

A Toolkit:
Leading and Managing Successful
Change for Yourself & Others.....

January 2008

Contents:

		Useful for	Page No:
Section One: Introduction		Mgrs/ Indivs	2
• How to use this toolkit			3
• Some Change Prophecies			4
<hr/>			
Section Two: You and Change	This section uses the Change Curve model to illustrate a typical individual response to change, and give suggestions on how to recognise reactions in yourself and others.	Indivs	6
<hr/>			
Section Three: Teams and Change	This section presents some perspectives on the management and leadership role in change management.	Mgrs	12
<hr/>			
Section Four: Help with Change	This final section presents a range of theories, exercises and worksheets for you to select and use to help you manage the change process individually or as a team.	Mgrs/ Indivs	19
<hr/>			
Appendix 1			
Assess your Leadership Strengths			38
Appendix 2			
Change curve detail			42

Section 1

Introduction

Section 1: Introduction

This toolkit is designed to help you manage the process of change which we are all experiencing at University College London (UCL). Change affects us all in different ways, and can be different for different people. This toolkit can be particularly useful to individuals and managers when the UCL 'Organisational Change Procedure' is being applied or utilised. (found at: http://www.ucl.ac.uk/hr/docs/organisational_change.php)

This toolkit provides a series of tools, theories and exercises to help you work through the changes you are experiencing, and hopefully to gain some further insight into your own perception of change, along with the opportunities and threats that change presents.

Some of this toolkit is written for general information. Some of it requires you to think hard about your values and priorities. As such, it is intended to be a personal document, and yours to complete as you see fit, and with results that are your own.

The toolkit is divided into four sections:

- Introduction
- You and Change – What happens to individuals during change
- Teams and Change – Looking at your role as a leader in the change process
- Help with Change – A selection of checklists, models and tools to help you manage and understand the change process

How to use this Toolkit:

This toolkit is designed as a means to help you understand, lead and manage change more effectively for you and your colleagues at UCL and to help you and your teams to work through whatever change you may be indirectly or directly involved in.

This toolkit aims to appeal to a range of readers, therefore it provides some theory of change, alongside some practical exercises to complete. Some of the material focuses on organisational change, whilst some is personally focused. Whatever is useful to you, work through the parts which appeal. Don't feel that you have to complete the whole book.

Look at the contents page on page 1, for an overview of the purpose of each section.

Some Change Prophecies:

Change is not always welcome. Sometimes the benefits of change may not be apparent, or have difficulty fitting into the current way things are done...

- This telephone has too many shortcomings to be seriously considered as a means of communication. The device is inherently of no value to us

(Internal memo, Western Union, 1876)

- Heavier than air flying machines are impossible

(Lord Kelvin, Mathematician/Physicist, 1895)

- Everything that can be invented has been invented

(Charles Duell, Commissioner US Patent Office, 1899)

- Worldwide demand for cars will never exceed one million, primarily because of a limitation in the number of available chauffeurs

(Research prediction, Mercedes Benz, 1900)

And if things didn't change...

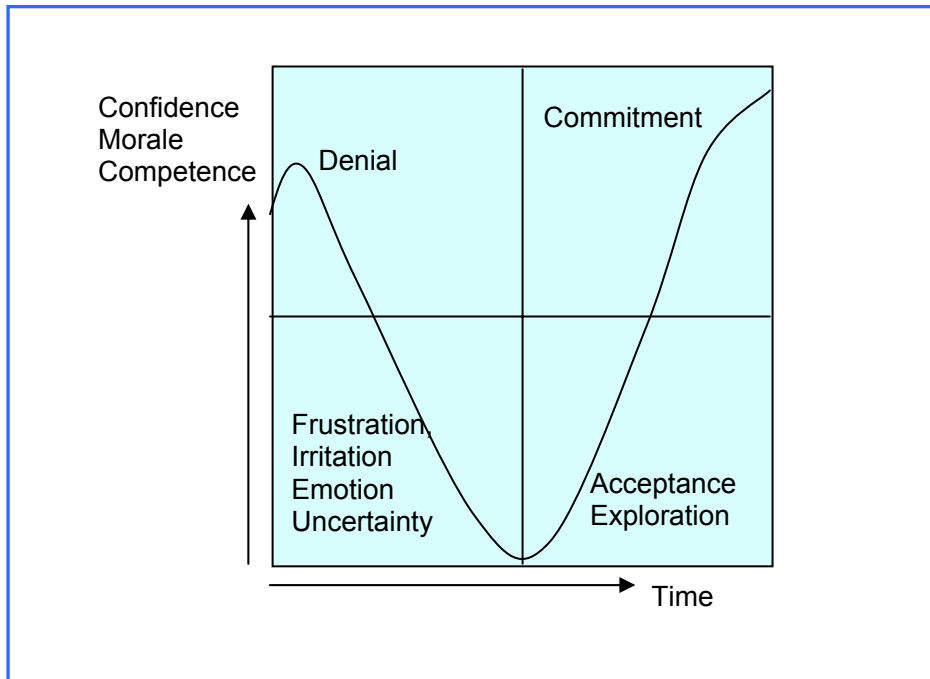


Section 2

You and Change

Section 2: You and Change

Whether change is positive, unwelcome, or unknown, research has shown that individuals respond to change in a similar way. This reaction is illustrated in a change curve diagram, which shows the range of feelings and emotions people typically go through during the course of a change. (A more detailed overview of the process is given in appendix 2.)

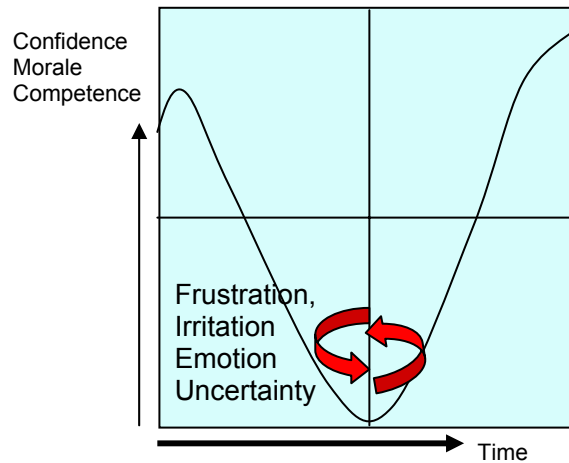


Denial

The first part of the process reflects the 'Denial' response. Individuals would typically not acknowledge that the change will affect them (Think of the lottery winners who say "This £20million won't change me"!). As the reality dawns, the denial no longer becomes valid, and the uncertainty of the change starts to take its toll. New ways of behaving are not established (and may not be settled for some time), and performance can drop as people retreat to the safety of doing minor or routine tasks.

In the box below, note your thoughts on the best way to manage your self/team acknowledging the feelings likely to go with the Denial stage.

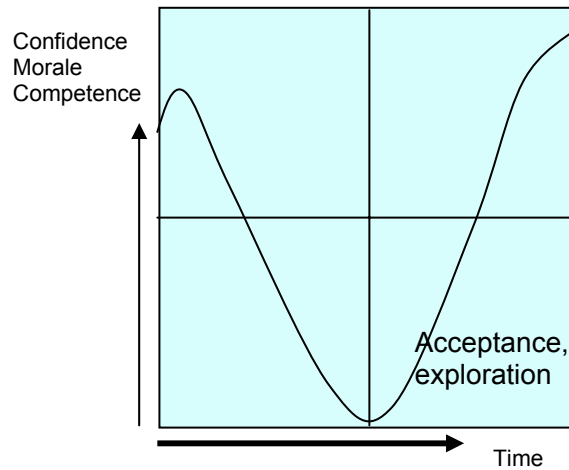
Also see worksheet 2: My personal response to change(p.30)



Frustration

The dip following the Denial stage can be a very tough time. A lot of emotions can play on the situation here, along with a grieving for the loss of the old ways. Before the next stage of adapting to the new situation begins, resistance and an unwillingness to engage can reduce morale and therefore performance significantly further. The danger here is that people loop around the low point of change, and sometimes need a very clear steer to give them the incentive to move forward.

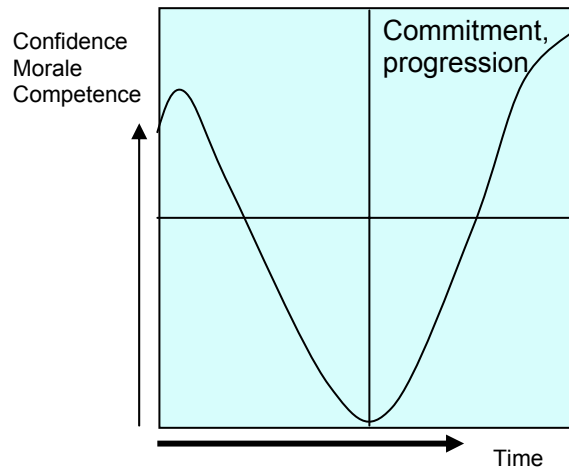
Also use the Forcefield Analysis on page 20 and the 'endings' transition checklist on page 22 to review or discuss this change.



Acceptance

The third stage is that of acceptance, and exploration. Individuals can sometimes find their own way, sometimes they need guidance from a leader. Either way, by exploring and engaging with the new ways of working and behaving, the individual develops their confidence, and then morale and performance start to rise. Beware though, this is a fragile process, and can be easily derailed, especially in the delicate early stages of recovery.

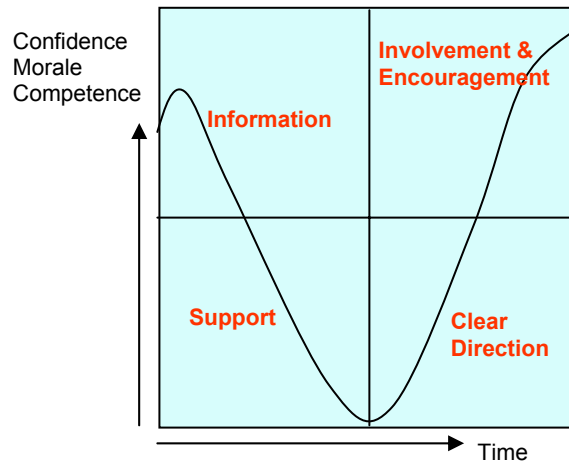
Also use worksheet 3 – The business Case for Change on page 31 to review or discuss this change.



Commitment

Only in the final stage is an individual likely to fully commit, and become independently responsible for themselves in the change. Here there is also a potential benefit that in a well constructed change, future performance and morale can be greater than it ever was in the past.

**Help keep track of the positive direction by using worksheet 4
– Daily Learning Log on page 33.**



To manage yourself and help others through change it is necessary to recognise the different support requirements at each stage of the process. By managing people through their experience of change, the change curve can be completed over a shorter time, and with a less dip in confidence, morale and competence. Everybody can benefit from that.

Note below your plan for identifying your own and others' responses to change, and how you will help minimise the potential negative effects:

<p>My current feelings regarding changes are:</p>	<p>I will manage this by doing the following:</p>
<p>My colleagues need from me:</p>	<p>I will offer them the following support:</p>

Section 3

Teams and Change

Section 3: Teams and Change

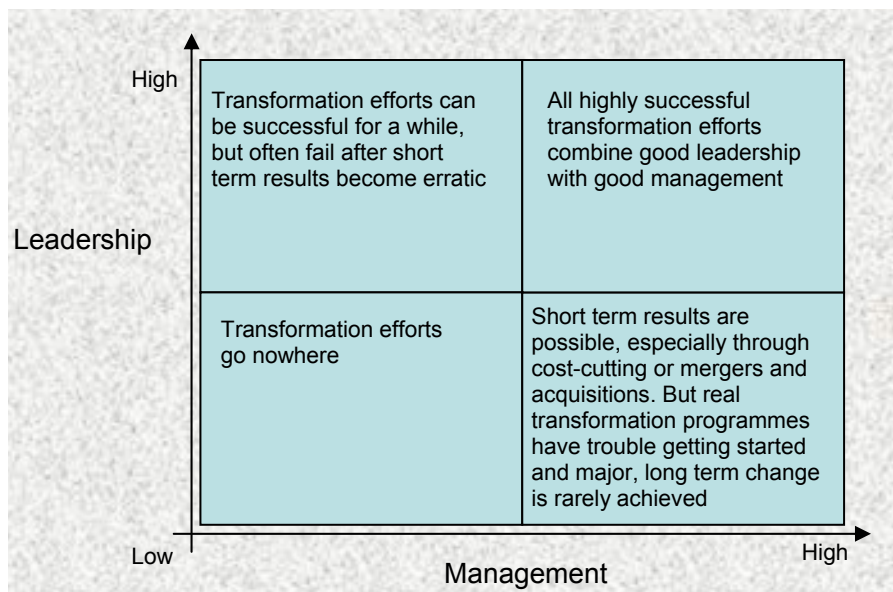
Includes:

- An Overview of Management & Leadership in Change
- Two Approaches to Improvement
- People and Improvement
- Six steps for Implementing Change
- Communication Checklist

An Overview of Management & Leadership in Change

A key requirement of leaders is to create an appealing vision of the future, and develop a strategy for making it a reality. Regardless of obstacles, they maintain a motivation among their team to reach the vision. Managers, on the other hand, have the task of making complex tasks run smoothly, and ensuring that the mechanics of change work to maintain the operational effectiveness of the team.

The diagram below shows the need for a balanced approach to leadership and management, with the risks involved in focusing too much on either discipline.



The relationship of Leadership & Management (Kotter, 1996)

In reality, the line between leadership and management is flexible, according to the needs of the moment. In times of change, both aspects need to be adequately covered.

Use the questionnaire in appendix 1 to assess your own readiness to lead through change, and consider the areas where you are likely to contribute most. Also look for the areas that could be helpful to lead through change, but you may need to focus more on to achieve the results you want.

Two approaches to improvement

Many change projects fail, and the most commonly cited reason is neglect of the human dimensions of change. This neglect often centres around a lack of insight into why people are unhappy with organisational change, a poor appreciation of the process of change, and a limited knowledge of the tools and techniques that are available to help.

'Structural' approach to improvement	'People oriented' approach to improvement	In practice, both approaches of improvement are necessary
<ul style="list-style-type: none"> change is a step by step process 	<ul style="list-style-type: none"> outcomes cannot be predetermined 	<ul style="list-style-type: none"> you need to set a directions but need to be flexible
<ul style="list-style-type: none"> it is typically initiated top down 	<ul style="list-style-type: none"> change comes typically bottom up 	<ul style="list-style-type: none"> top down support is needed for bottom up change
<ul style="list-style-type: none"> objectives set in advance (and set in stone!) 	<ul style="list-style-type: none"> there is no end point 	<ul style="list-style-type: none"> objectives need to be set and the team should be congratulated when each objective is achieved but improvement never ends
<ul style="list-style-type: none"> it goes wrong because of poor planning and project control 	<ul style="list-style-type: none"> it goes wrong because of people issues 	<ul style="list-style-type: none"> planning and monitoring is important but gaining the commitment of people is vital

Use the Stakeholder Analysis tool on page 25 to map out some of the stakes that exist for individuals during the change process.

People and Improvement

There are many different approaches to improvement. The 'structural approach' is one way of thinking, which could be described as the hard project management approach to change. Another approach, the 'people oriented approach' focuses much more on the softer, people side of change. What we have realised is that for a successful improvement initiative the Improvement Leader needs to consider both approaches as shown in the table.

When trying to make improvements in Higher Education, gaining the commitment of the people who are likely to be affected by the change is paramount. If the people issues are not identified and managed effectively, the following problems may arise:

- strong emotions, such as fear, anger, hopelessness and frustration can derail your improvement initiative
- people become defensive or might deny there is problem, over emphasise the benefits of the present working practice or blame others within the organisation
- there is often constant complaining, questioning and scepticism
- there might be an increase in absenteeism, sickness and people leaving the organisation combined with a fall in morale and job satisfaction
- people don't match 'words with deeds', that is, they do not do what they say they are going to do
- conflict seems to spiral out of control.

In order to minimise these risks, review the table on the previous page and look at the following checklists to see if you are covering all of the people change issues.

Six Steps for Implementing Change

Change shouldn't happen in a random, uncontrolled way. Implementation of a change requires a structured approach to managing, to ensure successful outcomes that are in line with the intention of the vision. The following six steps are essential for effective implementation:

In order to minimise these risks look at the following checklists to see if you are covering all of the people change issues.

1. Enlist the support and involvement of key people

To ensure the momentum and buy-in to a change process, identify key stakeholders and ensure that they are involved and their contribution is valued. Use this team as agents of change across the wider organisation and try to achieve a good mix of skills, authority, resources and leadership.

2. Crafting a good plan

Where possible, create a simple plan of action through the change, which clearly defines roles and responsibilities. Get people involved in the plan, especially if they are directly affected by it. Make sure that the plan is built in small, achievable chunks.

3. Support the plan with consistent behaviours

Whatever the characteristics of the change are, cost-cutting, behavioural, or ways of working, it is important to be seen to be 'walking the talk'. People are only likely to adopt change if it is demonstrated by all levels (and particularly senior levels) of the organisation.

4. Develop 'enabling structures'

Recognise what needs to happen to support the change. Training workshops, communication sessions, team meetings that are aligned to the change will help people understand the reasons for the change, and buy-in to the process.

5. Celebrate milestones

When milestones are achieved, celebrate the fact that progress has been made. Recognising progress will maintain motivation and stakeholder interest, and give confidence that the longer term vision is achievable.

6. Communicate relentlessly

Perhaps the most important activity of all. Communicating effectively can motivate, overcome resistance, lay out the pros and cons of change, and give employees a stake in the process. In fact, communication is so critical, there's another table devoted to it overleaf!

Overleaf you'll find a communications checklist, then following that, a weekly personal checklist to manage your communications throughout the change process.

Communications Checklist

Specify the nature of the change
Don't rely on overviews or sound-bites. Make sure that people understand the change and how it affects the areas in which people work.
Explain why
Explain the business, political or organisational reasons for the change. It may take some detective work, but understanding the reason will help people buy-in to the change.
Explain the change, good and bad
Some people may be badly affected by the change. Being open about all good and bad aspects help people manage it. This also minimises the fear generated by gossip and speculation.
Develop creative communication
Don't just rely on one method of communication. Use word, verbal, written, and in different format; use diagrams; hold discussions. Make sure you're connecting with everyone regardless of their preferred style of communicating.
Manage the negatives
As negatives occur, make sure they are anticipated and managed.
Explain what success looks like
Make sure people can work towards a future vision, and be clear about what success will look like, and whether they are moving towards it.
Explain what's in it for people
Try and identify what will be a benefit to each individual in the new world. Benefits could be work related, personally related and so-on, but help people with the incentive to manage the added work and disruptions that change causes.
Repeat yourself!
People take time to take on board messages. They may not be ready for messages the first time they are presented. Follow up your communications with more communications, giving people every opportunity to question and understand the message.
Make communication two-way
A key part of people's motivation will stem from their ability to be involved. Provide the opportunity for feedback, discussion and debate, even if you don't have all of the answers, this sort of contact will be appreciated.
Be a change figurehead
You will be communicating with your words and deeds. People will look to you for cues, right down to your enthusiasm and perceived body language, so don't forget this aspect of communicating and managing the change process.

Your Weekly Checklist:

Use this weekly, to check that you are doing the right thing to help people through change.

Have I?	Action Plan
Specified the nature of the change	Y/N
What's changed? What else have I discovered? Have I communicated that message?	
Explained why	Y/N
Do I fit my communications into the wider context and explain how it fits?	
Explained the change, good and bad	Y/N
Am I maintaining my consistency and openness, and tackling all aspects of the change?	
Developed creative communication	Y/N
What have I done differently this week? What will I do differently next week?	
Managed the negatives	Y/N
What might be perceived as negative? Do I have it covered?	
Explained what success looks like	Y/N
Are we working to the same vision? As each other? As last week? Am I sure it's explicit and clear?	
Explained what's in it for people	Y/N
Are my team aware of the impact of the change on themselves, the potential benefits, and the difficulties involved?	
Repeated myself!	Y/N
Even though I may have said it before, have I said it again!?	
Made communication two-way	Y/N
Who has or has not communicated back to me? Have I established two-way communication, more importantly, are people using it?	
Been a change figurehead	Y/N
How have I been consistent this week? Am I a change leader?	

Section 4

Help with Change

Section 4: Help with Change

The following pages provide a range of information, activities and worksheets. They are for you to work through individually, with colleagues or your team. Select the materials that are most relevant to you and use them to reflect on the change situation or for discussion with others.

The information following is indexed below

	Suggested Use		Page
Forcefield analysis	Managers & Individuals: To gain a wide perspective on change	This analysis is a management tool for providing an overview of the change situation, and checking the 'balance' of a situation.	20
Bridges' transition model	Managers: Useful as a tool to work through with the team. Individuals: for help assessing own feelings and reactions	The theory of transition provided by Bridges is presented here. Practical checklists follow which help apply the theory to your situation.	21
Transition model checklists		Bridge three stages – checklists.	22
Stakeholder analysis ('What's in it for me' framework)	Managers: Mapping out change stakeholders	Looking at personal stakes in the change process, and a framework for managing them.	25
Building trust & relationships	Managers: Making sure that important areas are acknowledged.	Some theory on the role of trust and relationships in change.	27
Worksheet 1: Change in my organisation	Managers: For group discussion. Individuals: Personal Worksheets.	Analysis of organisational change from a personal standpoint.	29
Worksheet 2: My personal response to change	Managers: For group discussion. Individuals: Personal Worksheets.	We respond to change differently, and this worksheet helps understand your own perspective.	30
Worksheet 3: The business case for change	Managers: For group discussion. Individuals: Personal Worksheets.	A framework for analysing the change journey.	31
Worksheet 4: Daily Learning Log	Managers: For group discussion. Individuals: Personal Worksheets.	This worksheet looks at the daily perspective on change to help manage the process on a regular basis and maintain personal awareness.	33
Fish Swimming Story	General reflection	A change metaphor story from an Urdu tale.	34

Forcefield Analysis

A 'Forcefield Analysis' is designed to help you recognise the forces driving change forward and those that resist the need to change. By identifying all of the forces at work, it helps you to recognise how 'in balance' the driver for change is, and whether more needs to be done to promote reasons for change, or to manage resistance.

Forces for Change

- | | |
|---|---|
| <ul style="list-style-type: none">• New technology• Changing work values• Knowledge explosion• Competition• Market turbulence• Globalisation• Socio Political changes | <ul style="list-style-type: none">• Resistance to change from individuals and groups<ul style="list-style-type: none">- Habit, fear of loss- Economic reasons- Social Ties• Resistance to change from the organisation<ul style="list-style-type: none">- Structure, rules- Limited Resources- Culture |
|---|---|

Use the diagram below to identify a Forcefield analysis for your area of work

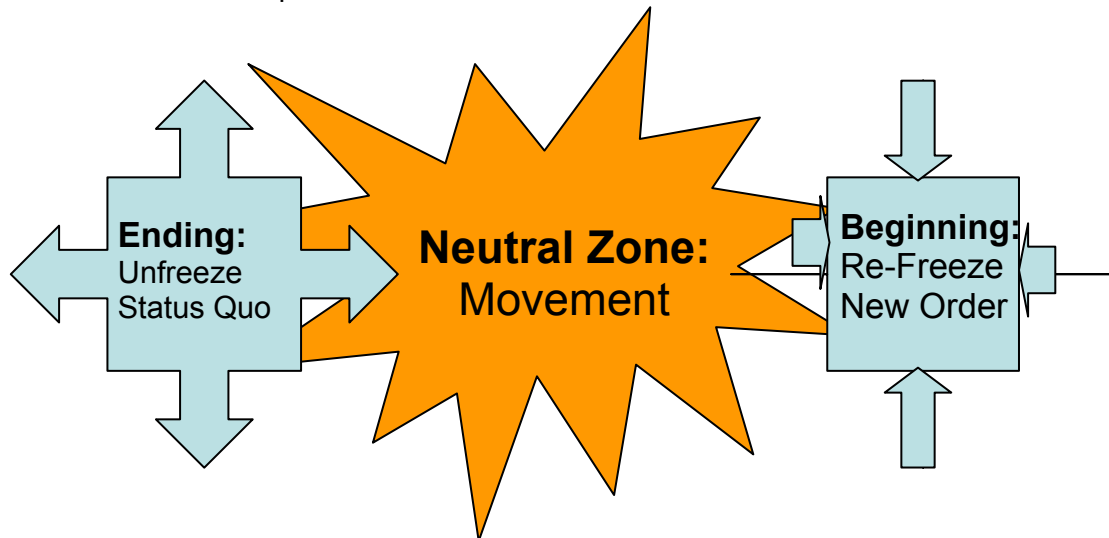
Forces for Change

List the forces you perceive in favour of the change	List the forces you perceive resisting the change

How does your perception of the situation balance? Are there lots of forces for change to harness, or are the areas of resistance high and need managing?

Bridges: A Transition Model

William Bridges PhD is a leader on the subject of change and transition management. Bridges says that transitions can be described in three stages, which are both natural and predictable.



The ending

- when we acknowledge that there are things we need to let go of
- when we recognise that we have lost something
 - example: changing your job. Even when it is your choice, there are still losses such as losing close working friends.

The neutral zone

- when the old way has finished but the new way isn't here yet
- when everything is in flux and it feels like no one knows what they should be doing
- when things are confusing and disorderly
 - example: moving house. The first few days or even months after moving the new house is not home yet and things are quite probably in turmoil.

The beginning

- when the new way feels comfortable, right and the only way
 - example: having a baby. After a few months in the neutral zone of turmoil, you come to a stage when you cannot imagine life without your new baby.

What we all have in common is that for every change, we go through a transition. The difference between us as individuals is the speed at which we go through that transition. This can be affected by a variety of factors. These factors include past experiences, personal preferred style, the degree of involvement in recognising the problem and developing possible solutions, and the extent to which someone was pushed towards a change rather than moving towards it voluntarily. Our advice for you as an Improvement Leader is to help people recognise the process and the stages of a transition as something that is perfectly natural.

Transition Model Checklists:

1. Managing endings

Yes	No	
___	___	Am I giving people accurate information, again and again?
___	___	Have I defined clearly what is over and what isn't?
___	___	Have I permitted people to grieve and acknowledged with sympathy the losses felt by others, even when they seem like overreaction?
___	___	Have I worked hard to unpack old baggage, heal old wounds, and finish unfinished business?
___	___	Have I found ways to 'mark the ending', not to denigrate the past, to find ways to honour it? Have I said thank you to everyone who has contributed?
___	___	Have I given people a piece of the past to take with them?

What actions could you take to help yourself and others to manage endings?

Transition Model Checklists:

2. Managing the neutral zone

Yes	No	
___	___	Have I explained the neutral zone as an uncomfortable time which can be turned to everyone's advantage, choosing a new and positive metaphor to describe it?
___	___	Have I created realistic short-range goals and checkpoints, training programs, temporary policies, procedures, roles, reporting relationships and organisation groupings needed to get through the neutral zone?
___	___	Have I found ways to keep people feeling they belong and are valued?
___	___	Have I made sure that realistic feedback is flowing upward?
___	___	Have I encouraged experiment, creative thinking and trying things a new way?
___	___	Am I protecting people from further changes, and if I can't protect them, am I clustering those changes meaningfully?
___	___	Am I pushing for certainty where it would be more realistic to live a little longer with uncertainty and questions?

What actions could you take to help yourself and others to manage the neutral zone?

Transition Model Checklists:

3. Managing new beginnings

Yes	No	
___	___	Have I clarified the primary task of my organisation and helped others to do the same? Do I have a deep feeling for this primary task, or am I merely mouthing words?
___	___	Have I a story or explanation that makes sense of in this particular transition? Have I communicated an effective picture of the change, the purpose behind it and the new identity which will emerge from it?
___	___	Am I watching out that I don't stake too much on a forecasted future and do I include worst-case scenarios to challenge the forecasts?
___	___	Do I accept that people are going to be ambivalent toward the beginning I am trying to bring about? Have I helped everyone to discover the part that they play in the new system? Have I included opportunities for quick success to help people rebuild their self confidence?
___	___	Am I being careful not to introduce extra, unrelated changes while my people are still struggling to respond to the big transition?
___	___	Have I checked to see that policies and procedures are consistent with the new beginning so that inconsistencies aren't sending mixed message? Am I watching my own actions to be sure I am modelling the attitudes and behaviours I am asking others to develop? Have I found ways, financial and non-financial, to reward people for becoming the new people I am calling upon them to become?
___	___	Have I found ways to celebrate the new beginning? Have I given people a piece of the transition to keep as a reminder of the difficult journey we all took together?

What actions could you take to help yourself and others to manage new beginnings?

Stakeholder Analysis

'What's in it for me' (WIFM) framework

A useful way to consider different needs and attitudes of each individual, or even a group, who are to be key stakeholders in your improvement initiative is to carry out a 'what's in it for me' analysis. Try to do this as soon as you become involved in the improvement initiative, before people have taken up 'positions' and remember to revisit as often as required.

Use this model very carefully; use it to plan your communication and involvement of key people and groups.

Key People (or group)	WIFM? (What's In It For Me)		What could they do to support or prevent the improvement initiative?	What could/should we do to reduce non-compliant activities and encourage and support compliant ones?
	+ Impact	- Risk		
a	b	c	d	e

Overleaf you will find the key to analysing this framework.

How to use the WIFM chart

Column	Comment
a	<p>Enter name or the group (beware Data Protection issues using names). You could have three 'types':</p> <ul style="list-style-type: none"> • those expected to be for the change • those expected to be against it • those expected to be neutral or as yet undecided.
b & c	<p>In these columns record the positive and negative ideas, and comments the individual or group are likely to express on hearing about the improvement idea. Possibly test out your thoughts with others.</p> <p>WIFM criteria could include:</p> <ul style="list-style-type: none"> • deep held values and beliefs • working relationships • conditions of work: place, hours etc. • salary • job security • nature or work: tasks, responsibilities etc. • power, status, position, identity. <p>The more criteria that are negatively affected by the change, the greater the resistance to change. Changes that negatively interfere with a person's power, status, position and identity will evoke the most emotion.</p>
d	<p>Now list the actions the individual or members of the group could take to support or resist your initiative. Consider if they show:</p> <ul style="list-style-type: none"> • commitment: want to make the change happen and will work to make it happen • apathy: neither in support nor in opposition to the change • non-compliance: do not accept that there are benefits and have nothing to lose by opposing the change.
e	<p>Think about what you and/or your team could and should do. You need to:</p> <ul style="list-style-type: none"> • move non-compliant people to a position of neutrality as it is very difficult to move them to a position of commitment quickly • detect and negate potential non-compliant activities • look for, build on and encourage any supporting behaviour <p>Use the model and frameworks in this guide to ensure you interact with this group or individual with the best possible effect.</p> <p>People prefer immediate reward as opposed to delayed rewards, so short term successes are very important.</p>

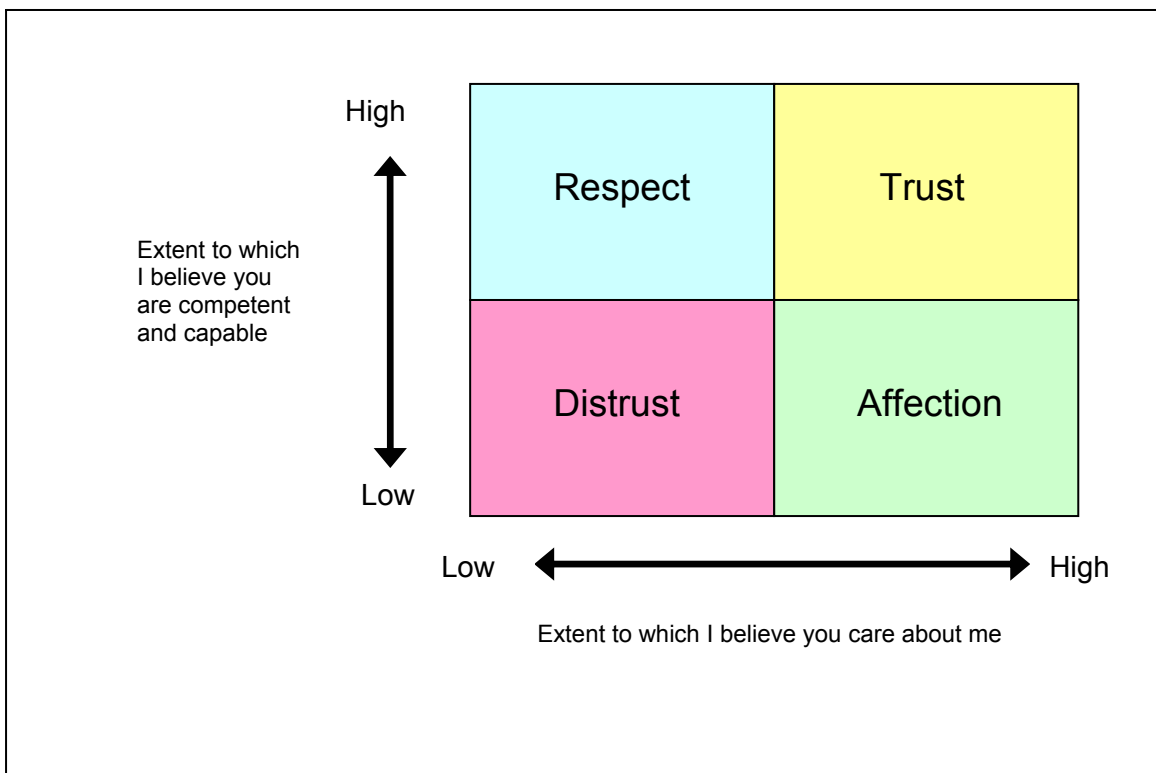
Building trust and relationships

If you have a good relationship and mutual trust between yourself and those you are working with, you are more likely to find them receptive to the new ways of thinking and the improvement methods you want to introduce.

What is trust?

Trust is a combination of two things: competency and caring. Competency alone or caring by itself will not create trust. This model, illustrated below, says that if I think someone is competent, but I do not think they care about me or the things that are important to me, I will respect them but not necessarily trust them.

On the other hand, if I think someone cares about me but I do not feel they are competent or capable, I will have affection for that person but not necessarily trust them to do the job in hand.



Trust and relationships

You can encourage people to trust you if you:

- do what you say you will do and do not make promises you can't or won't keep
- listen to people carefully and tell them what you think they are saying. - people trust others when they believe they understand them
- understand what matters to people. People trust those who are looking out for their best interests.

You can encourage good relationships with people if you:

- are able to talk to each other and are willing to listen to each other
- respect each other and know how to show respect in ways the other person wants
- know each other well enough to understand and respect the other person's values and beliefs

- are honest and do not hide your shortcoming. - this may improve your image but does not build trust
- don't confuse trustworthiness with friendship. - trust does not automatically come with friendship
- tell the truth!

Communications 'Do's'

Before a meeting

- prepare well for any meeting even with one person
- research the issues and the background
- adjust your approach depending on the person and outcome you are trying to achieve
- recognise the pressures of the other person and the difficulties they may face in prioritising their actions.

During the meeting

- be clear and concise
- engage in active listening
- keep a clear mind
- respond don't react
- provide credible information and a range of solutions or options.

Communication 'Don'ts'

- try to be invisible by communication through emails only
- avoid the issue
- have preconceptions about the other person
- over-use jargon, theory or complex ideas
- start from a fixed position that you are determined to defend at all costs
- preach to people
- get excited with shouting and finger jabbing
- do more talking than listening or interrupt the other person with your own point of view
- try and score points.

Worksheet 1: Change in my organisation

Use this space to call to mind and record where your organisation is and why it might need to embrace change.

- What is your organisation **good** at today, and what do you need to be good at tomorrow?
- Who are your **customers** and how are they changing?
- What is changing in relation to **competition** in your marketplace?
- What is the **political** and **economic climate** like, and how is it changing?
- What **key skills** do your employees have, and how are skill requirements changing?
- Who are your **employees** and how are they changing?
- What new **technologies** are arriving to change the way you work?
- What new **rules and regulations** are going to impact on you?
- What new **investments** does your organisation need to make?
- What else is changing or needs to change?

In summary.....

What are the opportunities?

What are the threats?

How does the organisation need to respond?

What is your own part in enabling the organisation to respond?

Worksheet 2: My personal response to change

This activity helps call to mind how you respond personally to change, and the conditions you need to create to ensure your success.

Think of a time in your life when...

...you were deeply challenged by a situation...

...you did not know how you would get through it...

...but you got through somehow.

Make brief notes here of what happened.

How did you feel?

What did you do that helped you get through it?

What help did you get from others?

What resources did you discover in yourself and in others who helped you?

How might you draw on these resources in the change that is happening now?

Worksheet 3: The business case for change

Make notes on the change you are leading or living through. Try to imagine this change as a journey to an unknown part of the world (as Columbus did).

Factor 1: Past and present/ the 'old' world. Describe the current situation you need to change or leave behind.

Positives of current situation. What has been good and successful? What will you bring with you? What will you miss?

Negatives of current situation. What has been wrong with it? Why continuing is no longer an acceptable option?

Factor 2: The future/ the 'new' world. Describe the new future situation you are moving towards.

Negatives of new world. What do you fear about moving into the new world? What good features of life today might you lose?

Positives of new world. What is attractive about it? What would total success look and feel like in the new world?

Factor 3: Rough plan. Describe the steps on your journey into the new world.

What resources and experience will you bring with you?

What additional resources (skills, money, time) will you need?

What will you leave behind?

Whose support do you need?

What are the do-able first steps?

What questions do you still need answers to?

Factor 4: Risks. List what could go wrong. Classify likelihood of each risk: high, medium or low. For each risk identify actions needed to manage or minimise the risk.

Risk	High/Medium/Low	Action Needed

Worksheet 4: Daily learning log

A ship's captain writes a daily log, aiding navigation by recording key events on the voyage. The log brings attention to progress and successes, but also to difficulties and problems. It also helps to reveal underlying patterns, providing needed insight, learning and greater sense of control for those brave people who travel without maps.

Here are some questions to use in you log each day.

What was going on today?

How do I feel about it?

What was really going on (any underlying drivers or patterns)?

Why is that happening? What's my theory/hypothesis?

What successes have we had so far on this voyage?

What is still incomplete or missing?

What really matters most to me/ to others?

What do I want to delivery/provide to my colleagues in this organisation?

What do I want to learn or gain for myself?

What's my next step?

Fish swimming in the change management pond

An Urdu story told by Shashi Kataria (as told to him by his grandmother).

In the middle of the jungle was a deep pond full of fish who lived a joyous life. They jumped out of the water and swam around unafraid of predators.

One day two fishermen got lost in the forest on the way home from a bad day of fishing and as dusk fell stumbled into a clearing, found this pond and watching the jumping fish marvelled at what they had found. But it was late and getting dark so they went off, picking through the darkening forest eventually finding their way home, but deciding to return in the morning to catch this wonderful supply of fish.

After the fishermen had left one of the older fish consulted his ancestors and realised that the fishermen would be back, that word would spread and that all the fish in their happy community were now in danger. As the news of their predicament spread the fish became polarised into 3 groups which reacted in quite different ways.

The first group stayed up late analysing the problem and going over all possibilities. Eventually in the early hours of the morning they identified a way out. They remembered there was a very shallow trickle draining from the far end of the pond. They did not know where this went to, and they knew they risked their lives by attempting to swim out of this narrow spout to an unknown destination, but it was also risky to stay. Since by staying they were going to die anyway they decided to risk dying by swimming out into the unknown.

As it turned out, the spout fell into a pond below, smaller but good still. 5% of the group lost their lives on the perilous journey, but it was worth it. Most of them survived and life continued.

The second group said 'why worry, maybe there is nothing we can do about what happens, and maybe when we are threatened directly then we will get creative and a solution will come to us'.

The third group did not think but could not relax either. They panicked: splashing, thrashing, round and round, frantically wailing 'we're all going to die'.

The next day sure enough the fishermen came back with their nets. This time they saw no fish jumping but they could see fish swimming madly around beneath the water and they dipped their nets in to try to catch them. In this dangerous moment the second group got creative. They said to each other 'maybe if we play dead they won't want to eat us'. So when each fisherman filled his net and went through his catch he had a mix of flipping flopping fish and still ones. The still ones they threw back into the pond.

The moral of this story about change management is YOU DECIDE how to react. You can analyse late into the night, you can be carefree and creative in each moment or you can panic. Which approach to change do you choose?

Acknowledgements

This toolkit was adapted from a toolkit prepared with reference to the following sources:

Department of Health: Improvement Leaders Guide: Managing the Human Dimensions of Change

Tony Page Change Management Consultancy.

Prepared by:

Steve Adlard
December 2005

Adapted for use with University College London by:

Barbara Barrett
Human Resources Division
December 2008

Change Management Toolkit

Appendix 1

Appendix 1

Assess your Management Competencies for UCL :

This document reflects the management competencies established at University College London

It is an opportunity to reflect on your own performance as a manager, and how management impacts on the objectives within your role.

Important Note: This document is designed to provide an informal self assessment of management competencies, and to inform discussion and self reflection on some of the characteristics which help manage change. It is recognised that these ratings are subjective, and would not be used in any personal context without further involvement of the individual.

Please rate yourself against the competencies on a scale of 1-5 (1=low, 5=high). This is not a scientific objective instrument, it is simply a vehicle for identifying potential management strengths and development needs.

1 - Low = You demonstrate the communication and actions (behaviours) in this area less than your most effective colleagues

5 - High = You demonstrate the communication and actions (behaviours) in this area more than your most effective colleagues

NB:

More detail on the Management Competencies can be found at:

http://www.ucl.ac.uk/hr/sdtu/programme/management_competencies.php

Competency expectations of post holders with management responsibilities at University College London

	Low		Med		High
Self Assessment Score	1	2	3	4	5
<p>Leadership</p> <ul style="list-style-type: none"> ▪ Develops and delivers the strategy of the team/division/ department /faculty/UCL ▪ Maintains an awareness of the wider context (UCL wide, national and international as appropriate) and responds accordingly ▪ Promotes excellence in areas of teaching, research, administration and the provision of support services ▪ Addresses challenges and manages change in support of corporate and local objectives ▪ Promotes the activities of the team/division/department/faculty both internally and externally as appropriate ▪ Demonstrates effective self management and focus 					
<p>People management</p> <ul style="list-style-type: none"> ▪ Recruits and manages individuals effectively to create a high performing team ▪ Provides leadership, direction and feedback on team and individual objectives ▪ Facilitates training and the development of an appropriate skills base within the team ▪ Encourages personal development and helps others to learn ▪ Fosters two way communication and effective team-working 					

	Low		Med		High
Self Assessment Score	1	2	3	4	5
<p>Resource management</p> <ul style="list-style-type: none"> ▪ Manages project and other workloads to meet timescales, budgets and deliverables ▪ Acquires and manages budgets and other resources effectively ▪ Ensures regular review of teaching, research, knowledge transfer, enabling and support activities to maximise effectiveness and impact ▪ Manages relationships with sponsors/funding bodies/collaborators/other faculties or other teams to deliver results ▪ Understands risk culture, including the taking of opportunities while managing risk. Puts measures in place to identify, manage and minimise risks (e.g. financial, business continuity, health & safety) ▪ 					
<p>Organisational citizenship/awareness</p> <ul style="list-style-type: none"> ▪ Promotes UCL's values and corporate objectives to colleagues and externally to UCL ▪ Demonstrates a commitment to (and promotes) equality and diversity ensuring UCL is an inclusive environment in which individuals are respected and unacceptable behaviours challenged ▪ Manages self and others in accordance with UCL policies and contributes to policy development as appropriate ▪ Contributes to cross disciplinary activity ▪ Participates actively in Departmental, Faculty and UCL wide Committees, Working Parties, Investigatory Panels and other corporate roles as required 					

Use this page to reflect and record your personal and professional development needs and potential actions, training, support, knowledge acquisition (with dates) that you may need to address to further improve your management and leadership competencies.

Change Management Toolkit

Appendix 2

Appendix 2:

Change Curve detail

Stage 1: Denial

Denial can occur whenever we recognise a change is going to happen. It is a natural attempt to protect ourselves from the disruption ahead. As it is likely that people will have experienced change programmes before, and not all of them will have been successful, at this stage they could decide that this latest change might simply “blow over” without affecting them.

There could be a range of visible signs of denial. We could:

- avoid discussions or any involvement with the subject
- play down the possible need for, effects or degree of change
- avoid taking any initiative or beginning new tasks
- focus on known, routine, essential tasks only

In addition, the denial stage can lead to bursts of ***anxiety, happiness and fear***:

Anxiety:

Anxiety arises from the awareness that events lie outside one's range of understanding or control. The problem here is that individuals are unable to adequately picture the future. They do not have enough information to allow them to anticipate behaving in a different way within the new organisation. They are unsure how they will be required to act in the new work and social situations.

Happiness:

Regardless of the nature of the change, happiness can be generated by the awareness that one's viewpoint is recognised and shared by others. The impact of this is two-fold. At the basic level there is a feeling of relief that something is going to change, and not continue as before. Whether the past is perceived positively or negatively, there is still a feeling of anticipation, and possibly excitement, at the prospect of improvement. On another level, there is the satisfaction of knowing that some of your thoughts about the old system were correct (generally no matter how well we like the status quo, there is something that is unsatisfactory about it) and that something is going to be done about it. In this phase we generally expect the best and anticipate a bright future, placing our own construct system onto the change and seeing ourselves succeeding. One of the dangers in this phase is that of the inappropriate psychological contract. We may perceive more to the change, or believe we will get more from the change than is actually the case. The organisation needs to manage this phase and ensure unrealistic expectations are managed and redefined in the organisations terms, without alienating the individual.

Fear:

The awareness of an imminent incidental change in one's core behavioural system. People will need to act in a different manner and this will have an impact on both their self-perception and on how others externally see them. However, in the main, they see little change in their normal interactions and believe they will be operating in much the same way, merely choosing a more appropriate, but new, action.

