ORGANIZATIONAL CHANGE WORKSHOP:

STRATEGIES FOR IMPLEMENTING CHANGE

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WITH CONTRIBUTIONS FROM
A NUMBER OF KU FACULTY AND STAFF

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The facilitator’s job is to support everyone to do their best thinking and practice. To do this, the facilitator encourages full participation, promotes mutual understanding and cultivates shared responsibility. By supporting everyone to do their best thinking, a facilitator enables group members to search for inclusive solutions and to build sustainable agreements.

**Bold Aspirations**, the university strategic plan, and **Changing for Excellence**, the efficiency study led by Huron, are guiding KU’s path to being recognized as a top-tier, public international research university. Each effort focuses on how KU can best achieve its long term vision.

The six goals of the strategic plan and the individual business cases developed by Huron involve changes that will engage collaborators from across campus during the implementation process.

However, to be successful, significant organizational change requires knowledge of the climate and players, and an understanding of the capacity for change of both. To support these efforts, the following resources are provided.

The **Organizational Change Workshop** will illuminate strategies for implementing change and reasons for resistance to change. The 90-minute workshop will be helpful to deans, directors, chairs, change leaders, facilitators, and members of groups tasked with implementing change at KU. Workshops on advanced topics are also available.

**Facilitation Services** will be provided to groups working on organizational change projects. Facilitators contribute structure and process to group interactions in order to:

- Ensure group members are fully engaged
- Ensure that the group is working effectively toward a defined outcome
- Ensure that the group reaches consensus or that differences are defined and understood
- Ensures that all are treated with respect

These services could include a facilitator working with a group for just a part of its process or the entirety.

**The Change Facilitators Committee** is a small group of faculty and staff committed to identifying one or more facilitators to support each change leader and group tasked with change. This committee will also provide Unstuck Services for those leaders and groups who need additional help during difficult stages of the change process.
Change Facilitators Committee

Our mission is to build the capacity for organizational change at the University of Kansas. To do so we will apply knowledge from a variety of academic fields within the climate of KU, providing educational materials and facilitation assistance to campus leaders and groups tasked with effecting the changes that determine the future course of our university.

Benefits of facilitating change

• Empower and motivate groups to experience success in implementing the charges with which they are tasked.
• Enable groups undergoing change to function more effectively and efficiently.
• Provide shared tools, strategies, and processes to allow groups to adapt to new models.
• Build overall capacity for positive change at KU.

Services for campus change leaders

• Access to informational programs and resources on organizational change process (workshops, change toolkits, a website of reference materials, and personalized coaching).
• Assistance with group identification and expectations to ensure appropriate representation, clearly-written charges, and well-defined parameters for the outcomes desired.
• Personalized coaching and assistance for group leaders in effective group process.
• Facilitation of initial group formation and process to ensure understanding of anticipated outcomes.
• Unstuck services: tailored facilitation assistance for groups that encounter particularly difficult topics or stages in the change process.

Expectations of facilitators

• Dedicated to effective consensus-based processes without involvement in content.
• Focus on successful organizational process without a vested interest in a particular outcome.
• Focus on effective and objective communication.
• Treat all participants fairly, impartially, and with respect.

The Change Facilitators Committee is:

Marilu Goodyear, Chair of Change Facilitators Committee and Director, School of Public Affairs and Administration
Stuart Day, Chair and Associate Professor, Spanish and Portuguese
Dennis Grauer, Associate Professor, School of Pharmacy
Curtis Marsh, Program Director, KU Info and the Learning Studio
Jenny Mehmedovic, Assistant to the Provost
Peggy Palmer, Administrative Professional, Vice Provost of Student Affairs
Brian Patton, Custodial Supervisor, Facilities Operations
Kathy Pryor, Managing Director and Budget Director of University Theatre
Noel Rasor, Assistant Director, School of Public Affairs and Administration
Margaret Severson, Professor, School of Social Welfare
Rebecca Smith, Executive Director of Communications, Advancement and Administration, KU Libraries
Tom Volek, Associate Dean and Associate Professor, School of Journalism
What Will We Discuss Today?

Research shows that successful organizational change begins with processes deliberately designed to organize work, include stakeholders, and demonstrate value. This workshop will present a summary of what we know about successful organizational change within higher education adapted to fit the KU culture and tradition.

The following elements are important to change success and outline our discussion today. Resources and citations to the literature are included at the end of this workbook.

5 Types of problems: adaptive and technical approaches

6 Defining the successful outcome of the change

6 Identifying resources for implementation and priorities for work

7–8 Identifying stakeholders and understanding their readiness

9–10 Choosing appropriate strategies for implementation

11 Designing effective decisions and policies

12 Creating urgency for the change

13 Designing short-term wins

14–20 Using resistance to improve change processes
## Adaptive and Technical Approaches

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<tr>
<th></th>
<th>Technical</th>
<th>Adaptive</th>
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<tbody>
<tr>
<td>Clear</td>
<td>Expertise</td>
<td>Requires Learning</td>
<td>Stakeholders</td>
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<tr>
<td>Optimize Execution</td>
<td>Experiments &amp; Smart Risks</td>
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Why This Change? Why Now?

Clarify purpose:
  • Why this change?
    ○ Why now?
  • Defining: what does a successful outcome look like?
    ○ How will we know when we are done?

How will we balance this work with other priorities?
  • Time
    ○ What is the deadline?
    ○ Is it flexible?
    ○ Are there issues to coordinate outside the group that will affect timing?
  • Resources
    ○ What resources do we need? Are there other resources we should ask for?
    ○ What is the process for seeking resources?
  • Quality and Quantity
    ○ What is the scope of the work?
    ○ How does the quality of the work performed relate to the successful outcome?

Which of these is most important throughout this change process?
What is your sponsor’s view of what is most important?
Where should we compromise if we have to?
Who does this affect? Who has a stake in this change?

Definition of stakeholder: people or groups who are interested in or will be affected by the team’s work.

A variety of stakeholders may be affected by a particular change. It is essential to fully understand who your stakeholders are, and the level of awareness they have of the change ahead, including how well they understand it. Even if stakeholders understand the change intellectually, it may impact them in ways that affect them emotionally. For instance, the change may require a significant change in the relationships they currently have in the workplace. In some cases, the change may actually require a change in role or identity. For all of these reasons and more, different stakeholders may have differing degrees of commitment to or willingness to stand behind a particular change. For some stakeholders, skills training may be needed to help them get through the change and prepare for the future ahead.

On the following page, a worksheet has been provided to help you begin to think through these important questions regarding your stakeholders.

• Who are the stakeholders?

• Are the stakeholders aware of the change?

• Do the stakeholders understand the change?

• Does the change require a significant change in relationships of any of the stakeholders?

• Does the change require a change in identity for any of the stakeholders?

• What is the degree of commitment to the change of each stakeholder?

• Is there a need for skills training of any of the stakeholders?
Work with the group to determine an appropriate scale for measuring each element. Examples of potential scales include:
- Yes or no
- High, mixed, low
- 1-5 (1 is low, 5 is high

<table>
<thead>
<tr>
<th>Stakeholder (name of group or individual)</th>
<th>Aware of the change?</th>
<th>Understand the change?</th>
<th>Relationship changes?</th>
<th>Identity changes?</th>
<th>Commitment?</th>
<th>Skills Training Needed?</th>
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What Strategies are Important?

How will we carry this out?

Types of Strategies (Strategy = a general plan of action):

• Facilitative
  ○ Leaders and employees working together to gather ideas, perspectives and expertise to plan the change activities.

• Informational
  ○ Leaders providing information to stakeholders building an intellectual case and urgency for the change.

• Attitudinal
  ○ Leaders with credibility employ evidence in messages tailored to the stakeholder asking them to change a perspective; to see an issue in a different way.

• Political
  ○ Leaders providing incentives or rewards for stakeholders to cooperate with the change process.

How will we choose the strategies to use?

• Tempo and Time Available
  ○ How much time is available to make the change? Quick or gradual?

• Extent of the Change
  ○ What is the scope or number of individuals and units involved?
  ○ What is the depth of change? How many processes and behaviors need to change?

• Stakeholder Analysis
  ○ How ready are the stakeholders for the change (see analysis above)?

• Change Leader Analysis
  ○ How ready are the change leaders/unit managers (see analysis above)?
  ○ Do they have the time to lead the change?

## Criteria to Consider When Choosing a Strategy

<table>
<thead>
<tr>
<th></th>
<th>Facilitative</th>
<th>Informational</th>
<th>Attitudinal</th>
<th>Political</th>
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</thead>
<tbody>
<tr>
<td><strong>Tempo and time</strong></td>
<td>Requires enough time to involve stakeholders</td>
<td>Use when time is short</td>
<td>Requires more time in order to change attitudes</td>
<td>Useful when time is short and resistance is strong</td>
</tr>
<tr>
<td><strong>Extent of the Change</strong></td>
<td>Needed when extent of change is significant</td>
<td>Use when extensive information is needed and change is extensive</td>
<td>Needed when the change is extensive and permanent</td>
<td>Effective when change is small or can be divided into parts</td>
</tr>
<tr>
<td><strong>Preparation of the Stakeholders</strong></td>
<td>Awareness, understanding and a degree of commitment exist</td>
<td>Useful to build awareness, understanding of the change; can be used exclusively if the change is widely embraced</td>
<td>Needed when there is a negative view of the change and building commitment is necessary</td>
<td>Can be effective to gain compliance or when the individual is not fully committed</td>
</tr>
<tr>
<td><strong>Preparation of the Change Leaders</strong></td>
<td>Leaders are able to commit time and resources to a facilitation strategy</td>
<td>Use when change leaders have limited time and can delegate</td>
<td>Leaders need to commit extensive time for communication</td>
<td>Use when leaders control resources important to the stakeholders</td>
</tr>
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Effective Policies and Rules

Red Tape or Green Tape: Creating Effective Rules

• Policy and rules are necessary
  ○ Administrative capacity
  ○ Legal issues
  ○ Ethical issues
  ○ Fairness

• Why do we create rules?
  ○ Reactive: somebody does something we perceive as wrong, risk-adversion.
  ○ Proactive: we identify an issue to be addressed.

• When are policies/rules effective?
  ○ The rule is written and in language that is clear and understandable.
  ○ The rules have valid end/means relationships: the rule is logically and directly connected to the issue it is meant to address.
  ○ The rule is consistently applied, regardless of individual status or power.
  ○ The rule employs optimal control: reasonable and flexible, but not picky.
  ○ The rule is understood by stakeholders.

• When developing the rule
  ○ Involve stakeholders.
  ○ Think through rule objectives and potential requirements.
  ○ Question assumptions.
  ○ Consider intended and unintended consequences.
  ○ Share drafts.
  ○ Identify rule purposes in final rule.

Why does a simple intellectual argument fail?
- It does not engage feelings.
- Change needs a “compulsive determination to move, win, now.”

Important tactics to build urgency:
- Connect internal reality with external opportunities and hazards.
- How does this change address challenges in the environment?
- How does it take advantage of an environmental opportunity?
- If we don’t do this, what will happen to us?
- Bring in emotionally compelling data, people, stories.
- Leaders should demonstrate their own sense of urgency by working on the change process every day and focusing activities on the successful outcome by eliminating or reducing other activities.

New Behaviors/New Attitudes: Achieving a Change in Behavior

See
↓
Feel
↓
Change

Help people see and feel a change by exposing them to an experience which has the potential to create emotional commitment to the change.
- Help people see the desired outcome.
- Seeing something new triggers the ability to feel the difference.
- Emotionally charged ideas change behavior or reinforce changed behavior.

Analyze
↓
Think
↓
Change

Give people data and analysis to influence how they think about the change.
- Share analysis with people involved.
- Analysis and data influence how we think.
- New thinking changes behavior or reinforces changed behavior.

Feel the Success: Sustain the Change by Creating Short-term Wins

Short-term wins have multiple purposes:
- Provide feedback to change leaders about how well their vision and strategies match reality.
- Give those working on the change a sense of success and emotion uplift.
- Build faith in the effort.
- Take power away from cynics.

Create a short-term win by asking these questions:
- What are the milestones along the way to a successful outcome?
- How can we demonstrate our progress?
- What stakeholders need to see progress the most?
- What would demonstrate success for that group?

Short-term wins are effective when they are successes that are unambiguous, visible, and meaningful.

First step in understanding resistance: Force-Field Analysis

- **What are the Driving Forces?**
  - What is helping move toward the change?
- **What are the Restraining Forces?**
  - What is preventing the change from happening?

- Should we put more energy into the driving forces or should we reduce the restraining forces?

**Three elements:**

- **Task:** the work that I do
- **Relationships:** who my colleagues are
- **Identity:** how I define myself

Employees all have the following needs in varying degrees: need for achievement, need for affiliation, need for organizational identification (from Miller, Johnson, Grau article).

Reasons for Resistance

Mind: Thought-based Resistance to Change

- I don’t understand
  - What is this about? (substance and details)
  - Why are we doing this?
  - Are you really serious? Is this really going to happen? (the I-can-wait-it-out syndrome)
  - I disagree.

Emotion: Fear-Based Resistance to Change

- I understand but I am afraid.
  - Threat to self-confidence
  - Threat to security (loss of employment/salary)
  - Loss of power or status
  - Threat to self-image or confidence
- Is my role fundamentally changing?
- Can I learn something new?

Action: Capacity-Based Resistance

- I am supportive but I don’t know what to do.
  - What specifically is expected of me? How do I fit into the plan?

- The most fundamental question that can increase productivity if answered well:
  - Can I learn the new skill?
  - Will we have adequate resources to make the change be successful?

“The state of mind you should try to create is a fully realistic assessment of the difficulty of the challenge and an unrealistically optimistic belief in [the] ability to overcome it.”

Marcus Buckingham, *The One Thing You Need to Know*

**Communication: The Four Conversations**

- **Initiative:** What are we doing? Why?
- **Understanding:** Questions and Answers
- **Performance:** What will you accomplish? When?
- **Closure:** What happened? Who should we thank? How do we fail forward?

Although leaders may wish to simply move forward without revisiting the past, reaching closure on past changes is important for psychological closure and forward momentum. Lack of closure conversations in the past means that past changes will continue to impact changes in the future.


## Prepare for Communication

### For Initiative and Understanding Conversations

#### List of Initiatives:

<table>
<thead>
<tr>
<th>What is the result or outcome we want?</th>
<th>When do we want to accomplish it? (Be as specific as you can)</th>
<th>Why do we think it is important? (State the difference you believe it will make)</th>
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#### For Each Initiative:

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<th>Who needs to participate? (List all individuals and teams)</th>
<th>Where will the resources come from?</th>
<th>How might the work get done?</th>
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### Conversation Inventory

#### For Performance Conversations

<table>
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<tr>
<th>Initiative</th>
<th>Question 1</th>
<th>Question 2</th>
<th>Question 3</th>
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- **What did I request or promise?**
- **Who accepted the request or promise?**
- **When is the result due?**
- **Do they know why it’s important?**
- **Do they know how the job will get done?**
- **Do they know where the results go and where resources are coming from?**

#### For Closure Conversations

<table>
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<tr>
<th>Initiative</th>
<th>Question 1</th>
<th>Question 2</th>
<th>Question 3</th>
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- **List of Initiatives, Projects or Tasks**
- **What mistakes or misunderstandings do we need to apologize for?**
- **What agreements need to be amended?**
- **What facts do we need to acknowledge?**
- **What people do we need to appreciate, and for what?**
Solutions to Thought-based Resistance:
- Demonstrate leadership commitment to the change.
  - This IS going to happen (in some way).
- Initiative conversations
  - Why are we doing this? What now?
  - Provide details on employee impacts as early as possible.
- Understanding conversations
  - Replace supposition with facts; conduct a regular review of the rumors and suppositions and counteract each with facts.
  - Brainstorm, solicit ideas, try out solutions.

Solutions to Fear-Based Resistance
- Provide multiple communication channels (use the informal network)
- Understanding
  - Listen and acknowledge feelings (understand the pit).
  - Acknowledge that the change is difficult.
  - Ensure that communication is in culturally and organizationally understood terms.
- Performance
  - Express belief that the individual can make an important and significant contribution to the change.
  - Communicating and letting people see the needs for change; participation in defining the problem.
- Closure
  - Bring out and discuss past history which relates to the feelings about the change.
  - Celebrate past success.
  - Provide opportunities to mourn by finding ways to connect to the past and recreate meaning in the future.

Solutions to Capacity-Based Resistance
- Understanding
  - Account for different learning styles.
- Performance
  - Ensure resources needed are identified and provided.
- Closure
  - Paint a picture of the successful outcome.
  - Celebrate short-term wins.

Connor, Lake, and Stackman, Managing Organizational Change, 3rd ed.
## Solutions in steps

<table>
<thead>
<tr>
<th>Initiative</th>
<th>Understanding</th>
<th>Performance</th>
<th>Closure</th>
<th>General</th>
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<tbody>
<tr>
<td>Thought-based</td>
<td>Why are we doing this? What now? Provide details on employee impacts as early as possible.</td>
<td>Replace supposition with facts; conduct a regular review of the rumors and suppositions and counteract each with facts. Brainstorm, solicit ideas, and try out solutions.</td>
<td>Explain belief that the individual can make an important and significant contribution to the change. Communicating and letting people see the needs for change; participation in defining the problem.</td>
<td>Demonstrate leadership commitment to the change. This is going to happen (in some way).</td>
</tr>
<tr>
<td>Fear-based</td>
<td>Listen and acknowledge feelings (understand the pit). Acknowledge that the change is difficult. Ensure that communication is in culturally and organizationally understood terms.</td>
<td>Paint a picture of the successful outcome. Celebrate short-term wins.</td>
<td>Bring out and discuss past history which relates to the feelings about the change. Celebrate past success. Provide opportunities to mourn by finding ways to connect to the past and recreate meaning in the future.</td>
<td>Provide multiple communication channels (use the informal network).</td>
</tr>
<tr>
<td>Capacity-based</td>
<td>Training in new processes Difference in varieties for different learning styles</td>
<td></td>
<td>Paint a picture of the successful outcome. Celebrate short-term wins.</td>
<td>Ensure resources needed are identified and provided.</td>
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The Importance of Justice Within the Process

Three types of justice:

- **Distributive justice**: the redistribution of resources perceived as fair and consistent with needs.
- **Procedural justice**: voice in the process, opportunity to protest and be heard.
- **Interactional justice**: giving explanations on reasons, why a certain group/person, and expected outcomes.

What do people need to feel engaged?

- **Trust**: Do you keep your word as a leader?
- **Compassion**: Do you have your employees’ best interests in mind?
- **Stability**: Do your employees always know what to expect from you?
- **Hope**: Are your employees inspired about the future?


