Managing Change
How to achieve effective, large-scale, long-term change in a UK University setting

Professor Stephen Brown, January 2012

Aim
To help you to develop effective strategies for achieving large scale lasting change in your institution.

Outcomes
By the end of this workshop you should be able to:

1. Describe your institutional culture.
2. Identify key stakeholders and their motivations.
3. Produce a “baseline” picture of your institutional setting.
4. Develop proposals that everyone can buy into.
5. Keep your stakeholders on board to a successful conclusion.

Key terms
Feral systems, stakeholders, baseline, rich picture, ideal world model

Acknowledgement
These notes are based largely on the JISC Change Management Infokit
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**Cycles of Adaptation**

Organisations go through cycles of change or adaptation:

- Reorganisation
- Growth
- Institutionalisation
- Transformation

Q. What phase is your organisation in?

NB. Institutionalisation emphasises standardised policies and procedures that are usually introduced in a top-down directive manner. A common response from participants is development of “feral systems”, unofficial, informal, work-arounds.

NB The “Transformation phase”. This quadrant is about changing from one state to another and its characterised by decrease in stability and breaking of old connections and increase in uncertainty and making of new connections.

Effective large scale institutional change is almost certainly going to entail a transformation phase like this. It is important to understand how this is likely to affect the participants.
The Three Phases of Transition

Endings
- Denial
- Anxiety
- Shock
- Uncertainty
- Resentment
- Sadness
- Anger
- Fear
- Blame

Identity: Have to let go of who we were in the old

Neutral Zone
- Undirected energy typified by confusion, anger, fear, frustration
- Extreme anxiety, scepticism, apathy, isolation
- Dislocation, some optimism, discovery, creativity

Identity: Not who we were - not yet who we will be

New Beginnings
- Commitment
- Enthusiasm
- Trusting
- Excitement
- Relief/Anxiety
- Hopeful/Sceptical
- Impatience
- Acceptance
- Realisation of loss

Identity: Begin to identity with the new ways

**People, Processes and Culture**

Change entails people, processes and culture. Effective change is very dependent on having the right people in place. Bottom-up change is often driven by small numbers of charismatic, energetic, visionaries. But individuals and small groups struggle to achieve widespread and lasting impact. Usually the innovation flowers briefly then fades away.

Often the emphasis is on processes: redesign the systems and everything else will fall into place. Top-down change management projects inspired by organisational development models typically focus on processes and policies.

![Organisational Development Diagram](Source: JISC Change Management Infokit p4.)
The Organisational Development approach recognises much of the complexity of our organisations and the need for an iterative change process but is nonetheless based on a presumption that a cycle based on careful analysis and planning will deliver a predictable and logical outcome.

Q. What are the likely chances of gaining support for new policies and procedures in your institution of policies through rational, logic-based discussion?

In reality change, especially large scale change, defies logical rules and simple management actions. Complexity theory and a view of organisations as 'complex adaptive systems', attempts to consider some of those realities and arguably provides a better model for change in an education setting (see for example Lewin and Regine (1999), Olson and Eoyang (2001)). Olson and Eoyang (2001) have compared traditional change to the Complex Adaptive System (CAS) model of change based on complexity theory.

<table>
<thead>
<tr>
<th>Traditional</th>
<th>Complex Adaptive System</th>
</tr>
</thead>
<tbody>
<tr>
<td>Few variables determine outcomes</td>
<td>Innumerable variables determine outcome</td>
</tr>
<tr>
<td>The whole is equal to the sum of the parts (reductionist)</td>
<td>The whole is different from the sum of the parts (holistic)</td>
</tr>
<tr>
<td>Direction is determined by design and the power of a few leaders</td>
<td>Direction is determined by emergence and the participation of many people</td>
</tr>
<tr>
<td>Individual or system behaviour is knowable, predictable and controllable</td>
<td>Individual or system behaviour is unknowable, unpredictable and uncontrollable</td>
</tr>
<tr>
<td>Causality is linear: every effect can be traced to a specific cause</td>
<td>Every cause is also an effect, and every effect is also a cause.</td>
</tr>
<tr>
<td>Relationships are directional</td>
<td>Relationships are empowering</td>
</tr>
<tr>
<td>All systems are essentially the same</td>
<td>Each system is unique</td>
</tr>
<tr>
<td>Efficiency and reliability are measures of value</td>
<td>Responsiveness to the environment is the measure of value</td>
</tr>
<tr>
<td>Decisions are based on facts and data</td>
<td>Decisions are based on tensions and patterns</td>
</tr>
</tbody>
</table>
Leaders are experts and authorities | Leaders are facilitators and supporters

Traditional decision-making applies in the rational area of the matrix at the bottom left of the diagram below. The chaos area is the area to be avoided - the area of guess-work and randomness. However, much decision-making takes place in the area of complexity where there are many alternatives with differing degrees of predictability (and little certainty).

To operate in this area, it is argued, requires a different set of skills and alternative processes. In particular, it requires a high level of interaction amongst organisational agents - those involved in implementing change. Change here cannot be driven but must be fostered and supported.

Diagram - based on Stacey Agreement vs Certainty Matrix

In other words, the key to effective change is winning the hearts and minds of the majority, which entails changing the culture.
Q. What is culture?

“The way we do things here”
Organisational Cultures  
(Source JISC Change Management Infokit 11-12)

Collegiate

- There is a dual structure of administrative and academic management which results in parallel committee structures which can act as a black hole for decision making.
- Unclear reporting lines and poor coordination, strong local cultures, agendas and identifiers.
- Academic status is perceived as higher than support or administrative functions.
- There are strong subject-specific allegiances with academics often feeling a stronger alliance to their subject area and external networks than the institutional mission.
- Decision making occurs through committees, which can be slow and lack cohesion.
- Activities tend to be driven from the ground, primarily linked to local interests.
- Classic structure of old universities particularly those with more of a research focus.

Bureaucratic

- Characterised by strong central management and top-down decision making.
- The hierarchy of control and decision making is clearly established in the administrative and management structures of the institutions.
- Management roles are clearly defined as career progressions, heads of department, deans etc are appointed through an interview process to tenured positions.
- Central management have strong control over the direction of the strategic priorities for the institution.
- Commonly found in FE colleges and new universities.

Innovative

- Institutions with flexible structures geared to respond and adapt quickly to external factors and influences.
- Strong culture of change and innovation with frequent changes in directions of activities and focus of interest.
- Often characterised by a matrix structure of responsibilities by both subject area and functional activity (where the latter will often be structured around the identified strategic priorities).
- Typically activities focused around particular projects and associated project teams.
Characteristic of some new universities and colleges but also present within the old universities within the sub-structure of the institution through enterprise centres and research centres which are externally funded.

**Enterprise**

- More closely aligned to traditional businesses and industry approaches.
- Acutely aware of financial mechanism and processes and alert to external opportunities.
- Traditional management roles and structures with clear demarcation of responsibilities and hierarchical decision making processes.
- Clear business objectives and plans based on detailed market analysis and needs.
- More common in America, particularly in some of the newer institutions which are focused on distance education.

Q. What type of culture does your institution have overall?

1. Collegiate
2. Bureaucratic
3. Innovative
4. Enterprise

Q. What kind of change management strategies are common in your institution and how effective are they?
Change Management Strategies

Five different broad approaches to effecting change were identified by Thurley and Wirdenius (1973) and summarised by Lockitt (2004).

<table>
<thead>
<tr>
<th>Strategy</th>
<th>Advantages</th>
<th>Disadvantages</th>
</tr>
</thead>
<tbody>
<tr>
<td>Directive</td>
<td>Relatively fast</td>
<td>Ignores the views of those affected by change.</td>
</tr>
<tr>
<td>Expert</td>
<td>Use relevant expertise</td>
<td>Expertise may be challenged.</td>
</tr>
<tr>
<td></td>
<td>Small groups required</td>
<td>Resistance of those not consulted.</td>
</tr>
<tr>
<td></td>
<td>Relatively fast to implement</td>
<td></td>
</tr>
<tr>
<td>Negotiated</td>
<td>Change recipients have some say</td>
<td>May be relatively slow.</td>
</tr>
<tr>
<td></td>
<td>Resistance to change likely to</td>
<td>Anticipated change may have to be modified.</td>
</tr>
<tr>
<td></td>
<td>be reduced (or areas of</td>
<td></td>
</tr>
<tr>
<td></td>
<td>disagreement highlighted)</td>
<td></td>
</tr>
<tr>
<td>Educative</td>
<td>People committed to change</td>
<td>Relatively slow.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Likely to require more resources and more costs</td>
</tr>
<tr>
<td></td>
<td></td>
<td>involved.</td>
</tr>
<tr>
<td>Participative</td>
<td>Change more likely to be</td>
<td>Relatively slow to implement.</td>
</tr>
<tr>
<td></td>
<td>accepted</td>
<td></td>
</tr>
<tr>
<td></td>
<td>More people committed to</td>
<td>More complex to manage.</td>
</tr>
<tr>
<td></td>
<td>change</td>
<td>Will require more resources.</td>
</tr>
<tr>
<td></td>
<td>More opportunity</td>
<td>Increased costs.</td>
</tr>
</tbody>
</table>

This diagram © 3T Productions Ltd 2004

Broadly these split into two approaches: directive and collaborative.

Q. Which approach is most likely to result in lasting change and why?
**Stakeholders**

So far we have considered your institution as an entity, but of course institutions are made up of individuals. Institutional members that have an interest in the outcomes of change are known as stakeholders. Some will matter more than others.

Q. Who are your stakeholders? Which of them are most important and why?

Q. For each key stakeholder, what are their motivations? What will they want from your project? How do you know this, or how can you find it out?

Q. How well do your stakeholders’ goals align with your project?

<table>
<thead>
<tr>
<th>Measures of success (Goals)</th>
<th>What do they want to see happen?</th>
</tr>
</thead>
<tbody>
<tr>
<td>Discovery</td>
<td>How will you find this out?</td>
</tr>
<tr>
<td>Monitoring</td>
<td>How can you provide this stakeholder with progress feedback?</td>
</tr>
<tr>
<td>Risk</td>
<td>What might go wrong and what can you do about it?</td>
</tr>
</tbody>
</table>

Table 1: Clarifying Stakeholder goals

<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Stakeholder goal</th>
<th>Project goal</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Table 2: Aligning Stakeholder goals with project aims/objectives
Stakeholder engagement

If you are engaged in a largely directive change management strategy then what your stakeholders want will be largely irrelevant, but if you are pursuing a more collaborative approach then what motivates them and how much they feel engaged will be crucial.

Q. What level of stakeholder engagement do you intend to implement and why?

<table>
<thead>
<tr>
<th>Stakeholder roles</th>
<th>Information mode available</th>
<th>Level of engagement</th>
<th>Stakeholder ladder of engagement</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>Stakeholders informed</td>
<td>Notify</td>
<td>Stakeholders may encounter untargeted project publicity</td>
</tr>
<tr>
<td></td>
<td>Stakeholder consulted</td>
<td>Inform</td>
<td>Stakeholders are regularly and reliably informed, made aware of their rights and ways of participating in the project</td>
</tr>
<tr>
<td></td>
<td>Stakeholder input</td>
<td>Consult</td>
<td>Project staff obtain views of stakeholders. Stakeholders receive full feedback on decisions taken</td>
</tr>
<tr>
<td></td>
<td>Stakeholder shaped</td>
<td>Involve</td>
<td>Project staff work with stakeholders throughout decision making process, ensuring views are understood and taken into account</td>
</tr>
<tr>
<td></td>
<td>Stakeholder owned</td>
<td>Collaborate</td>
<td>All aspects of decision making processes are undertaken in partnership with stakeholders</td>
</tr>
<tr>
<td></td>
<td>Stakeholders set agenda</td>
<td>Empower</td>
<td>Stakeholders set agenda for change, self organisation and responsibility over management is held by stakeholders</td>
</tr>
</tbody>
</table>

Q. What kinds of stakeholder engagement tools could you use?

See Appendix A Stakeholder ladder of engagement. From http://jiscdesignstudio.pbworks.com/w/page/27046505/T-SPARC%20Stakeholder%20Engagement%20Model

Q. What kinds of stakeholder engagement tools could you use?
**Baselining**

Having a picture of how things currently are in your institution is useful for several reasons:

1. It can help you to see where there are gaps in your understanding, eg. of stakeholders.
2. It provides a basis from which to make proposals for change.
3. It provides a reference point against which change can be measured.

Gather as many data as you can to define the present baseline structures, processes, costs and performance of your current situation. Baseline reports need to be as factually accurate as possible but in addition it’s important that they capture feelings and attitudes.

**Guidance on preparing a baseline report**

Source: JISC Design Studio

[http://jiscdesignstudio.pbworks.com/w/page/47831216/DL%20baseline%20framework%20for%20projects](http://jiscdesignstudio.pbworks.com/w/page/47831216/DL%20baseline%20framework%20for%20projects)

The purpose of your baseline report is (a) to provide a 'starting point' for the project against which you can evaluate progress and which can inform planning at project and institutional levels (b) to contribute to the synthesis report defining the 'starting point' for the sector as a whole, against which the programme can be evaluated and which can also inform planning at programme and funder/policy level.

1. **Policy and strategy**
   What institutional policies and strategic/vision statements have a bearing on digital literacy, digital competence, 'C21st graduate attributes' etc. e.g. learning and teaching strategy...
   What institutional initiatives exist, including externally funded ones and including the project itself? What are the aims, objectives, resources?
   In other words, what does the institution/project say are its priorities? How is Digital Literacy defined (if at all) and what other terms/language are used? What is being invested?

2. **Infrastructure**
   How well does the University support students and staff to use the technologies they need or elect to use for study, research, teaching etc. (i.e. hardware, software, networks and ICT support)?
   How are institutional spaces adapted to support digital practices?

3. **Support**
What are the ToR of professional services with a remit to support student digital literacy? How do they provide support?
What are the ToR of professional services with a remit to support staff capability? How do they provide support?
What are the ToR of other services with a remit to support digital infrastructure (IT, estates)?
How well are these coordinated?
What opportunities do services have to develop their own digital literacies (could include admin and estates staff as well as the obviously student-facing services).
What other sources of support do staff and students have for their digital literacy development e.g. online diagnoses/resources, peer support, mentors, personal tutors...?
Those first three could be largely informed from existing institutional documentation, and/or some light touch interviews with key players. They are about what is supposed to be going on. The institutional audits page could be useful.
What would progress look like from start-up to end-point? Is it realistic to expect progress in some of these over just two years?

Now for the difficult ones:

4. Practice
What technologies do staff, students etc actually use?
What do staff, students (etc) actually do with the technologies they use, and within the policy and support frameworks provided?
Of particular interest will be practice in the curriculum i.e. how far is digital capability considered in practice as a learning/graduate outcome in curriculum design?
What kinds of learning experience are offered and assessed?
What co-curricular experiences build real-world digital capability and fluency? e.g. non-compulsory modules, graduate awards, portfolio/CV building etc
Of course the picture will inevitably be very different in different departments and courses, so the challenge will be saying anything useful. The temptation will be to describe 'best practice' but we need some indication of the scope and extent of that best practice, and what 'standard practice' really looks like.

5. Expertise (and maybe attitudes?)
How capable do staff and students feel with digital technologies? How relevant are their skills for their specific roles?

6. Stakeholder needs/views/expectations
What are the challenges that mean practice needs to change? e.g. new graduate outcomes, new student expectations...
What are stakeholders saying? What do they need/want/expect from their use of technology?
What do students need/want/expect from their use of digital technology in study/research/professional development?
How do staff feel about using technology for research, for teaching, in professional/admin roles? 
Assessing these last three will be difficult and collating instruments to do this will be a significant task (and an important outcome) for the programme.
Practice, expertise and views may usefully be amalgamated in questionnaires, focus groups, interviews etc and in fact it's generally better to ask about confidence/competence while also addressing specific practices and future requirements
**Rich Pictures**

Rich Pictures are a diagramming technique developed by Peter Checkland as part of Soft Systems Methodology (Checkland, P.B. 1993 *Systems thinking, Systems Theory*. Chichester, England: John Wiley and Sons Ltd) which help to capture stakeholder’s views non-confrontationally. One person’s view of the situation is unlikely to be complete or universally agreed. Finding out how stakeholders view the current situation is not always easy. Stakeholders may not be clear themselves, they may be guarded and often stakeholders perceptions and opinions vary, resulting in conflicts which make it difficult to agree the problem, let alone solutions.

Some examples of rich pictures developed as part of a large scale change project at Greenwich University can be found in the JISC Design Studio at [http://jiscdesignstudio.pbworks.com/w/page/24763278/Rich%20Pictures](http://jiscdesignstudio.pbworks.com/w/page/24763278/Rich%20Pictures).
Developing proposals for change

The key to effective collaboration is the avoidance of confrontation, which can lead to entrenchment and alienation. Checkland’s Soft Systems Methodology (Checkland, P.B. 1993 Systems thinking, Systems Theory) was developed to deal with complex adaptive systems where stakeholders are unlikely to agree about goals, problems or solutions.

The method works by first of all developing a rich picture to depict the baseline. From the rich picture important themes or issues are identified and participants are helped to envisage ideal systems, unconstrained by reality, that would address the identified issues. The final stages entail comparing the ideal system with the current reality as depicted in the rich picture in order to identify possible and desirable changes that could be made to bring reality closer to the ideal. The method studiously avoids defining both what (or who!) the problem is and what the “solution” should be, but instead generates a list of proposed changes that the stakeholders agree are both desirable and feasible.

Checkland’s methodology overview.
**Keeping stakeholders on board**

Knowing what key stakeholders want and ensuring that the project delivers this are keys to success of large scale change management projects. But how will stakeholders know that you are delivering what they want and how will you know if they are happy with how the project is going? Feedback loops are essential to keep stakeholders informed about progress and to gather intelligence about how stakeholders are responding to changes. Remember that in the transformation phase people can feel uncertain, lost, angry and frustrated.

Q. How will your stakeholders know that your project is delivering what they expect and want? (Dissemination plans)

Q. How will you know if your stakeholders are happy with the project? (Formative evaluation)
<table>
<thead>
<tr>
<th>Stakeholder</th>
<th>Stake in the Project</th>
<th>Potential Impact on Project</th>
<th>Expectations of the Stakeholder</th>
<th>Perceived attitudes and/or risks</th>
<th>Stakeholder Management Strategy</th>
<th>Responsibility</th>
</tr>
</thead>
<tbody>
<tr>
<td>College Registrar</td>
<td>Policy and process owner who determines institutional administrative policy and procedures</td>
<td>High</td>
<td>Experienced staff to be involved in user group and user acceptance testing. Commitment to implementing change.</td>
<td>Lack of clarity about preferred approach. Views project team as too technically oriented.</td>
<td>Involvement in Project Steering Board. Regular update meeting with project leader.</td>
<td>Project Manager</td>
</tr>
<tr>
<td>Heads of School</td>
<td>Manages School Admin staff who will operate the new system at local level and academic staff who will indirectly input and directly extract data</td>
<td>Medium</td>
<td>Commitment to implementing change.</td>
<td>Lack of interest in project.</td>
<td>Involvement in briefing sessions at quarterly School meetings.</td>
<td>Registrar and Project Sponsor</td>
</tr>
<tr>
<td>Admin Staff</td>
<td>Will operate new system</td>
<td>Very High</td>
<td>Contribute to system and process design and testing.</td>
<td>Concern about increased workload. Worried about what training they will receive.</td>
<td>Involvement in user groups.</td>
<td>Project Team</td>
</tr>
</tbody>
</table>

Source: JISC Project Management Infokit [http://www.jiscinfonet.ac.uk/infokits/project-management/stakeholder-management](http://www.jiscinfonet.ac.uk/infokits/project-management/stakeholder-management)
**Change Management Team Roles**

Source: JISC Change Management Infokit p19ff.

**Change Sponsor**

Someone who has the authority, seniority, power, enthusiasm, and time to lead/carry through/oversee the changes. The change sponsor may not get involved with the day-to-day management of the change but should support and monitor progress. Usually he or she is a senior member of the management team given responsibility for effecting the change.

The change sponsor must ensure that the necessary resources are available throughout the change process and accepts ultimate responsibility for the successful change implementation:

- Agrees the change strategy and approach.
- Is an active champion and role model for the 'new reality'.
- Monitors and communicates change progress to interested parties.

**Change Manager**

Someone with the expertise to lead the change, and can act as a role model for the new reality. May be an experienced project or change manager within the organisation or, possibly, brought in from outside with specific responsibility for managing the change.

The change manager has responsibility for the day-to-day implementation of the change:

- Designs the change process, strategy and approach, and agrees these with the change team.
- Takes responsibility and manages the change progress on a day-to-day basis.
- Designs the communication strategy and contingency plans for the change.
- Monitors progress.
Facilitates key events to build commitment for the change.

- Liaises up and down the organisational structure.

**Change Agents**

*The type of person that became a change agent was willing to experiment, ready to change, and had a good understanding of educational developments.*

*From Changing Teaching and Learning styles Case Study*

The change agents are those people that really make the difference implementing the change at a local level. This will depend on the nature of the change but the role often falls to middle managers because they have the influence and authority to make the change take place.

Care needs to be taken, as middle management shouldn't be treated as 'the meat in the sandwich' - effective change agents need to be dedicated to the change process and should be provided with the support and given time to adjust and accept the changes before they are to summon commitment from their departments.

Work needs to be undertaken to get commitment from this key group of staff when implementing change - they are the key to implementing change processes effectively.

Change agents are responsible for facilitating the change through:

- Gaining commitment for the changes.
- Facilitating evaluation activities.
- Monitoring and reporting progress of change.
- Consulting and identifying bottlenecks/sources of resistance.
- Disseminating lessons learned.
The following seven winning characteristics of the successful change agent is derived from a study of the implementation of change in higher education.

**Has a sense of purpose**

- Is fully aware of the need to change.
- Has a vision of what can be achieved.
- Is realistic about the scale and timescale for change.
- Is flexible about the means to achieve the change.
- Understands the change process.

**Has the capability to Act**

- Has leadership and interpersonal skills, with political awareness.
- Has a means to promote change (i.e. a role, a project, resources or influence).
- Has knowledge of the institution, its history and its influential characters.
- Develops the influential team.

**Sells Success**

- Ensures that early successes are achieved.
- Focussed on spreading successful practice.
- Has a communications strategy for selling success.
- Builds appropriate networks to facilitate communication.
- Understands others' priorities in order to offer them clear benefits.
- Offers support and encouragement, not another problem.

**Is strategically connected**

- Is well connected with sources of power and influence.
• Builds a critical mass of senior people or a senior champion.
• Ensures senior links will last and do not depend on one individual.
• Understands the senior management agenda and sells benefits.
• Makes the link between strategy and operations.
• Encourages senior people to learn by experience.

Is critically reflective

• Builds a non-threatening environment.
• Encourages learning from failure as well as success.
• Makes critical reflection a part of all plans and agendas.
• Promotes reflection at every level i.e. personal, team department, and institutional.
• Records important learning points so they don’t depend on memory.

Builds supporting structures

• Ensures mechanisms are in place to continue the innovation and to spread it.
• Embeds the innovation by making it an important part of a wider strategy.
• Supports the innovation with appropriate resources for teaching and learning.
• Ensures that future innovation will also be supported and embedded.
• Develops processes to respond to the needs of institutional 'stakeholders'.

Is opportunistic

• Predicts and uses external and internal levers for change, including political forces.
• Makes use of all available resources, including students, employers and alumni.
- Notices and secures external funding which will support (not dictate) the change.
- Encourages innovation, for example with protected money for innovative projects.

Change Champion

These are the early adopters, colleagues who want the change implementation to succeed, and believe that the change will be beneficial to the Institution. The change champions will be members of staff affected by the change. They do not have to have management responsibilities.

The change champion will make an excellent change agent, but may not always want the excess work associated with the change. The change manager must decide how to make use and reward the enthusiasm and support of the change champions.

The change champions are the natural marketeers for the organisational change and act as catalysts for others. They will speak positively about the change, show that it can be done and support colleagues at an informal level. They give recognition when new behaviours are demonstrated.
Review

This workshop has covered:

- Institutional culture identification
- Stakeholder identification
- Stakeholder engagement strategy and tools
- Baseline reporting
- Project information dissemination
- Formative evaluation

Effective institutional scale change management is about engaging key stakeholders.

Genuine engagement is a participatory process.

Outcomes may not be what you expected.

Ownership is a prerequisite for embedded change.

Activities for embedding are not the same as activities to produce outputs.

1. Sustainability =
critical mass of happy stakeholders

2. Sustainability strategy =
Embedding activities that ensure critical mass of stakeholders are happy

3. The chances of sustainability are increased if other institutions adopt the innovation

For further information see the bibliography.
Bibliography


HE Academy Resources on Facilitating Change. http://www.heacademy.ac.uk/1745.htm


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### Appendix A; Stakeholder ladder of engagement

<table>
<thead>
<tr>
<th>Level of engagement</th>
<th>Notify</th>
<th>Inform</th>
<th>Consult</th>
<th>Involve</th>
<th>Collaborate</th>
<th>Empower</th>
</tr>
</thead>
<tbody>
<tr>
<td>Stakeholders may encounter untargeted project publicity.</td>
<td>Stakeholders are regularly and reliably informed, made aware of their rights and ways of participating in the project.</td>
<td>Project staff obtain views of stakeholders: Stakeholders receive full feedback on decisions taken.</td>
<td>Project staff work with stakeholders through decision making process to ensure views are understood and taken into account.</td>
<td>All aspects of decision making processes are undertaken in partnership with stakeholders.</td>
<td>Stakeholders set agendas for change. Self organisation and responsibility over management is held by stakeholders.</td>
<td></td>
</tr>
<tr>
<td>Information made available</td>
<td>Stakeholders informed</td>
<td>Stakeholder consulted</td>
<td>Stakeholder input</td>
<td>Stakeholder shaped</td>
<td>Stakeholder owned</td>
<td></td>
</tr>
<tr>
<td>Stakeholders as passive recipients of uncontextualised information.</td>
<td>Stakeholders as passive recipients of broadly contextualised information.</td>
<td>Stakeholders as respondents. Designated consultation space/time in meetings. Feedback/right of reply strategies.</td>
<td>Some dialogue with project staff is expected. Stakeholders as project team members.</td>
<td>Stakeholders as collaborators. Stakeholders on management committees. Stakeholder shaped policy making. Stakeholder interest/action groups.</td>
<td>Stakeholders as designers (independent). Distributed decision making. Stakeholder managers. Stakeholder ‘ownership’ of resources, events, policies and learning.</td>
<td></td>
</tr>
<tr>
<td>Stakeholder staff is not expected.</td>
<td>Dialogue with project staff is implicitly welcomed but not explicitly invited.</td>
<td>Stakeholders as respondents.</td>
<td>Stakeholders as project team members. Stakeholder appointment on POG. Participation in skills training.</td>
<td>Stakeholders as collaborators. Stakeholders on management committees. Stakeholder shaped policy making. Stakeholder interest/action groups.</td>
<td>Stakeholders as designers (independent). Distributed decision making. Stakeholder managers. Stakeholder ‘ownership’ of resources, events, policies and learning.</td>
<td></td>
</tr>
<tr>
<td>Engagement tools</td>
<td>Untargeted publicity</td>
<td>Access to minutes/documents</td>
<td>Static website</td>
<td>Engagement tools</td>
<td>Engagement tools</td>
<td></td>
</tr>
<tr>
<td>Briefings</td>
<td>Regular blogs</td>
<td>Targeted letter</td>
<td>Comment/opinion polls</td>
<td>Focus groups (stakeholders as respondents)</td>
<td>Project staff led consultation workshops. Project staff led questionnaires, interviews.</td>
<td></td>
</tr>
<tr>
<td>Workshops</td>
<td>Voting</td>
<td>Active focus groups</td>
<td>Interviews (open-staff directed)</td>
<td>Stakeholder-led consultations. Interviews open/closed (stakeholder directed)</td>
<td>Stakeholder managed programmes. Stakeholder agenda setting. Stakeholder managed consultation activities and tools development.</td>
<td></td>
</tr>
</tbody>
</table>