# *MANAGING CHANGE @CSU*

# CSU ORGANISATIONAL CHANGE AND RENEWAL FRAMEWORK

## *A FRAMEWORK AND RESOURCES*
### *For Leaders and Managers*
### *2007 – 2011*
## ENDORSED BY SENIOR EXECUTIVE COMMITTEE 14TH MAY 2008

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# 1.  EXECUTIVE SUMMARY

The Organisational Change and Renewal Framework has been developed In response to the key objective of the *University Strategy 2007-2011*, to have "*a culture responsive to organisational change and renewal*". This framework, the final four of the Organisational Development Frameworks, will assist CSU's leaders, managers and staff to more effectively manage change.

The Organisational Change and Renewal Framework has its basis in the well-known eight-step change process developed by John Kotter (1999 and 2002), a world-renowned expert on leadership at the Harvard Business School. A similar framework formed the basis for the successful Interact Change Management Plan (2007).

To model good change management and consultative practice, the framework was developed in consultation with over eighty (80) senior and middle managers at CSU, using the outcomes of a workshop facilitated in September 2007 with senior managers by Bill Synnot, a well-known consultant on organisational transition in Australasia.

The framework provides a guide for leaders and managers to develop a change management plan and a communication plan, using the CSU Project Management Framework, templates and tools. While the eight key dimensions of the framework are important for successful management of change, their use should be flexible and not necessarily sequential (refer to Figure 1 in Attachment 1).

# 2.  INTRODUCTION AND DEFINITIONS

Change at CSU is about continually improving the quality of our current practices or processes, while undergoing renewal through innovation and setting a new strategic direction. Change at CSU is essential for the development of more flexible structures, and a culture responsive to organisational change and renewal, which will ensure our position in the higher education sector.

The effective management of change is about taking a proactive approach through making changes in a planned and systematic way, *'using a mix of top-down and bottom-up strategies, listening and leading, concentrating on the core and support components of change, emphasising the stability of change'*, and the improvements in processes as well as the importance of the new strategic direction (Scott 2004).

Managing change is important for the well-being of our employees. Clause 19.2 of the *CSU Enterprise Agreement (2005-2008)* outlines the requirements for "workplace change" at CSU. The definition in the Enterprise Agreement states that *"workplace change" means organisational change that will significantly and detrimentally affect the job security and conditions of staff as employees.* It is also recognised that in many contexts changes occur in the workplace, which may positively affect staff and assist improvement in conditions, processes and practices.

Culture is defined as "*the way we do things around here*" (Scott, Ward).

## 3.  PURPOSE

This document provides
- a framework for managing organisational change and renewal that can be adapted for the Faculty/Division and School/Unit level
- resources for leaders, managers and individual academic and general staff for effectively managing change at CSU; and
- guidance for developing a change management plan and a communication plan.

This is a guide and resource kit for managing and communicating change. The eight dimensions of the framework (Figure 1) are not mutually exclusive or linear, rather iterative and integrated.

There is a vast number of resources and frameworks for managing change (refer to Section 8: Resources). Experience of change is that it is not neat or sequential, and activities can go on in parallel or in cycles. Therefore, different approaches or frameworks for managing change may be necessary for different situations. The most important element in change is the people. Staff need to be considered at every stage of the change process, as this framework and the purpose of change are about changing behaviour or organisational culture that will result in long term change in attitudes, values and beliefs, which will '*make change stick'* (Kotter 2002).

## 4.  THE CONTEXT FOR MANAGING CHANGE: OUTCOMES AND DRIVERS

Charles Sturt University (CSU), in its *University Strategy 2007-2011*, has committed to "*creating a culture that is responsive to organisational change and renewal"*. This will be achieved through continual analysis of the University's external and internal environments, continual learning from its experiences and continual improvement and enhancement of its culture, systems, operations and processes in order to remain relevant to the constantly changing needs of the higher education sector.

### 4.1  Why Does CSU Need an Organisational Change and Renewal Framework?

In addition to the external and internal drivers for change identified in the following sections, a framework and tools for change management at CSU will:
- provide a systematic approach to managing change for important change initiatives, such as organisational reforms, Divisional and Faculty restructures, large scale projects and initiatives;
- assist leaders and managers to plan and manage change, maximising the chances of success and minimising resistance to change;
- make "connections" between initiatives both current and planned;
- demonstrate to affected parties how different workplace reforms and initiatives will impact upon and improve performance;
- assess and manage the impact of separate and individual reforms on the organisation and therefore maximise the opportunity for mutual benefit;
- appreciate and understand the effects of change in advance so that change and reform can be supported (engineering rather than adaptation because of change or proactive renewal rather than reactive reform);
- recognise in advance the flow on impacts of reforms;
- scope the extent of change and organisational change initiatives;

- assist in the development of a formalised, strategic approach to change management;
- provide professional development to leaders, managers and staff, managing change that will develop a culture responsive to organisational change and renewal.

## 4.2    External Drivers

The constant and increasing rate of change in the higher education sector has a range of external drivers that have been defined by the University of South Australia (2007) and Scott (2004). These are important for *"establishing a sense of importance"* (Dimension 2. of the framework) and include:

- changes in higher education funding and accountability

- student expectation about value for fees paid

- growth in student participation and litigation

- globalisation of education

- the number and nature of competitors

- industrialisation of the sector

- information technology and the transformation of learning and teaching technology

- external quality audits; and

- universities' roles in the social and economic transformation of Australia.


## 4.3    Strategic Alignment and Internal Drivers

As stated above, a key objective of the Institutional Development Plan (IDP), one of the four (4) plans of the *University Strategy 2007-2011*, is *"creating a culture that is responsive to organisational change and renewal"*. The implementation of the CSU Organisational Change and Renewal Framework will assist in achieving the objectives of the IDP for *organisational culture, sustainability, service alignment and workforce planning,* and in implementing and achieving the other three (3) core plans – Course, Learning and Teaching, and Research, and the Faculty and Division plans.

Work Process Improvement (WPI – Stage 1, 2007) identified many areas for process improvement at CSU, which would require changes at the process, policy and organisational levels. Broad issues in the management of change at CSU were identified that may hinder future change initiatives:

- failure to identify all the stakeholders (that may be impacted by the change)

- problems with communicating change

- failure to understand the impact of change across all stakeholders; and

- failure to involve key stakeholders in the change effort.

The *CSU Climate Survey* results for "Change and Innovation" identified that a decreasing number of staff considered that CSU managed change well, learned from its mistakes and successes, made improvements, and was innovative: 39% of staff in 2006 compared with 51% in 2003 ((Briefing to VCF September 2007 on CSU Climate Survey 2006, Anna Bounds unpublished report).

Focus groups conducted across CSU in 2007 identified that, while staff were overwhelmed by the number of change initiatives at CSU, they realised that change was necessary and that they wished to be part of the process through increased transparency and consultative processes in decision making and governance.

# 5. STAKEHOLDERS AND RESPONSIBILITIES

## Leaders and Managers:

Leading and facilitating change through effective change management practices is the responsibility of leaders and managers at CSU. Leaders and managers are expected to focus on clearly articulated outcomes that aim to improve organisational effectiveness and employee well-being.

## Senior Executive Committee:

1. Lead the development and promotion of an organisational culture that is responsive to change and renewal, through the implementation of transparent and consultative approaches to decision making and governance – these include an initiatives management process;

2. Ensure that change initiatives are effectively integrated and aligned between quality improvements in the core activities of learning and teaching, research and course profile, and the developments in their support, workforce planning, infrastructure, financial planning, administrative processes and communication practice, to maximise change efforts in supporting the performance of the University against the *University Strategy 2007- 2011* and beyond;

3. Provide direction and support for the implementation of proactive and structured approaches to managing change through modelling best practice in the use of the CSU Organisational Change and Renewal Framework*;* and

4. Assess and address the impact on staff of "workplace change", considering the CSU Enterprise Agreement.

## Institutional Development Committee:

1. Lead the development and implementation of the Institutional Development Plan 2007-2011, which includes the Organisational Change and Renewal Framework;

2. Ensure that the change implications (and plans) from planning and realignment highlighted by the Committees of the Institutional development Committee are taken forward  and integrated with the actions and objectives across all the corporate plans – Organisational Culture, Sustainability, Workforce Planning and Service Alignment, and core plans – Learning and Teaching, Research and Course;

3. Assess whether the management of change, importantly large change initiatives, are monitored and maintained as part of the University's planning and review process; and

4. Ensure integration of the Organisational Change and Renewal Framework with the Business Process Management Framework and the Workforce Planning Framework.

## Organisational Culture Program Committee:

1. Review and endorse a University Organisational Change and Renewal Framework that underpins the University's core plans (4) and enabling plans (4);

2. Assess and prepare the culture of the organisation for readiness for change and renewal; and

3. Prepare quarterly reports on progress for the Institutional Development Committee to address the short, medium and long-term priorities and develop a culture that is responsive to organisational change and renewal and supports the vision, values and mission of the organisation.

**Division of Human Resources:**

1. Provide advice, programs and support to Divisions, Faculties and Schools to:

   - Ensure integration of the Organisational Change and Renewal Framework with the other three (3) Organisational Development Frameworks (Figure 2., Attachment 1) and Business Process Management (also referred to as BPM);

   - Develop the University's leadership capability for managing change; and

   - Develop awareness, willingness and capability of all staff for managing change (Figure 5, Attachment 3).

2. Review and improve practice

   - Systematically review human resource and organisational development practice and programs to ensure support for the effective management of change.

**Faculties, Divisions, Schools and Units:**

Develop a change management plan for all large change initiatives, using the CSU Organisational Change and Renewal Framework as a guide.

## 6. USING THE FRAMEWORK AS A GUIDE TO DEVELOPING A CHANGE MANAGEMENT PLAN

The CSU Organisational Change and Renewal Framework is a hybrid framework of Kotter's (1996 2002) *Leading Change* and *Heart of Change* frameworks, and of Synnot's (2007) Framework for *Successful Organisational Transition.* The latter was built on the Kotter framework specifically for Australian organisations. A number of Australian and overseas universities have also adopted hybrids of the framework (Edith Cowan University, Thair, Garnett and King 2006; University of Luton, Atlay 2006 in Hunt, Bromage and Tomkinson 2006).

It is recommended that each change initiative be dealt with as a project and that a **Change Management Plan** and a **Communication Plan** be developed. The CSU Project Management Framework provides templates and resources for developing project plans (refer to http://www.csu.edu.au/division/psc/PLframework/).

### 6.1 Key Questions

When developing a Change Management Plan, consider the following questions that are linked to the eight (8) dimensions of the CSU Organisational Change and Renewal Framework (Figure 1 and Clauses 6.2 to 6.9):

1. Have you considered the underlying *assumptions* (Section 7)

2. Are there other changes occurring that could impact on the success of this change initiative?

3. Do you need to *lay foundations*? (Dimension 1 and Clause 6.2) Are staff ready for change? What are their values, skills, willingness and capability? (Figure 4) Do you have sponsorship, resources and time to manage the change?

4. Is there *a sense of importance* (Dimension 2 and Clause 6.3) or is change necessary? What are the external and internal drivers for change? Have these been described? What outcomes are you seeking? What is the purpose?

5. Who will be on your *change team*? (Dimension 3 and Clause 6.4) What project and change management tools and interventions will you use?

6. What is the change team's shared *vision* for the change, the strategies and outcomes of the change? How do the vision and strategies align with the *University Strategy 2007-2011*? (Dimensions 4 & 5 and Clauses 6.5 and 6.6)

7. With whom and how will you develop a *communication plan*? (Dimension 5 and Clause 6.6) Note: This will be a separate and complementary plan to the Change Management Plan.

8. What are the potential *barriers or resistors* to change? What strategies and tools will you use to overcome these barriers? What will be the impact of "getting it wrong"? (Dimension 6 and Clause 6.7)

9. How will you build *relationships with the key stakeholders*? (Dimension 6 and Clause 6.7)

10. What will be your *short term wins* and how will you celebrate them? (Dimension 7and Clause 6.8)

11. Are there *systems, policies and/or processes* that need to be changed, and how? (Dimension 8 and Clause 6.9)

12. With whom and how will you develop and implement a *leadership development and professional development plan* for affected staff? (Dimensions 1 & 8 and Clauses 6.2 & 6.9)

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

## 6.2   Laying the Foundation for New Ways (Dimension 1.)

This is the phase that is most important, where you will establish whether staff in your Faculty, Division, School, Unit or team are ready for change.

Be aware of the likely effects of change on people as there is a need to change minds and change entrenched views. Refer to Figures 6 and 7 to identify the likely responses and stages of change. Consider the following elements and the underlying assumptions (Section 7):

**Leadership and Management at CSU**
Leaders and managers require the business knowledge and following generic responsibilities and accountabilities to lead and manage change at CSU. Through the development of "supportive and transformational leadership" (Vice-Chancellor's Roadshow, October 2007), they will build the performance capability, business alignment and relationships of their teams to be responsive to organisational change and renewal.

**Generic Responsibilities and Accountabilities of Managers at CSU**
(http://www.csu.edu.au/adminman/hum/humanresources.htm):

*Fosters a culture of cooperation/collegiality, teamwork, reflective practice, continual improvement and learning, and responsiveness to change.* (Generic responsibilities of CSU Staff)

*Managing change by anticipating and responding to developments within the external and internal environment that may impact on the University / Faculty / Division / Section* (as appropriate) (Accountability Statements for Executive and Senior Managers)

**Organisational or Workplace Culture**
Analyse the results of the *Climate Survey 2006* and any other recent surveys or discussions that you have held with staff who will be affected by the change. Culture is about "the way we do things around here", the behaviours, attitudes and values displayed by staff. If any of the following behaviours are displayed, there is a need to address them: anxiety; defensiveness; lack of self-awareness; lack of accountability; bullying; lying; depression; stress; lack of humour; poor, sub-optimal or unsatisfactory performance.

**Differences: generational, ethnic, gender**
Identify whether these differences will need to be addressed and considered in the change plan, to optimise staff diversity and "buy in".

**Historical scan**
Conduct an historical scan which will identify key changes and initiatives in the past and allow staff to celebrate these, let go of "old ways" and be positive about the future. Make it clear that the "old ways" are out. This scan can be done in conjunction with identifying the workplace culture.

**Processes**
Analyse and address changes identified in Work Process Improvement (WPI).

**Stakeholder relationships and organisational knowledge**
Staff involvement in forums, communities of practice, networks, committees, leadership or professional development programs will assist them to develop University-wide relationships and organisational knowledge. These staff can be involved as "champions" of change to assist in developing the change management plan and team.

**Learning and categories of Intelligence**
Identify the different learning and intelligence styles of staff through use of instruments such as Myer Briggs, Belbin Team Roles, Emotional Intelligence and others. (Refer Section 8. Resources).

**Communication and decision making processes**
Address current communication and decision making practices if they do not allow opportunities for informal meetings and are not considered transparent or inclusive by staff.

## 6.3   Establishing a Sense of Importance (Dimension 2: Clarity of Purpose)

An awareness of the need to change will be created in this phase. It will overlap Dimension 1. It is the phase when the sense of purpose is established. This will involve intense periods of staff consultation through retreats, planning and staff meetings, seminars and workshops on change management, including the historical scan, providing opportunities for staff input to the process. These meetings and workshops need to focus on the internal and external drivers for change and the importance of CSU or the Faculty/Division/School/Unit or team adopting changed practices or structures to achieve transformation.

## 6.4   Forming a Change Team and Defining Change Management Interventions (Dimension 3.)

Kotter (2002) refers to this as forming a "powerful guiding coalition" and Synnot (2007) as a "transitional team" that:

* *operates by the principles of teamwork and leadership*
* *is a representative cross-section of the organisation with credibility/authority*
* *has members who are recognised as the "opinion makers/enablers/people of influence" of the organisation; and*
* *is a temporary structure, such as a "collapsible" team.*

**Eight primary responsibilities of the change team**
1. *Establish context for change and provide guidance*
2. *Stimulate conversation*
3. *Provide appropriate resources*
4. *Co-ordinate and align projects*
5. *Ensure congruence of messages, activities, policies and behaviour*
6. *Provide opportunities for staff to make good decisions and take appropriate action*
7. *Anticipate, identify and address people problems*
8. *Prepare the critical mass*

(Kotter 1999 in Synnot 2007)

**Change and project management interventions, methodology and tools**
The CSU Project Management Framework and tools should be used as a framework for developing the change management plan. Refer to the Project Service Centre website http://www.csu.edu.au/division/psc/PMframework/. Interact is a useful resource for sharing resources and practice, and maintaining communication between the change team and with other forums http://www.csu.edu.au/division/landt/interact/index.htm

A number of change management tools and interventions are available on the Division of Human Resources' website (go to the Organisational Development link). Workshops and change management consultations and facilitation can be provided by the Division of Human Resources. Go to the following links for further links and contact details: http://www.csu.edu.au/division/humres/services/sd/

## 6.5   Creating Strategic Alignment (Dimension 4)

*"Alignment can be defined as the extent to which statements, such as the vision, mission, values, etc. are part of the culture and are being carried out and performed by staff".* "*A shared vision demonstrates an aligned organisation"*...it gives *"staff a clear sense in their minds of how their activities contribute to the entire undertaking, ie that their work is linked to a greater purpose".* (Synnot 2007)

A shared **vision** for the change will be established, which fits within the School's/Unit's/Faculty's/Division's and University's Strategy 2007-2011. It is recommended that, where the change is significant, an external facilitator be engaged to assist the group to develop the vision, mission (or operational approach) and values. To avoid obstacles to the change vision, involve as many of the key stakeholders as possible.

## 6.6  Communicating the Vision for Change (Dimension 5)

The change team will develop a **communication plan** with the input of key stakeholders. The CSU Project Management Framework template should be used (refer to http://www.csu.edu.au/division/psc/PLframework/). This is a separate and complementary plan to the Change Management Plan.

Consider the numerous vehicles and forums available within CSU as well as developing a change communiqué or newsletter to keep staff informed:
- Interact (also refer to the Interact Communication Plan 2007 for an excellent example of an effective communication plan)
- *yourCSU; What's New; myCSU; CSU News;* Vice-Chancellor's Bulletin and Roadshows
- Academic Senate and formal University committees: Faculty and School Boards and Committees; Learning and Teaching Committee; Courses Committee; Research Management Committee; Institutional Development Committee; Professional Development Planning Committee
- Institutes and Research Centres
- Discussion forums : Vice-Chancellor's Forum (VCF); Professorial Forum; Committee of Heads of School (CHoS); Senior Managers Forum (SMF); Senior Women's Forum (SWF); Middle Managers Forum (MMF); Course Coordinators Committee; Professional Experience Network (PEN); Academic Liaison Discussion Group (ALDG) – contact Organisational Development staff in the Division of Human Resources, contact details: http://www.csu.edu.au/division/humres/services/sd/; and
- Executive Management email distribution lists: Deans; Executive Directors; Deputy Vice-Chancellors.

## 6.7  Maximising Connectedness (Dimension 6)

Identify and foster relationships with all stakeholders to ensure engagement or "buy in" and overcome barriers to change. Identify and remove barriers to change, including people, structure, policies and processes. Establish transparent, consultative decision making processes. Encourage opportunities for informal meetings between staff and sharing of information.

*"Connectedness*
- *Is all about letting go so that others can get going*
- *Means that people have the confidence and the techniques to take responsibility*
- *Is about employee involvement which means authorisation and power to act*
- *Means management listening, instead of talking, to employees"*

(Synnot 2007)

Identify leaders and appoint champions to lead teams through the change. Provide professional development in people skills, team building, supervisor and manager performance coaching skills to staff to enhance their sense of connectedness. This will facilitate the development of high performing teams and a performance culture. Contact the Division of Human Resources for advice on professional development and performance management http://www.csu.edu.au/division/humres/services/sd/.

## 6.8 Creating and Celebrating Short-term Wins (Dimension 7)

Ensure that short term, realistic milestones or interim goals for the change are established and communicated to staff. Short-term wins encourage and enhance the change effort or transformation (Synnot 2007). Use the PIRI (Plan, Implement, Review and Improve) cycle to identify wins and opportunities for improvement.

Report on progress to staff and identify with staff ways to celebrate and reward these wins. Consider alternative ways of rewarding and recognising staff as often preferred forms of recognition are non-financial (Synnot 2007), as indicated by CSU staff in focus groups on culture and internal communication (Bryant unpublished 2007 and Synnot 2007).

## 6.9 Consolidating Performance Improvements and Institutionalising New Approaches (Dimension 8)

Use the PIRI cycle (Plan, Implement, Review, Improve) (refer to Figure 8) and Work Process Improvement (WPI) to change systems, policies and processes that will support continual improvement, alignment and renewal to achieve the vision.

Create a culture responsive to organisational change and renewal, innovation and creativity through transformational leadership and learning; mentoring and coaching; performance management; workforce planning and succession planning.

Develop and promote a **Professional Development** Plan for staff that will enhance their capability to cope with and add value to the change. Provide opportunities for staff to participate in leadership and/or professional development programs and activities, discussion forums and networks, committees and project teams.

Implement workforce planning (WFP)
(http://www.csu.edu.au/division/humres/services/sd/wfp/index.htm)
and succession planning to ensure employee recruitment, retention, promotion and development.

Remember that *culture and change* have a reciprocal relationship (Figure 4.)

## 7. ASSUMPTIONS

Before deciding on initiating a change and/or developing a change management plan, take time to identify the underlying *assumptions for change* and the *key change lessons* outlined below. Patience with the process and taking time to read these guidelines will assist successful organisational and workplace change.

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

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

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

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

5. Effective change takes time.

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

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

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

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

   (Adapted in Robson Real World Research 2003, p 220 – Fullan 1982, p 91)

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

Lessons:

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

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

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

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

5. Successful change is a team effort.

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

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

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

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

Myths:

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

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

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

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

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

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

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

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

## 8.   RESOURCES FOR LEADERS AND MANAGERS

### Division of Human Resources

1. Organisational Development frameworks: Continual Professional Development; Leadership and Management Development; Organisational and Staff Performance; Workforce Planning
http://www.csu.edu.au/division/humres/services/sd/about_od/
2. Online modules, change tools, interventions, references and web links for leaders and managers on the Division of Human Resources' website
http://www.csu.edu.au/division/humres/services/sd/leadmanage/
3. Leading People Series: workshops on Managing Change, Performance, Strategic Context, Resources Management, Supervision and others. Refer to the Annual Staff Development Calendar http://www.csu.edu.au/division/humres/services/sd/
4. Leadership Programs: Leadership Development for Women (LDW), Graduate Certificate in University Leadership and Management (GCULM); Frontline Management (FLM); Multi Factor Leadership Questionnaire (MLQ) and Executive Coaching: information on the Division of Human Resources website
http://www.csu.edu.au/division/humres/services/sd/leadmanage/
5. Forums: Vice-Chancellor's Forum (VCF), Committee of Heads of School (CHoS), Senior Managers Forum (SMF), Professorial Forum, Course Coordinators Committee (CCs), Professional Experience Network (PEN), Middle Managers Forum (MMF), Academic Liaison Discussion Groups (ALDG) and Senior Women's Forum (SWF) are largely supported by the Division of Human Resources. These are useful forums for consulting on and communicating change initiatives.
6. Consultancy service to Faculties, Divisions, Schools and Units to facilitate sessions and meetings on change management and planning.

### Project Service Centre

Project Management Framework and tools, and current change management projects on the Project Service Centre website
http://www.csu.edu.au/division/psc/PMframework/

### Interact

Interact is a useful resource for sharing resources and practice, and maintaining communication between the change team and with other forums
http://www.csu.edu.au/division/landt/interact/index.htm

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## 9. GLOSSARY

| Term | Definition |
|------|------------|
| ALDG | Academic Liaison Discussion Group |
| AUQA | Australian Universities Quality Agency |
| CCs | Course Coordinators Committee |
| CHoS | Committee of Heads of School |
| DEEWR | Department of Education, Employment and Workplace Relations |
| FLM | Front Line Management |
| GCULM | Graduate Certificate in University Leadership and Management |
| IDC | Institutional Development Committee |
| IDP | Institutional Development Plan |
| LDW | Leadership Development for Women |
| MLQ | Multi Factor Leadership Questionnaire |
| MMF | Middle Managers Forum |
| OD | Organisational Development team, Division of Human Resources |
| PBF | Performance Based Funding |
| PEN | Professional Experience Network |
| PIRI | Plan, Implement, Review and Improve cycle |
| SMF | Senior Manager's Forum |
| SWF | Senior Women's Forum |
| VCF | Vice-Chancellor's Forum |
| WPI/BPM | Work Process Improvement/ Business Process Management |
| WFP | Workforce Planning |

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

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

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

### 2. Establishing a Sense of Importance (Clarity of Purpose)

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

**Plan**

### 8. Consolidating Performance Improvements & Institutionalising New Ways

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

### 3. Forming a Change Team/ Defining Change Management Interventions

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

**University Strategy**

**Improve**

**Implement**

### 7. Creating and Celebrating Short-Term Wins

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

### 4. Creating Strategic Alignment

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

**Review**

### 6. Maximising Connectedness

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

### 5. Communicating the Vision for Change

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

## ATTACHMENT 2: Organisational Development Frameworks at CSU

Since 2002, the Division of Human Resources has been developing and implementing four frameworks that aim to align the activities of Charles Sturt University so that they support the achievement of the University Strategy 2007-2011:

1. Leadership and Management Development Framework (2004)

2. Organisational and Staff Performance Framework (2005)

3. Continual Professional Development Framework (2006)

4. Organisational Change and Renewal Framework (2007-8)

**Figure 2: Organisational Development Frameworks**
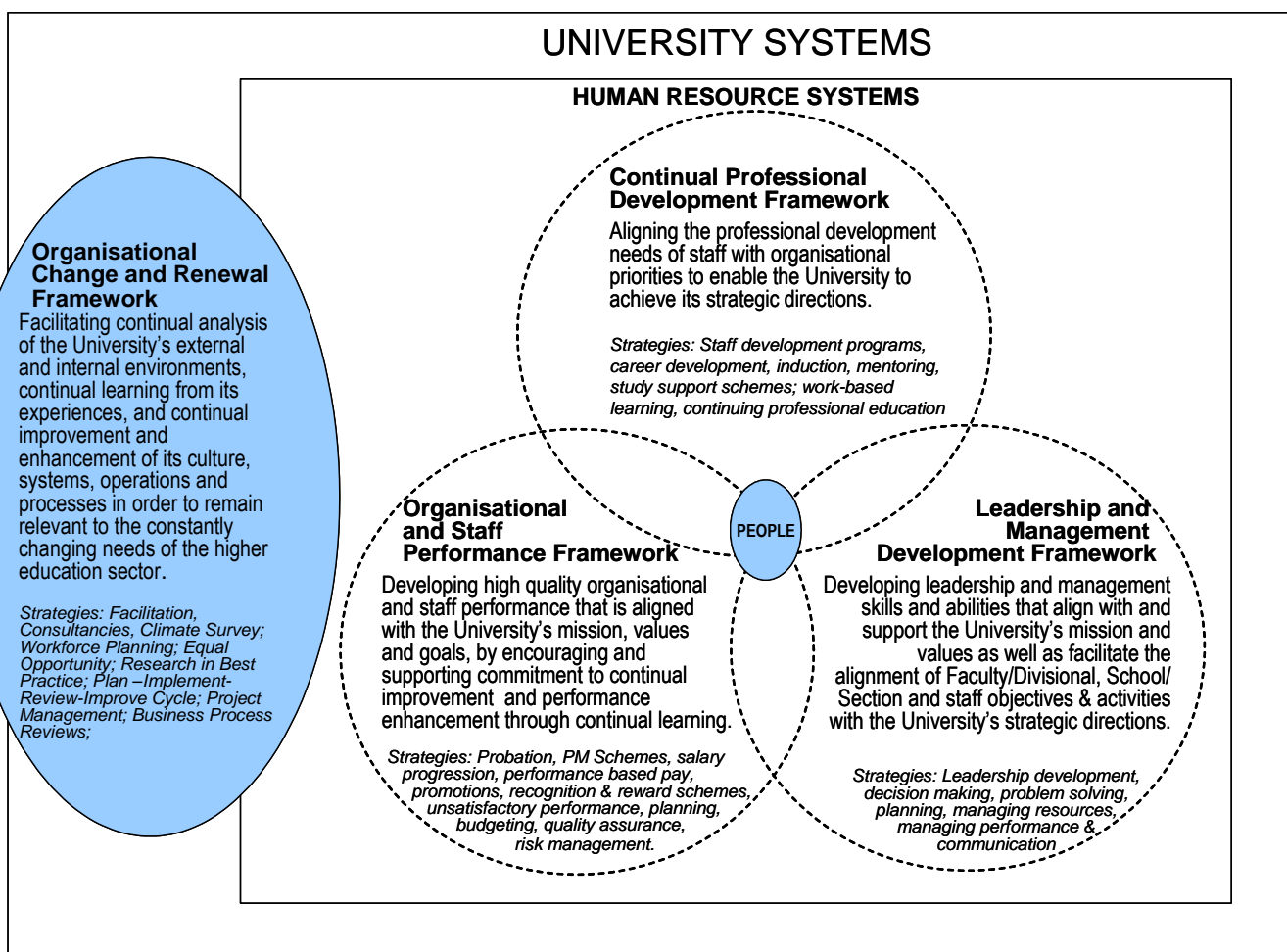


These frameworks have been developed to provide the link between higher level strategic thinking and operations and programs delivered in the workplace. They are designed to:

- align operations and programs with the University vision, mission, culture, key objectives and values;

- identify the critical elements in achieving performance improvement;

- emphasise the fit between individual, team and organisational performance;

- bring together legislation, policy, procedures, guidelines, staff development programs, resources, systems and tools; and

- integrate management practices, organisational structure and systems , human resource systems, and other work practices and systems.

**ATTACHMENT 3: Institutional Development Framework**

**Figure 3: Institutional Culture, Change and Renewal: Delivering the University Strategy**



INSTITUTIONAL DEVELOPMENT
to deliver the University Strategy

*Human Resources*

*Organisational Design & Development (Workforce Planning)*

**Enabling Plans**

Finances

Continual Professional Development Framework

Capital Development

**PROCESS**
(Core, Enabling, Planning, Governing)

**Institutional Culture, Change & Renewal**

**PEOPLE**

Leadership & Management Development Framework

Information Infrastructure

*Enterprise Architecture*

Organisational & Staff Performance Framework

V1 Anna & David 11/4/07

## ATTACHMENT 4: Models and Concepts that Inform the Management of Change

There are a plethora of models of the stages of change and of the variables that affect change. Some of these include:

### Four Variables that Affect Change

1. Culture – the set of values and beliefs common to an organisation
2. Context – the market and environment in which an organisation operates
3. Knowledge – the set of learning processes and wisdom that an organisation has accumulated
4. Technology – the operating systems, physical machinery and equipment that an organisation employs to deliver its products or manage its internal processes

(Graetz et al, 2006, p.24)

### Figure 4: The Reciprocal Relationship between Culture and Change
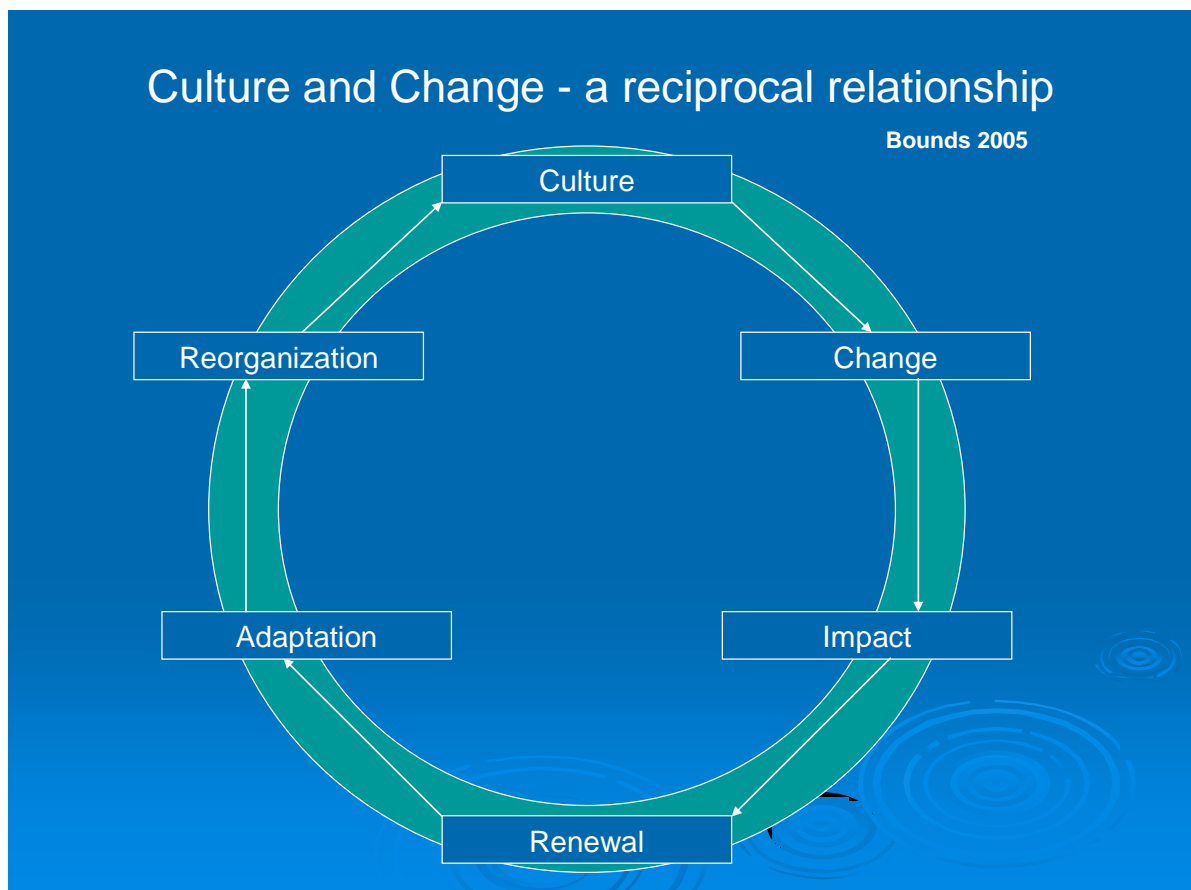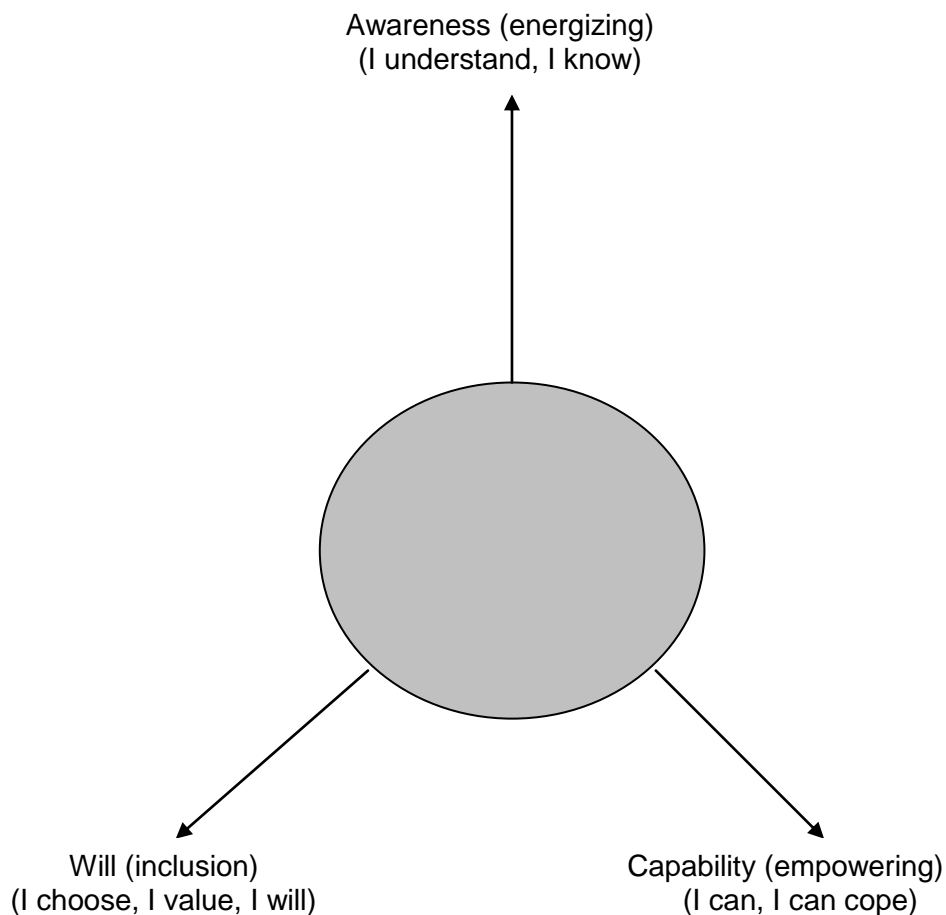(Bounds 2006)



Culture and Change - a reciprocal relationship
Bounds 2005

Culture
Reorganization
Change
Adaptation
Impact
Renewal

**Figure 5:  Necessary conditions for effective change** (Carnall1999)

Awareness (energizing)
(I understand, I know)

Will (inclusion)
(I choose, I value, I will)

Capability (empowering)
(I can, I can cope)

*Awareness*
1. How thoroughly does everyone affected….understand the needs of customers, objectives, strategy and timetable, resources required and new behaviour, techniques, systems, etc.?
2. How systematic a process has been instituted for tracking implementation and for making corrections whilst change is in process?

*Capability*
3. How completely have the resources required been identified and provided, including the financial resources, skills and time?

*Inclusion*
4. How strong is the commitment of relevant managers and employees to implementing the change, including how credible do they view the change as being, to what extent do they "own" the approach, how can commitment be sustained, etc.?
5. How consistent and credible is the climate of accountability for the implementation period, including to what extent will those involved live up to their commitments, what are the consequences of failure, will reward systems differentiate between success and failure, and how visible and consistent is leadership behaviour?

## Figures 6 & 7. The Effects of Change on People

Organisational Development Model 2: May 2005
### PEOPLE IN THE PROCESS OF TRANSITION

**Moving forward**
This can work and be good

**Denial**
Change, what change?

**Happiness**
At last something's going to change!

**Fear**
How will this affect me?

**Disillusionment**
I'm off.. This isn't for me

**?**

**Gradual Acceptance**
I can see myself in the future

**Threat**
This is bigger than I thought!

**Anxiety**
Can I cope?

**Guilt**
Did I really do that!

**Depression**
Who am I ?

**Hostility**
I'll make this work if it kills me!

© 2000/3 J M Fisher. A free resource from www.businesballs.com

### THE CHANGE ACCEPTANCE CURVE

OPTIMISM

ATTITUDE TO THE CHANGE PROCESS

**Launch-celebrations**

**This is taking my management time**

**I always knew it would work**

**Enthusiasm**

**Hey, this was a pretty good idea!**

**Where are the results?**

**Scepticism**

**The payoffs begin to appear**

**Is it worth all the hassle?**

**Why isn't the current business being taken care of?**

**Sponsors/ Innovators Point of Despair**

PESSIMISM

**TIME FRAME – WEEKS/ MONTHS/ YEARS**

© CPA Australia, 2004
Organisational Development Model 1 – May 2005

## CSU Organisational Change and Renewal Framework
### Version 1.0 -14 May 2008

**Figure 8. PIRI Cycle of Continual Improvement at CSU**

A culture of planning and performance is built through continuous improvement.



PLAN

- **organisational performance** is continually monitored
- annually evaluated and reported in relation to KPIs

- **CSU's strategic directions**;
- identifying, assessing & managing risks;
- developing & managing a budget to achieve strategic goals & priorities

IMPROVE

IMPLEMENT

PIRI CYCLE

- **areas for improvement** are identified, and
- the plans are modified to improve quality

- the **strategic priorities** are implemented in accordance with the plans and budget

REVIEW