.20am INTRODUCTION AND OVERVIEW OF WORKSHOP 1:

Objectives of Workshop 1
At the end the session participants will be able to identify:
- the key stages of change
- their generic responsibilities and accountabilities for managing change as leaders and managers at CSU
- why managing change is important for organisational transformation
- the key dimensions of the CSU Organisational Change and Renewal Framework

What we covered
What is change? The stages of change. Why manage change? How and when do we manage change? The eight key dimensions of the framework.

Homework: developing an outline of a change management plan; focussed discussion
What progress was made on developing a change management plan using the CSU Interact plan as a guide?
What were the good points, what was challenging or could be changed?

9.20-9.30am OBJECTIVES FOR LEADING AND FACILITATING CHANGE WORKSHOP 2:

Objectives
At the end of this workshop, each participant will have:
- an ability to identify and apply approaches and tools to design and lead effective change
- explored appropriate leadership options for facilitating change
- an ability to develop a change management plan using the CSU Organisational Change and Renewal Framework and the Project Management Framework
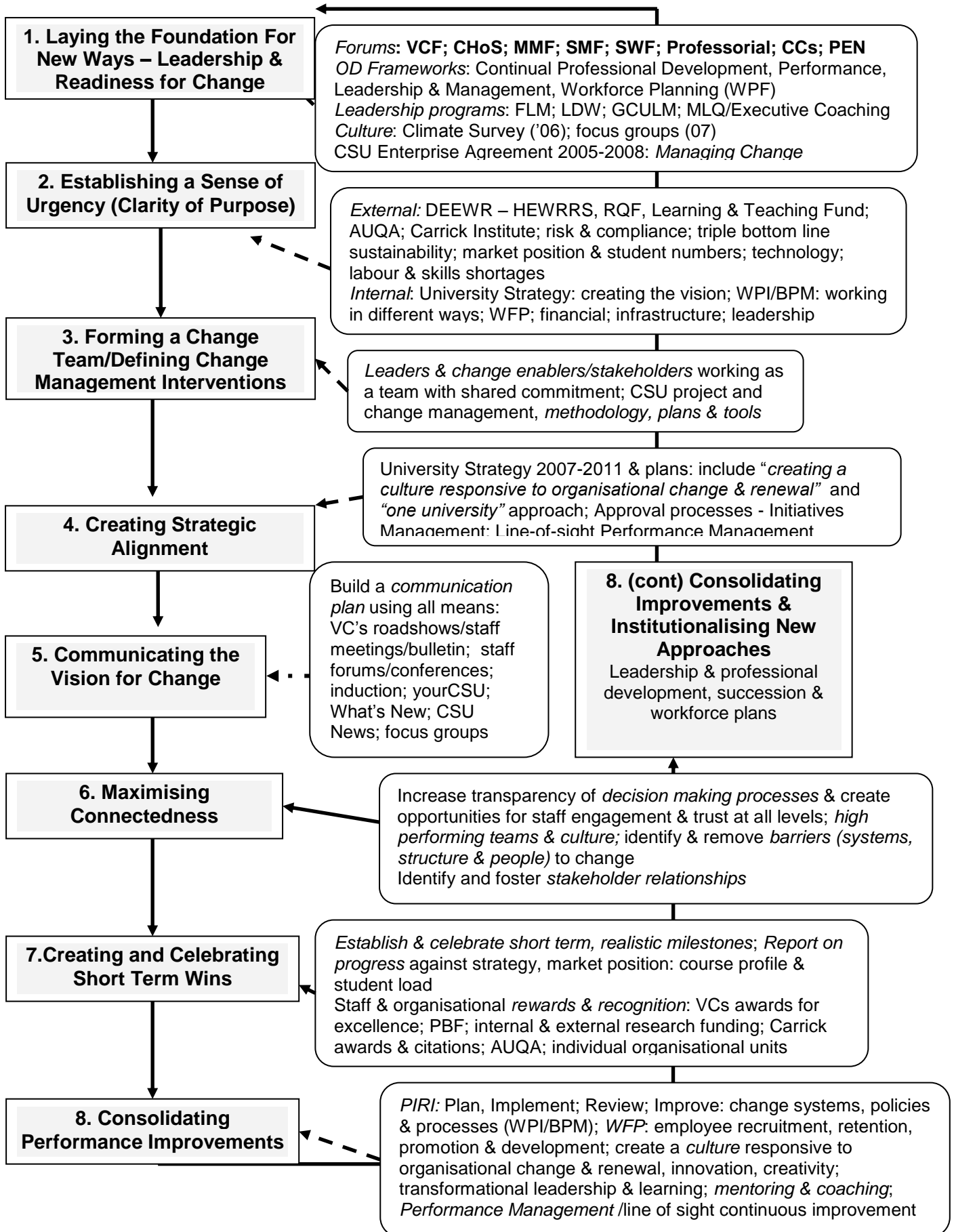
Our workshop focus is on using the CSU frameworks and methodologies to develop a change management plan.

9.30-9.45am PRIORITISING THE CHANGES WE WILL USE IN THE WORKSHOP

Exercise whole group: What current or proposed changes will we use?: consensus workshop
Participants will share the important change that they wish to work on to develop a change management plan. Changes will be placed on a coloured piece of paper, posted up to the wall chart, clustered by area, type or name and then prioritised with 3 to 4 being selected for groups to work on. Participants will nominate to the group (change) on which they wish to develop a plan. A maximum of 6 people will be assigned to each group.

Figure 1: CSU Organisational Change and Renewal Framework:
The Eight Dimensions for Effective Organisational Change and Renewal
(after Kotter 1996. 2002, and Synnot 2007)

1. Laying the Foundation For New Ways – Leadership & Readiness for Change

Forums: **VCF; CHoS; MMF; SMF; SWF; Professorial; CCs; PEN**
OD Frameworks: Continual Professional Development, Performance, Leadership & Management, Workforce Planning (WPF)
Leadership programs: FLM; LDW; GCULM; MLQ/Executive Coaching
Culture: Climate Survey ('06); focus groups (07)
CSU Enterprise Agreement 2005-2008: *Managing Change*

2. Establishing a Sense of Urgency (Clarity of Purpose)

External: DEEWR – HEWRRS, RQF, Learning & Teaching Fund; AUQA; Carrick Institute; risk & compliance; triple bottom line sustainability; market position & student numbers; technology; labour & skills shortages
Internal: University Strategy: creating the vision; WPI/BPM: working in different ways; WFP; financial; infrastructure; leadership

3. Forming a Change Team/Defining Change Management Interventions

Leaders & change enablers/stakeholders working as a team with shared commitment; CSU project and change management, *methodology, plans & tools*

4. Creating Strategic Alignment

University Strategy 2007-2011 & plans: include "*creating a culture responsive to organisational change & renewal"* and *"one university"* approach; Approval processes - Initiatives Management: Line-of-sight Performance Management

5. Communicating the Vision for Change

Build a *communication plan* using all means: VC's roadshows/staff meetings/bulletin; staff forums/conferences; induction; yourCSU; What's New; CSU News; focus groups

8. (cont) Consolidating Improvements & Institutionalising New Approaches
Leadership & professional development, succession & workforce plans

6. Maximising Connectedness

Increase transparency of *decision making processes* & create opportunities for staff engagement & trust at all levels; *high performing teams & culture;* identify & remove *barriers (systems, structure & people)* to change
Identify and foster *stakeholder relationships*

7.Creating and Celebrating Short Term Wins

Establish & celebrate short term, realistic milestones; *Report on progress* against strategy, market position: course profile & student load
Staff & organisational *rewards & recognition*: VCs awards for excellence; PBF; internal & external research funding; Carrick awards & citations; AUQA; individual organisational units

8. Consolidating Performance Improvements

PIRI: Plan, Implement; Review; Improve: change systems, policies & processes (WPI/BPM); *WFP*: employee recruitment, retention, promotion & development; create a *culture* responsive to organisational change & renewal, innovation, creativity; transformational leadership & learning; *mentoring & coaching*; *Performance Management* /line of sight continuous improvement

4

9.45-10.00am   USING THE FRAMEWORK AS A GUIDE TO DEVELOPING A CHANGE MANAGEMENT PLAN

Key Questions (from the Framework):

When developing a Change Management Plan consider the following questions which are linked to the eight (8) dimensions of the CSU Organisational Change and Renewal Framework (Figure 1 and following Clauses 5.2 to 5.9):

1. Have you considered the underlying assumptions? (Section 6.)

Assumptions for those wishing to initiate change:
1. Don't assume that your version of what the change should be is the one that could or should be implemented. You have to be prepared to modify your view of what should be through interaction with others concerned.

2. Change involves ambiguity, ambivalence and uncertainty about the meaning of the change. Effective implementation is a process of clarification.

3. Some conflict and disagreement are not only inevitable but fundamental to change.

4. People need pressure to change (even in directions they desire) but it is only effective under conditions that allow them to react and interact. Re-socialisation is at the heart of change (otherwise you need to replace the people involved!).

5. Effective change takes time. It is a developmental process that may take at least two years.

6. Lack of implementation isn't necessarily attributable to rejection or resistance. There are many other reasons including insufficient resources or time elapsed.

7. Don't expect all, or even most, people or groups to change. Progress occurs by increasing the number of people affected.

8. You need a plan based on these assumptions and underpinned by knowledge of the change process.

9. Change can be a frustrating, discouraging business. If you are not in a position to make the above assumptions, which may well be the case, don't expect significant change, as far as implementation is concerned.

(Adapted in Robson Real World Research 2003, p220– Fullan 1982, p91)

Key Change Lessons and Myths in Universities:
(Scott 2004 – for good examples on lessons refer to this paper)

Lessons:
1. You cannot address every relevant change idea that comes along.

2. Change is a learning process – not an event – and the motivation of key players to engage in and stick with it is critical to successful implementation.

3. A university's culture is a powerful influence on motivation.

4. Change in one area of university activity typically triggers a need for change in other areas.

5. Successful change is a team effort.

6. It is necessary to focus simultaneously on the present and the future.

7. Change is a cyclical – not linear – process.

8. It is important to look not just at inside but outside for effective change solutions.

9. Change does not just happen – it must be led.

Myths:
1. *The consensual myth*. "Look we've all agreed that putting our lecture notes up on the web is a good idea so that's what we're going to do!'

2. *The change event myth*. 'Well, the hard works done, we've got the new university structure approved, now all you lot have got to do is implement it.'

3. *The silver bullet myth*. 'Just follow this five-step method to successful change and all will be well.'

4. *The brute logic myth*. 'I've told them three times now and they still can't see that using practice-based learning in their course will make it much more exciting.'

5. *The linear myth*. 'It's easy: we'll get the new transdisciplinary course approved, get the infrastructure in place, run a staff workshop on it and it'll be working by next semester.'

6. *The knight on the white charger myth*. 'Now we've got a better Dean, this Faculty will really take off.'

7. *The either/or myth*. 'There's nothing I can do – I'm a victim of forces beyond my control.'

8. *The structural myth*. 'Now we've restructured, the university will be a success.'

We will use the key questions to guide us through the stages of developing the change management plan during this workshop

10.00-12.00noon   DIMENSIONS 1 & 2:
DIMENSION 1: LAYING THE FOUNDATION FOR NEW WAYS –
**   LEADERSHIP & READINESS FOR CHANGE**
DIMENSION 2: ESTABLISHING A SENSE OF URGENCY (CLARITY OF
**   PURPOSE)**

10.00-10.30am What are the current forces or culture for change? Where are you as a leader of change? Where are our leaders? Where are your staff?

The Transestablishment Style (©The Institute of Cultural Affairs: Canada)

Refer to Institute of Cultural Affairs Handout 1 pp.18-21.

Pro-establishment

Transestablishment
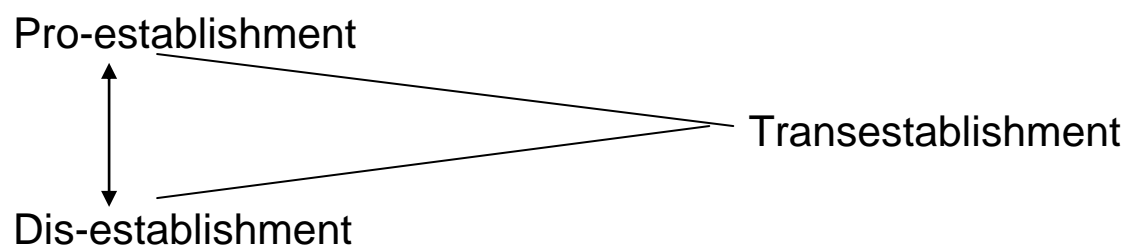
Dis-establishment

Establishment:
    Pro-establishment: maintain familiar standards, the status quo while resisting
    disruption
    Disestablishment: obsessed with tearing down, destroying the establishment

Transestablishment: transcending to make a difference

Exercise: Forces of Change (15 minutes)
Individually answer the questions in columns 1-4 only on the table on page 21 of the handout.
Where are you, our leaders and your staff? Are you/we ready to make a difference?
Discuss in your groups the 2-3 things that stood out for you.
Report back

<u>The Manager as a Change Leader</u>:
In the first workshop: "The Process of Managing Change" we looked at the generic responsibilities and accountabilities of leaders for managing change at CSU as well as the different styles of change leaders with the mix of leadership and management being important.

Table 1: Leadership and Management Impacts on Change (Gilley 2005)

CULTURE			
EFFECTIVE (genuine leadership)	INPUTS	PROCESSING	OUTPUTS
	Data Information Communication	Involvement 2-way feedback Support Resources Rewards	Commitment Action Change
INEFFECTIVE (traditional management)	Management decisions	Directives Threats Coercion	Resentment Fear Failed change efforts
CULTURE			

Gilley (2005) identifies the challenges between "change leadership" and "change management". Change management is usually a multi-step pre-determined process whereas change leadership emphasizes the nature of change and the human responses to change. *"Charisma, enthusiasm, and an understanding of basic human motivators prove powerful skills as well as the ability to build alliances. A leader of change is ready, willing, and able to <u>envision</u>, <u>inspire</u>, and <u>support</u> change necessary to move the organisation forward."*

Congruent with the above, the Vice-Chancellor and senior management at CSU are committed to developing a *"performance culture"* at CSU where leaders:

- *exercise transformational and supportive leadership,*
- *encourage innovation*
- *self-generate change and renewal, and*
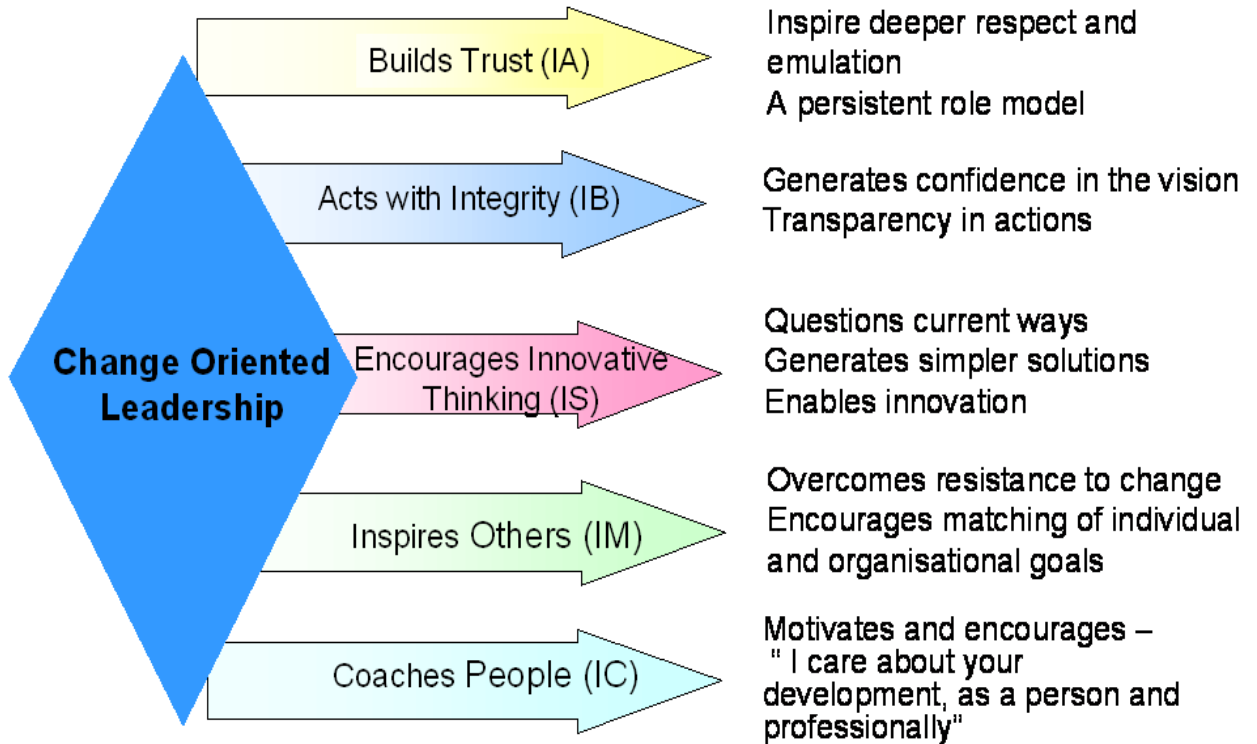- *(are committed to) work process improvement in all areas.*

(Vice-Chancellor's Forum September 2007)

The CSU models for transformational and supportive leadership follow on the next page.

> **Additional Readings, Exercises and Leadership Development:**
> Handout 2: Change Management Elements, Actions, Outcomes
> Handout 3: *Leading Change. Why Transformational Efforts Fail* (Kotter 2007)
> Gilley, A. (2005): *The Manager as Change Leader.* Praeger Publishers, USA: in particular self-assessment exercises in Chapter 5 and on Handout 4
> Multifactor Leadership Questionnaire (MLQ) Self- Assessment: contact Manager Leadership and Professional Development, Organisational Development
> Synnot, B. and Fitzgerald, R. (2007) *The Toolbox for Change.* for change management tools, resources and interventions.

CHARLES STURT
UNIVERSITY

VICE-CHANCELLOR'S FORUM
September 2007

CSU

FOR THE PUBLIC GOOD

TRANSFORMATIONAL LEADERSHIP

Change Oriented Leadership

Builds Trust (IA) — Inspire deeper respect and emulation
A persistent role model

Acts with Integrity (IB) — Generates confidence in the vision
Transparency in actions

Encourages Innovative Thinking (IS) — Questions current ways
Generates simpler solutions
Enables innovation

Inspires Others (IM) — Overcomes resistance to change
Encourages matching of individual and organisational goals

Coaches People (IC) — Motivates and encourages –
" I care about your development, as a person and professionally"

Key Success Factors For Supportive Leadership: Building CSU's Performance Capability (Sept 2007)

Supportive Leadership

Alignment

Performance

Relationships

HR Advantage *your people. your advantage*
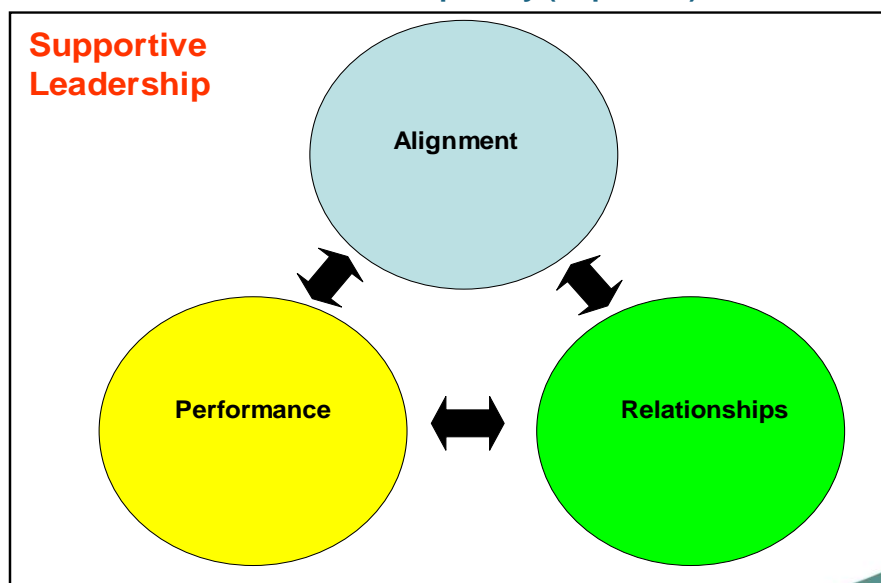
10.30-12noon Morning tea and Group Exercise on Dimensions 1 & 2:

Exercise: Dimensions 1 & 2

Do you need to *lay foundations* (Dimension 1 and Clause 5.2) – are staff ready for change – what are their values, skills, willingness and capability (Figure 4.of the framework) Do you have sponsorship, resources and time to manage the change? <u>What do you need to do, how will you get your staff ready for change? What will be the indicators of success?</u> (hint: p370 Synnot workbook)

Is there *a sense of urgency* (Dimension 2 and Clause 5.3) or is change necessary– what are the external and internal drivers for change? Have these been described? What outcomes are you seeking? What is the purpose?
<u>How and what will you communicate to staff to create a sense of urgency?</u>

Report back (11.45am):
Dimension 1: the 2-3 strategies for preparing staff for the changes
Dimension 2: the purpose of and message for the change

Have you also considered the following issues? (after Synnot 2007)

Dimension 1: Laying the Foundation for New Ways (p251-373 of Synnot workbook)

- The change acceptance curve; the people in transition cycle (Figures 6 & 7 of framework)
- Generational, ethnic and gender differences
- Evolutionary psychology: a framework for understanding why people tend to act as they do in an organisational setting. It identifies the aspects of human behaviour that are inborn and universal; and recognizes that individuals have differences as a result of a person's unique genetic inheritance plus person experiences and culture
- Different categories of intelligence: dominance in visual/linguistic; logical/mathematical; visual/spatial; body/kinaesthetic; musical/rhythmic; interpersonal; intrapersonal
- Individual and organisational learning; the learning hierarchy; zero, single and double loop learning
- Social network analysis: importance of informal networks in an organisation
- Anxieties: Learning and survival
- Defensive routines and behaviours; Lying; Bullying; Faking
- The power of one person or a small group to make a difference?
- Consciousness (self-awareness)
- The mentality of office psychopaths
- Depression; Sleep; Stress; Humour

NB: sometimes the sense of urgency is so great that the important of *Laying the Foundation* is less pivotal.

Dimension 2: Establishing a Sense of Urgency (p392 - 403 of Synnot Workbook)

- A reality check
- Signs of complacency and ways to handle complacency

12.00-2.30pm   DIMENSIONS 3, 4 and 5:
DIMENSION 3:   CHANGE TEAM AND CHANGE INTERVENTIONS
DIMENSION 4:   CREATING STRATEGIC ALIGNMENT (THE VISION)
DIMENSION 5:   COMMUNICATING THE VISION (COMMUNICATION
PLAN)

12.00-12.30pm Defining a Change Team and Change Interventions
The 'change team' is also referred to as a "powerful, guiding coalition" (Kotter 1999) or a "transitional team' (Synnot 2007).

The key attributes or mix of people in the change team are (after Synnot and Kotter):
- *Operates by the principles of teamwork and leadership*
- *A representative cross-section of the organisation with credibility/authority*
- *Has members who are recognised as the "opinion makers/enablers/people of influence" of the organisation*
- *Is a temporary structure, such as a "collapsible" team*

The CSU Project Management methodology clearly defines the roles and responsibilities of a project team http://www.csu.edu.au/division/psc/roles-and-responsibilities/

Some change interventions or 'tools for success':
There are a large number of change interventions, tools and/or strategies to assist the change leader to:
- Identify where the group, team or organisation is: historical and/or cultural
- Develop leaders, managers and staff to recognise the stages of change to develop strategies to cope with change
- Identify and overcome the barriers to change
- For self-assessment and team assessment
- For analysing external and internal drivers and capability
- For modifying staff rewards, performance management etc systems
- For understanding and developing values, vision, strategies and action plans

A number of these tools or change interventions will be placed on the Organisational Development website as an online resource during 2008. Messages to leaders, managers and staff will be made when resources are available.

The following references have been used in this workshop to provide excellent easy to follow tools and strategies. The CSU Organisational Change and Renewal Framework also provides a number of references and advice. References:
- Institute of Cultural Affairs: Technology of Participation (ToP) Facilitative Leadership Module 5: Understanding and Leading Change
- Gilley, A. (2005) *The Manager as Change Leader* (List handout 4)
- Synnot, Bill and Fitzgerald, Rosie (2007) *The Toolbox for Change* (book available at workshop)
- Synnot, Bill (2007) *Successful Organisational Transition* (book available at workshop)

Exercise: A change intervention or tool: History Telling Process (after Bob Dick in Hogan 2003)
What changes have occurred at CSU since it began? Facilitated discussion of the major change events which will be charted on the wall in a timeline. Group will discuss their significance and whether to carry them forward or bury them in the past. Note: this process is an aid for groups or organisations who are merging, for them to move forward with a shared understanding of the past and its context.

12.30-2.30pm Lunch and Group Exercise on Dimensions 3, 4 and 5

Exercise: Dimensions 3, 4 and 5
Who will be on your *change team* (Dimension 3 and Clause 5.4)? What project and change management tools and interventions will you use?

What is the change team's shared *vision* for the change, the strategies and outcomes of the change? How do the vision and strategies align with the University Strategy 2007-2011? (Dimensions 4 & 5 and Clauses 5.5 and 5.6))

With whom and how will you develop a *communication plan*? (Dimension 5 and Clause 5.6) What and where will you communicate? Note: this will be a separate and complementary plan to the Change Management Plan
Report back (2.00-2.30pm):
Dimension 3: the key members of the change team
Dimension 4: the vision and alignment with University strategy
Dimension 5: brief outline of who, what, how, when and where of communication

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Have you also considered the following issues? **(after Synnot 2007)**

Dimension 3: Defining the Change Team (p404-458 of Synnot workbook)
- Nine key characteristics of an effective change team: position power; expertise; credibility; leadership; diversity; teamwork; top support; relevance awareness; understanding that not all will be pleasant or indicate progress (Kotter 1996; Senge et al 1999 as cited by Synnot 2007)
- Eight primary responsibilities of the change team: establish context for change and provide guidance; stimulate conversation; provide appropriate resources; coordinate and align projects; ensure congruence of messages, activities, policies and behaviour; provide opportunities; anticipate, identify and address people problems; prepare the critical mass (Kotter 1996 as cited by Synnot 2007)

Dimension 4 & 5: Creating Strategic Alignment and Communicating the Vision (p 459- 500 of Synnot workbook)
- A shared vision is:
  - An image of how we see our purpose unfolding
  - A picture of the preferred future we seek to create
  - An answer to the question "what do we really want?"
  - Needs to be expansive
Examples of shared visions are provided on pp481-482 of Synnot workbook.

CSU Interact Communication Plan (handout from Workshop 1) provides a good guide to communicating a large scale change initiative at CSU.

Quick Exercise for your group: Shared Vision (developed from ICA Australia: 2020 Round Tables Workshop format 2008) (also refer to P486 Synnot workbook – Key points in developing a vision)
Focus on the particular change that your group has chosen.
Imagine you are standing in the 'victory circle', that is the change has been successful – what would you like things to look like in your area or in the organisation?
Write down 3-4 of your hopes and dreams for the future and then share them with your group.
With the group identify 2-3 items that you think are the most important, the most useful and the most urgent

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2.30-4.30pm   DIMENSIONS 6, 7 & 8
DIMENSION 6: MAXIMISING CONNECTEDNESS
DIMENSION 7: CREATING AND CELEBRATING SMALL WINS
DIMENSION 8: CONSOLIDATING PERFORMANCE IMPROVEMENTS
**   AND INSTIUTIONALISING NEW APPROACHES**

2.30-4.30pm   Afternoon tea (3pm) and Group Exercise on Dimensions 6, 7 & 8

Exercise: Dimensions 6, 7 & 8
What are the potential *barriers or resistors* to change? What strategies and tools will you use to overcome these barriers? What will be the impact of "getting it wrong"? (Dimension 6 and Clause 5.7) Refer to Handouts?? Tools for identifying and removing barriers or resistance to change.

How will you build *relationships with the key stakeholders*? Who are the key stakeholders? What are the informal relationships? (Dimension 6 and Clause 5.7) Consider developing a mind map or tree of the informal relationships.

What will be your *short term wins* and how and when will you celebrate them? (Dimension 7and Clause 5.8)

Are there *systems, policies and/or processes* that need to be changed, and how? Consider the CSU Processes appropriate to your area of change, identified in *yourCSU* http://www.csu.edu.au/staff/yourcsu/index.html   What is the role of Work Process Improvement and how may you use it in your area? http://www.csu.edu.au/division/humres/wpi/ (Dimension 8 and Clause 5.9)

With whom and how will you develop and implement a *leadership development and professional development plan* for affected staff? Consider performance management and PIRI (Plan Implement Review and Improve) Cycle. (Dimensions 1 & 8 and Clauses 5.2 & 5.9)

Will you need to develop a *workforce plan* as a result of the changes? Do your staffing structure and position descriptions align with the change? Refer to the Division of Human Resources website for guidelines and resources (http://www.csu.edu.au/division/humres/services/sd/wfp/index.htm)

Report back (4.00pm):
Dimension 6: 2 key strategies for maximising connectedness
Dimension 4: a short term win and how you will celebrate it
Dimension 5: 2-3 key strategies for consolidating performance and improving processes


Have you also considered the following issues? **(after Synnot 2007)**

Dimension 6: Maximising Connectedness (p501 – 593 of Synnot workbook)
- Engagement; relationships; power; importance of commitment; information and knowledge; trust; performance: management, rewards; team effectiveness; decision making; making processes; resistance to change

Dimension 7: Creating and Celebrating Short-term Wins (p594-601 of Synnot workbook)

  – Benefits; characteristics; tips for generating; rewards
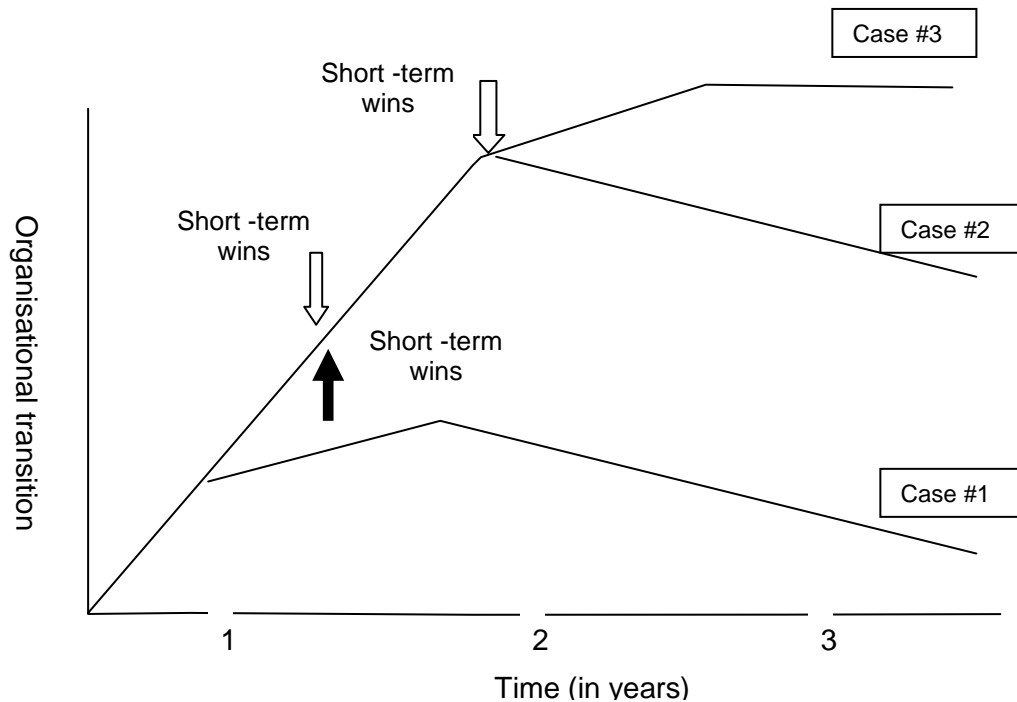
Case #1: No short-term wins
Case #2: Short-term wins at about fourteen months, but none a year later
Case #3: Short-term wins at the fourteen months and twenty six months
(Kotter 1999 as cited by Synnot 2007)

Dimension 8: Consolidating Performance Improvements and Institutionalising New Ways (p602-635 of Synnot workbook)

  – Embedding change; making the change 'stick' in the organisation's (CSUs) or team's culture; sustaining momentum
  – Mentoring; succession planning (talent management and/or workforce planning)
  – What Dimension 8 looks like in an effective major change effort (p630)

4.30-5pm REFLECTION ON THE WORKSHOP OUTCOMES, OUR CHANGE MANAGEMENT PLANS, NEXT STEPS & EVALUATION

The future is not some place we are going to,
But one we are creating;
The paths to it are not found but made,
And the activity of making them changes
Both the maker and the destination.

Peter Ellyard as cited by Hogan 2003

Focussed Discussion
What are the ideas or messages about your change management plan /about planning for change that stand out for you from today?
What were the other elements?

What surprised you?
What concerned or confused you?

What was your key insight?
What was the most meaningful aspect of this experience?

What was the significance of this experience to your work/development?
What will it take to help you apply your change management plan?

What are the next steps? How will you apply the framework/change management plan in your workplace?

REFERENCES AND SUGGESTED READINGS (ALSO REFER TO Unit 1)

CSU Diploma of Frontline Management: BSBFLM510B Facilitate and Capitalise on Change and Innovation.

Charles Sturt University Strategy 2007-2011

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