Change *verb*
1. Make or become different
2. Give up or get rid of (something) in exchange for something else

Change *noun*
1. An act or process through which something becomes different
2. A transition from one state, condition, or phase to another

Change is an essential part of our personal and professional lives. Every day we face new situations; deal with the unexpected; and overcome challenges. Most of the time this is a good thing; it is the way we grow and evolve as individuals, as teams, and as organisations. However, change can sometimes be difficult for people and groups, and therefore needs expert management and leadership to deliver the necessary outcomes and benefits.

Who is this guidance for? This booklet presents a recommended approach to leading and managing change at any level; from First Line Managers through to Board members. Anyone accountable for a change initiative should consider the guidance in this booklet carefully and apply the tools provided wherever possible, regardless of scale. There is of course no substitute for disciplined and effective Portfolio, Programme and Project Management (P3M) and this guidance does not seek to replace or undermine good P3M. The booklet is intended to be complementary by drawing attention to the additional factors that need to be considered when dealing with change.

Further information and Contact

Marcus Taylor has managed change in the public and private sector for 15 years. Most recently as the Divisional Head of Change and Business Improvement in a UK plc responsible for 12000 staff deployed worldwide. He is a graduate of King's College London and has studied change and transformation at Strathclyde Business School. A Fellow of both the Chartered Management Institute and Royal Society of Arts, Marcus holds current certificates in Managing Successful Programmes (MSP) and Projects in Controlled Environments (PRINCE2). He is also a Member of the Association of Project Managers.

taylormarcus@mac.com

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This guide is deliberately structured to be compliant with Change Theory being developed by the Association of Project Management (APM) specific interest group (SIG) on Managing Change (see footnote). The booklet follows the recommended taxonomy from the APM SIG but also draws in relevant experience and evidence from other disciplines to help reinforce and broaden perspectives:

Content as follows:

1. Planning and Managing Change

2. Clear Vision and Strategy

3. Strong Leadership and Sponsorship

4. Well Structured Approach

5. Engage and Build Commitment

6. Build Strong Change Team

7. Measure Success and Benefits

https://www.apm.org.uk/community/enabling-change-sig/

1. Planning and Managing Change

Change is difficult and will have unintended consequences. Practitioners will continuously need to modify and adapt their approach. Those involved in establishing change require some unique 'soft' skills. The personal and professional qualities associated with good project and programme leadership are of course important, but are *not necessarily* the full suite of skills needed for successful change. A rigorous, disciplined, outcome focused approach is common to both, but change needs an extra level of empathy, self awareness and insight to people factors.
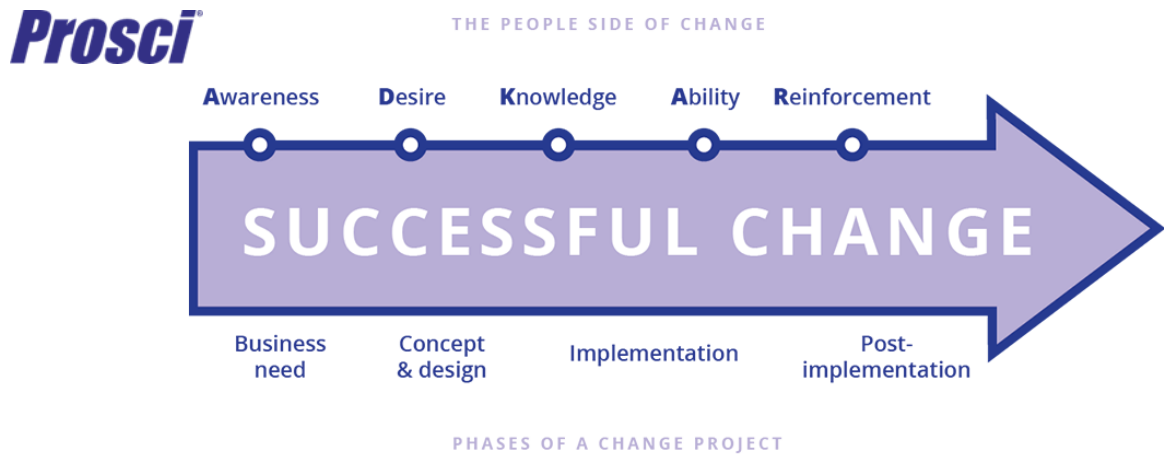
Prosci ® A D K A R

Change is about people. Change happens at the individual level; in order for a group or organisation to change, all the individuals within that group must change. The best project management, vision or solution will not result in successful change. The secret to successful change is rooted in something much simpler: how to facilitate change with one person. In 1994 a man called Jeff Hiatt noticed something: two similar projects could both have excellent technical solutions and project management, yet one would successfully meet its objectives while the other would fail. Curious, he started digging deeper and found the key to this success: the people side. Jeff started a company called Professional Science or 'Prosci', pronounced phonetically and developed the ADKAR model to better manage change in a repeatable way:

- **A**wareness of the business reasons for change.

- **D**esire to engage and participate in the change.

- **K**nowledge about how to change.

- **A**bility to realize or implement the change at the required performance level.

- **R**einforcement to ensure change sticks.

Planning and Managing Change

Change is constant and should therefore be considered a necessary part of any continually improving organisation. Equipped with an understanding that change is about people and that change leaders will need certain key skills, there are a few cardinal points, which, just like the points of a compass, should be applied when navigating change. Ignoring or confusing them will lead to becoming disoriented or worse, completely lost. The Association of Project Managers has set out a 6 step checklist which complements the Prosci ADKAR theory.

Prosci

THE PEOPLE SIDE OF CHANGE

| Awareness | Desire | Knowledge | Ability | Reinforcement |

SUCCESSFUL CHANGE

| Business need | Concept & design | Implementation | Post-implementation |

PHASES OF A CHANGE PROJECT

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Association of Project Managers 2016 Specific Interest Group on Change.

Clear Vision and Strategy with Well defined Benefits
- People are more likely to accept if they understand

Strong Leadership and Sponsorship
- Actions are louder than words

Define and follow well structured approach
- P3M, communications, interfaces and governance

Engage and Build Commitment from Key Stakeholders
- collaboration and partnership, influencing behaviours

Build Strong Change Team
- technical and soft skills, conflict management

Measure Success and Benefits
- Before, during and after, relate it to stakeholders

2. Clear Vision and Strategy

There is no point bringing in change for the sake of it. However it is important that prompt action is taken when a clear need for change is identified. Many factors may signal the need for change; the demands of a customer, the action of a regulator or competitor, or changes to the business environment due to legislation. Some changes will be small and can be treated as continuous improvement of everyday business. Larger scale change, typically requiring investment or involving more than one stakeholder will require planning. Whichever it is make sure you involve people right away. Change will be easier to implement and better solutions will be found if you engage stakeholders.

Do you have a clear Vision and Strategy? Ask yourself:

• Why are you thinking of change – what are the reasons for it?

• What would you like to achieve by changing?

• What will happen if we don't change?

• If the change is being imposed on you, do you understand and accept why?

As a minimum you should aim to understand:

• The likely impact on staff and contractors (if there is any possibility of the changes affecting contracts or terms and conditions you must consult HR)

• The business and operational risk

• Any costs or investment required to enable proposed changes

• The benefits you are seeking to achieve and any dis-benefits you may create

• The timeframe or anticipated sequence of the planned changes

Establishing a clear Vision and Strategy together with developing an understanding of the basic parameters will help gain an appreciation of the challenge, test commitment and begin to construct a guiding coalition of people who can help influence and become key to success. Talking, and more importantly, listening, to people now will help avoid wrong assumptions, protect you from the things you don't know and helps builds a bond of trust which you will need when the going gets tough.

Clear Vision and Strategy

Clearly there is a balance between telling everybody everything straight away, and planning change in secret because you are seeking to manage people's expectations.   Sometimes, there may also be legislation that affects how you are obliged to communicate your intentions, for example agreements with Trade Unions.

Most reasonable people appreciate honesty and having their voice heard. It should be possible to establish dialogue with a wide spectrum of people which, if handled carefully, will give both you and them a chance to understand the implications and feasibility of what you think needs doing. Consulting with people, and helping them to see things from both sides generally exposes good ideas better than you could have thought of by yourself. The consultation process also provides a better chance of identifying change agents that can be recruited to the planning, communication and management of the change.

If you don't consult then people will form their own perceptions of what is coming which may not be all good. Perceptions then have a nasty habit of becoming reality.

Change Agents and Specialists

Change agents are people who will encourage and promote change in an organisation by their impact on processes and people. They may have formal change management roles, or may be part of project teams or the wider workforce. Good change agents believe change . is possible and live in the future, not the past, with a focus on goals and outcomes. They are highly motivated and demonstrate resilience when things go badly or slowly. They are also prepared to take calculated risks. They communicate well with a wide variety of people and are empathetic; always able to see things from others' perspectives. They are flexible and creative, prepared to try new things and think of different options.

Among your stakeholders, who displays these some of these characteristics, and how can you get them involved?

In many change programmes you will need the help of specialists, for example human resources, occupational health, safety & environment, IT, communications, commercial, supply chain or finance. Get them involved early in the process. This will help avoid planning something that is legally or technically difficult later, and will also improve your plan by virtue of their expertise and experience.

3. Strong Leadership and Sponsorship

Put simply, unless the change you are proposing has a clear mandate and support from your line manager or executive then don't bother because you will fail. Change inevitably casts shadows with both perceived and actual winners and losers. There will be both benefits and dis-benefits. Without support from the top then the change will falter, stumble and eventually fail. If you sense the programme starting to drift then you must act immediately. If you cannot get back on track then it is almost always better to seek a fresh mandate than accept 'mission creep' which can dilute and undermine desired outcomes and benefits. Make sure you have the support and 'buy-in' from those above before you start.

Actions Speak Louder than Words.

Regardless of level or seniority, those in positions of authority or responsibility must be seen to embody or 'live' the change, particularly if the plans are challenging or controversial. This is essential to prevent a drift back into 'old ways' of working. Under no circumstances should there ever be a leadership gap between 'Do as I Say and Do as I do'.

Effective change leadership is when leaders of change provide direction, guidance and support to the people who are implementing the change as well as those having to adapt to change. The leaders must:

- **Challenge Status Quo** *as well as understanding impact and scope*

- **Ease Transition** *through fostering public support, transparency and tracking*

- **Reinforce Future State** *by providing a focus and role model example*

Looking at an organisational chart won't help you identify your leaders and sponsors. When people talk about change leadership, they often only think about the senior or executive level. Infact change leadership exists at multiple levels throughout the organisation. The initial drive might come from the top, but in order to sustain change you need the impact of a whole network of individuals throughout the organisation, including employee supervisors and carefully selected employees. Mapping the change network should be a formal process of identifying key players across the enterprise.

4. Well Structured Approach

Change leaders are faced with a choice of approaches, often determined by the complexity and scale of the change being proposed. These range from the directive approach (we're going to do 'x') through to the emergent approach (the destination is over there, let's work out a route as we go). In most circumstances, emergent strategies are more successful. However, what is common is that people need certainty and goals and, organisations need to control costs together with evaluating results, so it is necessary to have a structure in which to manage change.

The Equation for Change

VISION	+	SKILLS	+	INCENTIVE	+	RESOURCE	+	ACTION PLAN	= CHANGE
x	+	SKILLS	+	INCENTIVE	+	RESOURCE	+	ACTION PLAN	= CONFUSION
VISION	+	x	+	INCENTIVE	+	RESOURCE	+	ACTION PLAN	= ANXIETY
VISION	+	SKILLS	+	x	+	RESOURCE	+	ACTION PLAN	= GRADUAL CHANGE
VISION	+	SKILLS	+	INCENTIVE	+	x	+	ACTION PLAN	= FRUSTRATION
VISION	+	SKILLS	+	INCENTIVE	+	RESOURCE	+	x	= FALSE START

Back to Basics

The outcome of any change is linked to the participation, behaviour and commitment of the people affected by the change. It therefore follows that there is a primitive requirement to satisfy basic human needs for any change to be considered a success. In the light hearted equation above the emotional response on the right is the inevitable outcome if one (or more) of the components are absent from a structured approach. Beware the manager or executive that argues change can be done from within current resources or that no additional incentive is required to transition other than still having a job. Human nature quickly resorts to 'What's in it for me?'. Overcoming inertia, and making change stick, requires disciplined application of a tried and tested approach.

Well Structured Approach

Having a clear vision of the desired end state is crucial to all change; be prepared to communicate around this vision at all times, and to revisit, review and modify the overall goal. Professor John Kotter is one of the leading authorities on Change Management and advocates an 8 step approach comprising three main phases. Ignore this, or any part of it, at your peril.

Implementing & sustaining for change

8. **Make it stick**

7. **Build on the change**

Engaging & enabling the organisation

6. **Create quick wins**

5. **Empower action**

4. **Communicate the vision**

Creating the climate for change

3. **Create a vision for change**

2. **Form a powerful coalition**

1. **Create urgency**

Don't Be Fooled

Professor Kotter's approach looks simple enough but belies a host of important issues. Delivering effective change management is not and indeed *should not* be easy or straightforward. Forced, imposed or inflexible change plans are much less likely to succeed. Change leaders must establish and maintain clear ultimate goals, accountabilities and responsibility, but build in opportunities to review, reflect and modify overall aims and plans. The overall goal is to create a cooperative environment that then naturally fosters and facilitates change.

5. Engage and Build Commitment

Start with "Why". Change leaders can only successfully encourage change if they can convincingly say: "We can't go on like this, and here's why."
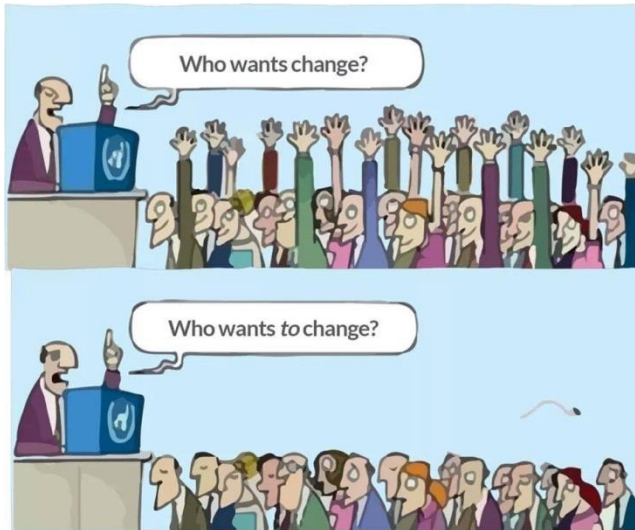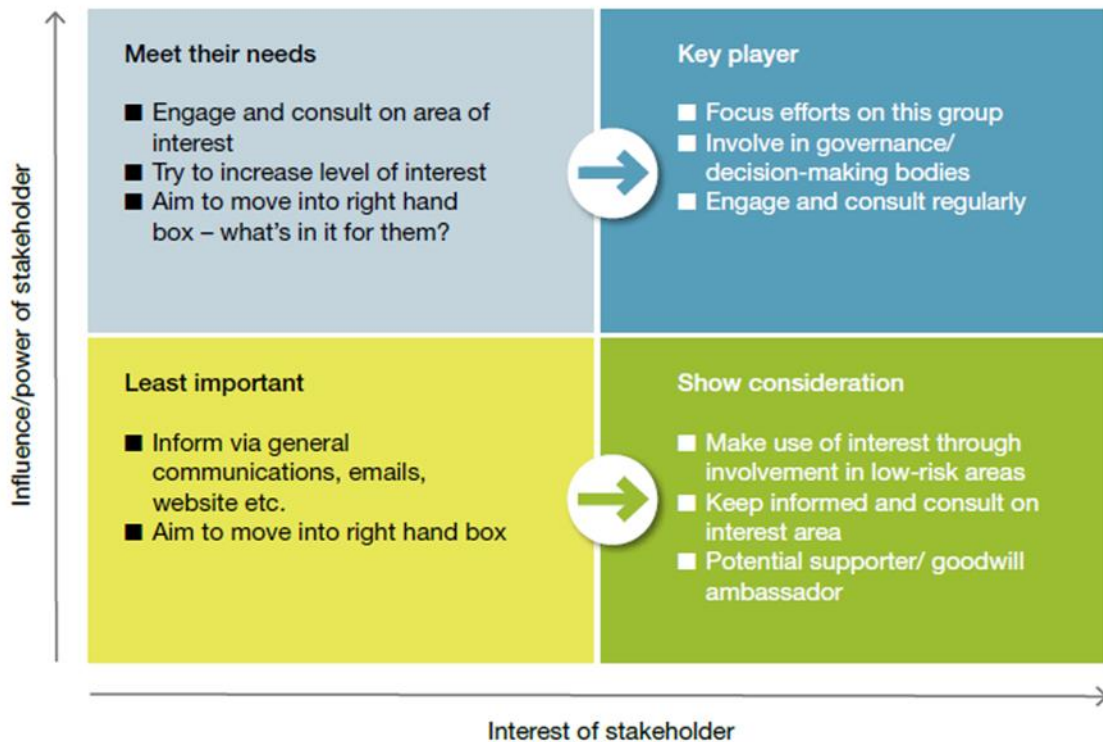

People will not align with bad aims, nor engage with a plan based on obviously flawed reasoning. Leaders need to set out where their organisation is at, where it needs to be, and most importantly, why. By involving people early, commitment, understanding and trust builds and they will often reveal things that you didn't know.   Tapping the collective intelligence of your organisation is a key part of change management. You may not be well connected to front line activity so talk to people who are, and who are likely to be most affected by the change you are considering. Formulating a strategy and designing a plan requires detailed consideration of various options, including doing nothing. The aim is to present a compelling rationale or business case across all your stakeholders. To do this you need to understand who your stakeholders are, and what their perspectives are on the potential change.

Stakeholder Analysis

Compile a list of every individual or organisation that has an interest in what you're proposing to change. For each one, assess how likely are they to be affected or have an opinion about. This will help establish their level of interest in your proposed change. Assess how influential they are on your environment; do they have the power to help enable or perhaps even prevent the change? If you don't know, make a plan to find out. Finally, plot all the stakeholders on an influence vs interest grid

Engage and Build Commitment

Influence/power of stakeholder (vertical axis)

Meet their needs
- Engage and consult on area of interest
- Try to increase level of interest
- Aim to move into right hand box – what's in it for them?

Key player
- Focus efforts on this group
- Involve in governance/ decision-making bodies
- Engage and consult regularly

Least important
- Inform via general communications, emails, website etc.
- Aim to move into right hand box

Show consideration
- Make use of interest through involvement in low-risk areas
- Keep informed and consult on interest area
- Potential supporter/ goodwill ambassador

Interest of stakeholder (horizontal axis)

Business Case

Change programmes should be assessed, authorised, monitored and governed in the same way as any other professionally led business activity. This starts with a Business Case to clearly articulate the reasons for change, what options have been considered, what benefits (and dis-benefits) are anticipated, what risks are expected, what costs and resources are required, how long things will take, and what goals or outcomes are to be delivered as well as how they will be measured.

Reasons – Options – Benefits – Risks – Costs – Timescale – Outcomes

To embark on any business activity that will consume precious resources, let alone something as challenging as a change initiative, without a detailed business case, is at best foolish and at worst reckless.

Engage and Build Commitment

The Change Curve

The late Dr Elizabeth Kubler-Ross published some world class research in the late 1960's concerning human emotional response. Her work has been cited many times and has significant meaning in a Change environment. It provides a simple and reliable insight to how individuals naturally cope with change and how it can affect their outlook, behaviours and performance
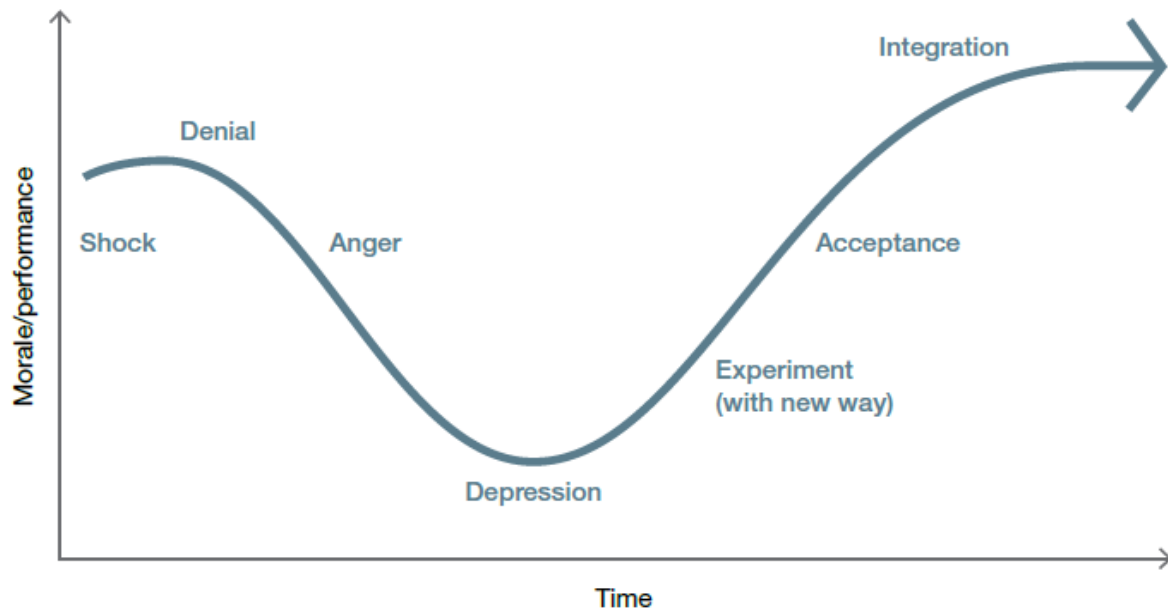
People have varying degrees of enthusiasm for change, and experience it in different ways and at different rates. It is important to identify where people are on their journey through change, and if necessary help them move on.

Different staff and groups of employees will be at different stages from each other.

Processes, systems and infrastructure generally move to the new 'to-be' state at a faster pace than people who tend to need longer to transition to a new orientation.

Employee assistance is fundamental. Larger teams or organisations may need practical support such as a telephone helpline or 'floorwalkers' during planned phases of change. Some employees simply won't come to terms with the Change and therefore mutual opportunities to leave such as voluntary exit may need to be considered.

Engage and Build Commitment

Vision and Communication

Faced with change, staff commitment will change over time as understanding and acceptance develops. Communications therefore have a key role in building commitment, or, conversely, preventing it. The goal is to achieve 'internalisation' or acceptance of the change without conscious thinking. This requires a substantial investment of management time and effort.

Level	Stage			
7	Internalisation	Involvement in visioning, setting strategy	Private meetings with resistors	Celebrating success
6	Commitment	Away days to develop 12 month plans	One-to-ones with reports	Workshops on specific issues
5	Acceptance	Training and learning activities	Sponsor 'walkabouts'	'Grassroots' meetings
4	Engagement	Open door sessions	Participation in planning sessions	Focus groups
3	Understanding	Team briefings	Focus groups and demonstrations	Helpdesk
2	Awareness	Open forums and conferences	Cascades delivered by managers	Road shows and videos
1	Contact	Dear colleague communications	Emails from people	Newsletters	Intranet news, displays, posters

Degree of support for change (vertical axis) — *Time* (horizontal axis)

It is difficult to overestimate the importance of communication as a critical success factor for change. Executives and practitioners need to understand that it is not just what is said but 'how' it is said. Communications can often directly relate to team and individual response to change and must be developed collaboratively rather than via impersonal communication channels.

Being able to set out a compelling vision of the future is crucial, but it is equally important to listen respectfully to feedback, and if necessary modify the vision. A common error is failure to appreciate that proper communication is continuous and two-way, not transactional and one-way, other wise it is just transmission.

Engage and Build Commitment

Capturing the Imagination

Both you and members of your change team must be able to rapidly convey the rationale and purpose of any proposed change to key stakeholders in a compelling way. Prepare a brief 'elevator pitch' ideally lasting less than 60 seconds:

Here's what our change initiative is about…
It's important to do because….
Here's what success will look like, especially for you
Here's how you can help
Here's what you can count on from the Change Team in return

'Leaders can only successfully foster change if they can convincingly explain the key drivers for it and the associated benefits.'

6. Build Strong Change Team

Get the Right People on the Bus

Successful change management demands some quite specialised and rare skills. The 'natural' or 'stereotypical' personal and professional qualities that make a good leader or project managers are unfortunately not enough. Great change leaders, at any level of an organisation need above average 'soft' skills and highly developed emotional intelligence quotient (EQ). They need to be able to understand and empathise with staff if change is to be managed with minimum disruption to business as usual and, most importantly, is to stick. Take a good look at your team and ask if you have the right people 'on the bus'.

"What if we don't change at all ... and something magical just happens?"

Faced with a substantial change programme and knowing the significant organisational and human challenges that go with it is essential the right team are selected to lead. A useful way for managers to cut to the chase is to imagine their team in turn and ask themselves how they would feel if that imaginary staff member unexpectedly resigned? Would they feel upset or perhaps secretly relieved? If the answer is the latter then that staff member should not be on the team in the first place. Managers have a moral responsibility to address the situation if the change is to be successful. Change is tough, and therefore demands tough decisions.

Build Strong Change Team

The Bridges Model

William Bridges (www.wmbridges.com) model for managing transition maps well to Dr Kubler-Ross's work on human emotional response. It is important that staff selected to be part of the change team can understand and apply the theories; both to appreciate what is going on around them and also help anticipate what is likely to happen next.

Bridges argues that there are three distinct stages to transition which are experience over time: Ending, losing and letting go - a Neutral zone - followed by a new beginning.
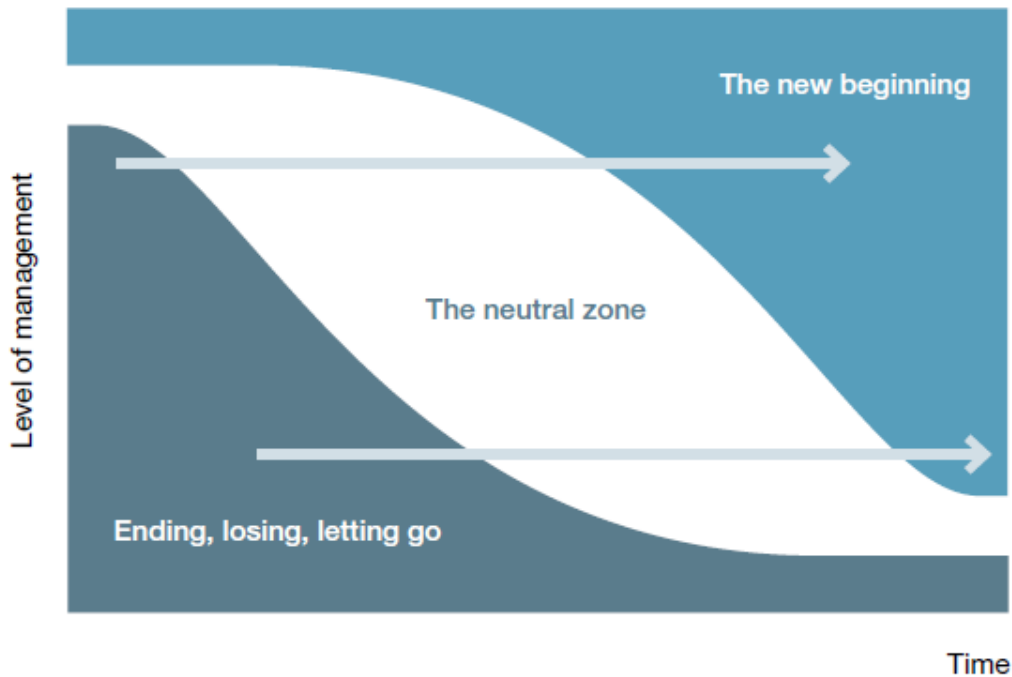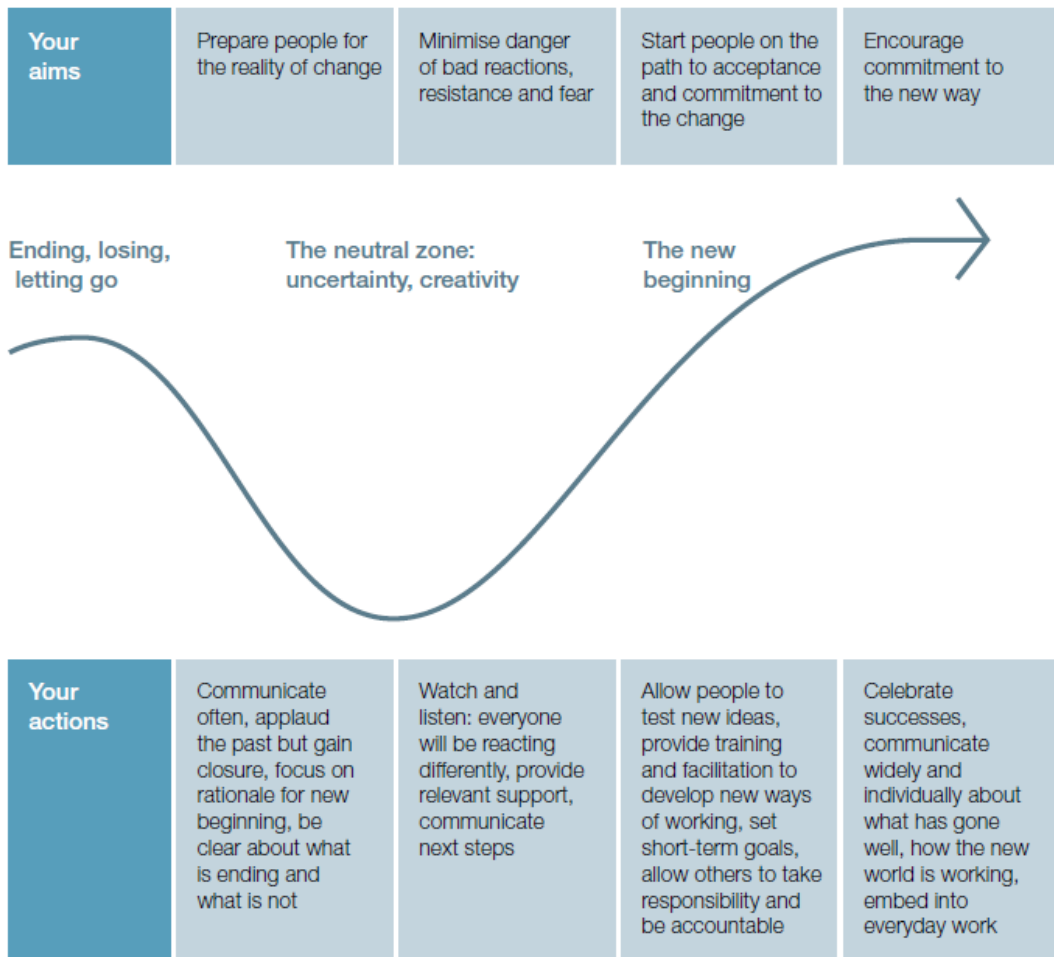

Members of your selected Change Team **must**:

- Believe change is possible and live in the future, not the past.
- Be naturally focused on goals and outcomes, not overly distracted by current detail
- Stay motivated when things go badly or slowly, and comfortable with calculated risk
- Be good communicators across a wide spectrum of people
- Be emotionally intelligent and able to see things from others' perspectives
- Be flexible and creative, prepared to try new things or alternative options
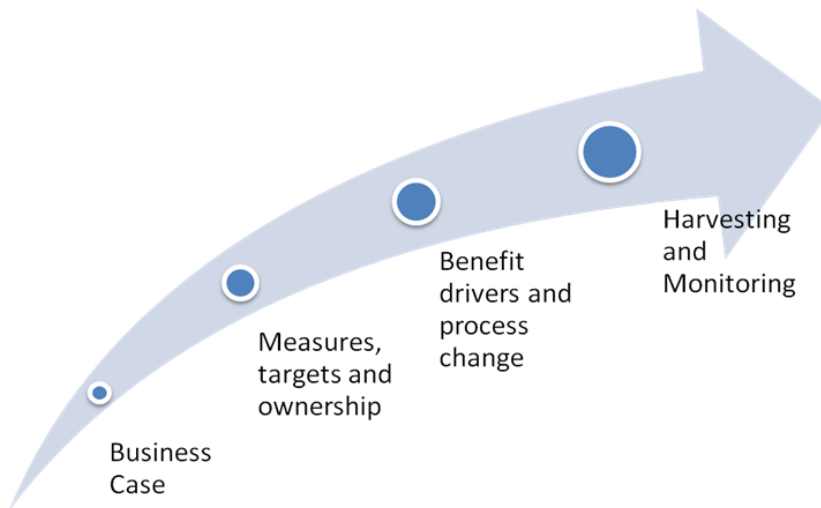
Build Strong Change Team

Change leaders need to adapt their aims, actions and behaviour according to the predicted phase:

Your aims	Prepare people for the reality of change	Minimise danger of bad reactions, resistance and fear	Start people on the path to acceptance and commitment to the change	Encourage commitment to the new way

Ending, losing, letting go   The neutral zone: uncertainty, creativity   The new beginning

Your actions	Communicate often, applaud the past but gain closure, focus on rationale for new beginning, be clear about what is ending and what is not	Watch and listen: everyone will be reacting differently, provide relevant support, communicate next steps	Allow people to test new ideas, provide training and facilitation to develop new ways of working, set short-term goals, allow others to take responsibility and be accountable	Celebrate successes, communicate widely and individually about what has gone well, how the new world is working, embed into everyday work

7. Measure Success and Benefits

You Can only Manage What you Measure

The desired benefits should have been clearly articulated in the original Business Case proposing Change.   These benefits should have been baselined to agree a datum for original measurement between stakeholders. Progress can then be measured against this agreed baseline.

Harvesting and Monitoring

Benefit drivers and process change

Measures, targets and ownership

Business Case

Without an agreed baseline upon which to measure progress, any change programme can quickly be undermined and lose both momentum and credibility. It is important that Change leaders are able to reliably evidence progress in order to maintain consent and buy-in from those affected. This is equally important during the change programme as after it.

Benefits must have an identified owner and all stakeholders need to agree how progress towards the benefit and delivery will be measured. Some benefits may require some resource to *enable* progress followed by one or more *changes* before the actual benefit can actually be realised.

As a bare minimum all stakeholders should agree with the benefit owner:

- *How the measure will be defined (eg. number of lost time accidents)*
- *How measurement data will be collected (eg business unit accident reporting)*
- *The sign off process for finalising metrics (eg H+S Director to agree x, y, z)*

Summary

Change is Like Boiling an Egg

Just as it is not possible to tell if the yolk in a boiled egg is hard or soft until you break it open; it is then too late to remedy the situation. Change is similar so do not attempt it unless you are confident you have shaped the appropriate environment and gathered the necessary resources.

Change is difficult. Change worth doing should be.

Heed the approach of Jeff Hiatt with the PROSCI ADKAR approach and a need to create Awareness, Desire, Knowledge and Ability to Reinforce.

Familiarise yourself with the work of Professor John Kotter.

Maintain a clear vision and strategy with well defined Benefits; people are more likely to accept change if they understand it;

Build strong leadership and sponsorship with actions that are louder than words;

Define and follow a well structured approach with robust P3M, communications, interfaces and governance;

Engage and build commitment from stakeholders through collaboration and partnership to influence behaviours

Build a strong change team with both technical and soft skills and:

Measure success and benefits before, during and after, taking care to relate them to stakeholders.