LEADING CHANGE

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Introduction

"Where we did much less well is thinking through the different levels and types of leadership which were then going to be needed to move from grand vision to day to day a change through implementation of the specified change programme. There are many different models – we relied too much I think on formalistic project management structure which I don't think is sensitive enough to the different roles the different leaders, the different levels in different parts of the organisation need to play on these things."

Senior Manager, Pre '92 University,

An ESRC funded project recognized the following key ways of bringing about change in higher education (and identified some associated issues) – all require highly developed leadership and management skills:

- Persuasion and debate (slow).
- Developmental review of systems (time consuming).
- Reward (few monetary ones available).
- Promotion (not always possible).
- Job swop/placement (good but not for everyone).
- Coercion (difficult to manage).
- Peer pressure/peer shaming (can be traumatic).
- Open use of performance indicators (also traumatic).
- Using/blaming external drivers (lacks legitimacy).

Our discussions with staff in a variety of HE institutions and in other public and private organisations identified leadership as one of the key factors in successfully implementing change.

"I am learning more and more ... that in order to manage change ... you have to understand the people who would want to implement the change and the people who need the change... you almost need to mediate the change and my job as a middle manager...most of my jobs are to ensure that when the change is happening it does not look like upheaval...it feels and seems to be by both sides very positive..."

Head of Academic Department, Post 1992 University

The perceived importance of leadership can be seen in two new developments at the time this resource was compiled.

- Firstly the establishment of the Centre for Excellence in Leadership for managers in the post-16 sector (including HE) see www.inspirelearning.co.uk
- Secondly, the establishment of the Leadership foundation under the auspices of Universities UK
- This section of the resource provides an overview of some key aspects of the leadership of change and in particular the leadership of large-scale transformational change.

John Kotter, in a seminal work, Leading Change: Why Transformation Efforts Fail identified eight important steps in effecting change. Although these derive from a business perspective and may require some translation, they have some validity for change in higher education, especially transformational change (for an exploration of transformational change and other forms of change see the Types of Change section.

1. **Establish a sense of urgency**: examine market and competitive realities. Identify and discuss crises, potential crises or major opportunities.

2. **Form a powerful guiding coalition**: assemble a group with enough power to lead the change effort and encourage the group to work together as a team.

3. **Create a vision**: this helps direct the change effort. Develop strategies to support that vision.

4. **Communicate the vision**: use every vehicle possible to communicate the new vision and strategies. The coalition has to lead by example.

5. **Empower others to act**: get rid of the obstacles to change. Change structures that undermine the vision, encourage risk-taking and non-traditional ideas, activities and actions.

6. **Plan for and create short-term wins**: plan for visible performance improvements, create those improvements and recognise and reward employees involved.

7. **Consolidate improvements**: use increased credibility to change systems, structures and policies that don't fit the vision, hire, promote and develop employees who can implement the vision. Reinvigorate the process with new projects, themes and change agents.

8. **Institutionalise the new approach**: articulate the connections between new behaviours and corporate success. Develop the means to ensure leadership development and succession.

Kotter makes a clear distinction between management and leadership. Management is a set of processes that can keep a complex system running smoothly. Leadership defines the future and aligns people with that future. Kotter argues that too much emphasis is placed on managing change and not enough on leading change.

In public sector organisations in the 21st century, and certainly in universities, leadership is not something which is left solely to prerogative of the senior management. Aspects of the leadership of change may extend to any part and any level of the organisation.

References and Reading

Deem R., Fulton O., Hillyard S., Johnson R., Reed M., and Watson S. **New managerialism and the management of UK Universities** ESRC Project R0023 7661

Kotter J. (1995) **Leading Change: Why Transformation Efforts Fail**, Harvard Business Review, March-April.

What is Leadership?

"I have learned that even pulling levers at the highest level does not always get you what you want...sometimes it does"

Head of Support Department, Pre '92 University

Critical factors covered in this section:

- Identify good practice – wherever it may be found – but translate it to your setting.
- Build support for the change process.
- Communicate, communicate and communicate.
- Anticipate the expected responses from the different groups – and be prepared to counter.
- Recognise where you are on the change curve as change is implemented.
- Integrate strategies and monitor implementation and progress.
- Real change requires sustaining focus on the key priorities.
- More change is achieved through doing fewer things well.
- Organisations with a clear direction and some demonstrable results are better able to resist being deflected and distracted.
- Persistence, resilience and consistency are critical to stay on track through the typical ups and downs of change.
- Step-change can be used to build the capacity for continuous improvement.
- Organisations get better at change by doing it.
- Major change programmes impact on core systems such as information technology, human resources and performance management – modernising these in line with the overall vision provides a platform for ongoing future change.
- Change programmes are a powerful way to develop the leaders of the future.

"if you want to live in a fantasy world not having good data is a great way to start"

Head of Academic Department, Post 1992 University

Identifying the need to change

"..there is a certain feeling of today is going to be boring so let's poke a stick into a wasps nest and see what happens which I think is great."

Head of Support Department, Pre '92 University

Identifying the need to change goes to the heart of effective leadership. In slow changing organisations it can be about environmental scanning and being clear what the institution needs to do to keep abreast of sectoral developments and best practice. In fast changing organisations it can be more about deciding what not to change and managing the multiple changes with multiple dependencies.

The tools provided in the Influences and Decision-Making areas of the site are designed to help with these processes.

Identifying and Incorporating Good Practice

"the crucial aspect about all those is that you have to know the area in which you are operating sufficiently so that you can bring something new and different to it and so you have to know what is different and available out there…so you base your work on other peoples work and then you base your judgement on your experience and other people's experience."

Head of Academic Department, Post 1992 University

Looking for good practice from outside (or possibly inside) the institution, either from elsewhere in higher education or from the public and private sectors can provide alternative ways of approaching change. There are many ways in which this can be done:

- Visits;
- Work-shadowing;
- Through the work of professional associations;
- Semi-formal networks of practitioners;
- Informal networking;
- Benchmarking clubs and processes (The benchmarking section gives further details).

However, it is often fatal to merely import the perceived good practice into your own organisation. There are a number of reasons for this:

- Differences in culture.
- Differences in key personnel.
- Differences in micro-politics.
- Differences in resourcing.
- The need to ensure 'buy-in' from the staff involved – they are unlikely to accept anything perceived as being imposed just because its used elsewhere.
- The need to tailor to local needs and circumstances.

Thus it is important to get those likely to be most affected to review the proposed good practice and identify how it can be adapted to meet local needs. Actions that can be taken include:

- Visiting areas of perceived good practice.
- Seeking views on alternatives
- Discussing implementation and possible barriers
- Involving key staff in the decision-making process, reviewing related policy documents etc.
- Piloting and testing if possible.

The decision-making and enabling sections of the IDEAL model give some tools and activities that can be undertaken at the team level and which can be helpful in dealing with this issue.

Case Study

PVC, Post '92 University

I spent quite a bit of time looking at how issues of change were approached in the wider world and trying to bring some of the underlying principles back into higher education.

What we learnt

- A focus on academic departments as the core business units.
- The delivery of data sets to the departments so they could assess their situation – the balanced scorecard.
- The employment of a change management facilitator – a reformulation of the staff development post.
- A coherent response to projects which spanned more than one function. The best example is rewarding and developing staff where we evaluated progress using a single template – one side of A4 – and a 'traffic light' system (see tools).
- A clear understanding that a range of disparate projects were linked together in achieving change and should be evaluated collectively – the change management template.

Why lots of it didn't work in HE

- You must have buy-in from the most senior level.
- While changing structures is easy, changing cultures is much more complicated and needs sustained coherent work over a number of years. You need to get a critical mass of people who want to change.
- Change projects rarely get a clear run, that is to say a window of opportunity when other changes are not being forced on you.
- Never design changes around the existing individuals.
- Change managers will always want the 'deluxe' version of change – obviously because they want it to work beautifully. So their inclination is to leave most things alone and just add resources so you can do more. Realistic change management in HE (and industry) says that we can't keep doing these things the way we have, we have to assume a lower level of resourcing and re-engineer around that. In industry they take a holistic approach: costs have to be reduced in order to stay competitive so processes have to be rethought and people have to be motivated to make their own improvements. One example would be the reduction in SSR. The response of Heads in general is to argue for more staff, usually in the form of VLs, but the only way forward is to reengineer the curriculum. This is currently still seen as a 'top down' exercise and we need to engage the Heads with this as their issue.
- People need to believe they can effect change. Identify the top six – deal with them, and then move onto to the next six.

Identifying the nature of the change required

Case Study

Senior Manager, Post '92 University

The first and most important issue is identifying that you are undertaking a specific change. The distinction between 'maintenance work' and 'change work' may be less than clear cut, particularly, and I'm guessing here, in new universities which don't necessarily have a strong administration which owns the maintenance work. The distinction is easy to make in areas such as estates where there are large scale projects with clear time-scales, budgets and accountabilities. In other areas, particularly processes such as enrolment, there may be routines of annual 'wash-up' and continuous improvement. The manager in that situation may find it harder to see the improvements as 'a project', is therefore less likely to have clear endpoints and less likely to evaluate carefully the impact of any changes.

So a first question any manager might ask is 'who is responsible for the maintenance work and who is responsible for the change'. Should they/can they be the same person/group. My view is that they should be ideally be different because:

- they often require very different skills;
- if the changes prove more difficult to make than anticipated someone has to own the knowledge of how the thing works 'normally';
- treating change as a separate activity allows the careful targeting on particular aspects of a process and the provision of a separate budget and evaluation strategy.

A counter argument is that if the 'maintenance' people aren't involved in the change then it isn't going to work. And this is a very powerful argument. Perhaps an ideal solution is for the manager of a section to drive the changes but making sure that a very robust deputy ensures that the trains run on time. I think the issue of knowledge management is involved here. It's easy for people to get enthused about 'the new stuff' and cease to value the knowledge of how things actually work.

Recognising the type of change that you wish to effect is important because certain approaches are best suited to certain types of change. The types of change and common approaches are dealt with in more detail elsewhere in this resource. The key aspects to consider when trying to match type to approach are:

- Time-frame. Sometimes the time-frame is so tight that an idealised approach to change can't be adopted – its important to recognise this and explain the need for urgency to those involved. However, its should be recognised that the down-side to rapid implementation is often a need for much greater 'management' after the change has been introduced and possibly less effective implementation.
- The resources available – the nature and extent of the change needs to be matched to the human, financial and other resources available.
- The relationship to other changes. Can the planned change be implemented on the back of another change? Is there possible synergy (or dissonance) between different changes? Is there too much change going on?
- Culture. What is feasible within the culture of the organisation? What effect will the change have on culture?

Implementation

"one, it has to be sensible to introduce and two, you have to sell it so everyone sees the benefit and three, is how you do it and that is the critical bit"

Head of Support Department, Pre '92 University

"If at first you do not succeed then try some other weasley way to make it happen"

Head of Support Department, Pre '92 University

Implementation involves a number of different leadership processes:

- Identifying roles.
- Communicating.
- Building support, recognising barriers and building bridges.
- Supporting.
- Monitoring.

Implementation requires a clear identification of the various roles of those involved in the change and their responsibilities. This may require some changes to titles or job descriptions and possibly the development of suitable reward strategies.

> "I think in order to lead people you have to make people think that this is theirs...ownership...my experience across the board"
>
> **Head of Academic Department, Post 1992 University**

Communication is the key to the effective implementation of change – it is in the top three items of importance when discussing change with senior mangers, middle managers or staff on the ground.

> "all the way it was good communication...communication is absolutely critical...if you do not know what is going on if there is no clarity then why are we doing this..."
>
> **Head of Academic Department, Post 1992 University**

The Enabling and Achieving sections of the tools section provide some hints and tips on actions that can be taken to build support for change. These include:

- Identifying the key groups involved
- Recognising their needs
- Reward and motivation
- Training and development

Once the planned change is underway leadership is the art of delegation. The plan will almost certainly digress from the original and there will need to be some allowance for local differences in implementation. Hence the monitoring role becomes important for those leading the change

> "A lot of academics instinctively don't like targets and don't like measures but we have been using here staff: student ratios and other measures and looking at data, nationally, locally and applications, application rates for some time."
>
> **VC, Post '92 University**

In addition, the Managing Transitions section of this area of the site gives some guidance on how to help staff through 'difficult' change processes i.e. where there are job losses or major dislocations.

> "My view is that you can only do so much and then you are going to have to set it up and see what happens and leave it to people to figure it out without you giving them reams of instructions. So I have a tremendous faith in all our staff to sort it and that was well placed at every level"
>
> **Head of Support Department, Pre '92 University**

Modernising infrastructure

Any programme that leads to step-change in performance will almost certainly come up against the limitations of the organisation, placing new and different demands on decision-making processes, information technology platforms, human resource functions, industrial relations, technical, management and leadership skills, the way you deal with 'customers' and the information you use to run your business. All these implications add time, cost and complexity, but by recognising and responding to the challenges, you are equipping your organisation to navigate future waves of change. Infrastructure effects are likely to include the need for:

- increased delegation and faster decision-making processes;
- modernising outdated information and communications technology;
- more flexible human resource policies and procedures to attract, motivate, reward and retain the staff whom you need to deliver the business;
- increased emphasis on people and skills development;
- better internal communications systems to keep staff informed and maintain an ongoing constructive dialogue;
- more effective performance management systems;
- richer and more up-to-date management information, including customer and community intelligence;
- front-line customer interfaces that are better able to respond to queries and meet customers' needs effectively;
- building and sharing knowledge between different parts of your organisation and with partners;
- managing cross-cutting processes in a joined up way; and
- the ability to manage new kinds of relationships with unions and external partners.

Leading Academics

"In education you have a huge base of people who think too much...rather than do it... you ask an academic to do something and three months later you get a paper about it...sometimes it gets in the way. But on the other end of it – it is hugely creative"

Head of Support Department, Pre '92 University

'Academics are conservatives in the main, they don't like change. They are also usually very intelligent, questioning and if they do not perceive a good reason for change then they will find a way of obstructing it or at least delaying it … the sorts of change I've helped to manage … have been rather more stealthy, if you like … there always has to be reward, people have to feel … they have to know that they are valued, that what they're doing is appreciated. … sometimes it's easy for heads to get so bogged down from the detail of running things that they forget … to pause and just say something like "that was great, I really thought you did well there. Keep on like that and you're gonna get what ever the next promotion is, very soon." I don't think academics generally respond to threats or bullying or any feeling that if they don't succeed there will be some form of punishment.'

PVC, pre-1992 University quoted in ESRC report.

Leading academics presents very particular challenges. There are now some good texts available to those in Heads of academic department roles. See for example:

Middlehurst, R. (1993) **Leading Academics**. SRHE OU Press

Ramsden, P. (1998) **Learning to Lead in Higher Education.** Routledge Falmer.

Within pre-92 universities many Heads are appointed on a temporary basis. From a change perspective this has both advantages (for example, a fresh perspective) and disadvantages (lack of continuity, sense that everything is temporary and that staff can ride out any impetus).

Ann Lucas (1999) has identified some of the issues raised by elected roles in an American context.

"I am elected by my colleagues to serve at their pleasure for only three or four years, then I will be a faculty member again. Therefore, there is nothing I can do to deal with the problems."

The belief in an inability to do anything as chair because a person is simply a peer among equals conveys an aura of humility and democracy in action; yet it can effectively leave a department without a leader. Particularly when a chair is elected by peers for a limited term, choosing to be a team leader is a valuable choice of leadership style. As team leader, a chair can take an active role in seeking meaningful input and full participation from everyone in the department so that faculty members can plan and organize themselves to function most effectively. Being a team leader requires setting shared goals with the department and individual goals with individual faculty members so that everyone can focus on how they can achieve departmental goals while realizing their own. Goal setting with individuals and providing feedback on performance in a supportive climate are the strongest forces a chair can use for motivating faculty. When chairs are passive because they feel there is nothing they can do, departments, and often faculty, stagnate.

"It is my turn in the barrel. I don't particularly want to be chair, but we all have to take a turn."

Given academic norms that administration of any sort is a necessary evil, such statements by an incoming department chair do not usually raise concern among faculty; on the contrary, faculty often worry that people who want to be chair may be seeking power. However, when someone doesn't want to be chair, neither the department nor its faculty will benefit by having a person in that role simply because it is his or her "turn." What is most likely is that such an individual will behave in a passive-resistive fashion and accomplish nothing for the department. Whenever he or she is chided for not taking some responsibility, the response can always be, "But I didn't ask to be chair."

"I am simply a peer among equals. I am not a manager."

This is a good example of generating only two options. "I am either a peer or a manager. There is nothing in between." As chair, an individual is no longer just a peer among equals. Chairs have responsibilities that are different from those of faculty members. Although all chairs have to perform some management functions, they don't have to become managers; they can become leaders.

"I have neither carrot nor stick. It is not possible either to reward or punish faculty members."

It is simplistic to think that rewards include only economic benefits, and that punishment means only the firing of a faculty member. There are many more meaningful ways to reward people; and punishment has so many negative side effects, it is rarely an alternative of choice in motivating others. When chairs are respected colleagues, they have the ability to reinforce faculty for the latter's work. Being taken seriously by a colleague who appreciates the quality of what an individual is doing is both rewarding and motivating. Moreover, chairs usually have major input into personnel decision making, scheduling of courses, release time, and allocation of resources. Therefore, despite the fact that it is not realistic, the perception that chairs have "neither carrot nor stick" certainly contributes to their feelings of powerlessness.

"I am neither fish nor fowl. Being neither faculty member nor administrator, my role is not clear."

Granted that role conflict is stressful, a chair must be the conduit between faculty and administration, representing the needs of each to the other. This requires that a chair be an articulate spokesperson for department members to administration. It is also necessary for a chair to be a public relations person for faculty members so that their accomplishments, their impact on the discipline at the state or national level, and their outreach to the community can be appreciated by the rest of the university.

In addition, however, because they represent administration to faculty, chairs must at times advance points of view that represent what is deemed to be good for the college or university over what is perceived as good for individual faculty members. For example, faculty often strongly resist a chair's request that they teach an 8 a.m. class, a late evening course, or a course that meets three times a week. In each of these cases, faculty may feel that the chair has lost the ability to identify with colleagues and is behaving like an administrator. Chairs must handle such conflict in their roles with tact, fairness, and good humor.

"I have no power. Therefore, I can do nothing."

Many chairs feel they have no power, though this perception is not usually accurate. In the context of the work of the chair, power is the ability to influence faculty to achieve their own goals as they accomplish the work of the department. Chairs have enough power to motivate faculty to increase student learning by teaching effectively, to increase scholarly productivity, and to increase service or outreach activities. All they need is to know how to go about it.

The kinds of power that chairs have to motivate faculty include position power, personal power, and expert power. Position power, often referred to as legitimate power, is related to the authority individuals have simply because of their positions. The extent to which chairs control rewards and punishments varies markedly from one institution to another, but when their input on administrative matters is weighted heavily by a college or university, their position power is increased. Thus, chairs have strong position power when their judgment is given serious consideration in personnel decision making.

Position power is by and large a given. Personal power, however, varies considerably and can be increased in legitimate ways. If chairs treat everyone with respect, if they are perceived as working for and fighting for the well-being of their faculty members when the cause is just, if chairs create a supportive climate in the department, and if they give people recognition and visibility for their achievements, their personal power becomes greater.

A third kind of power is expert power, which is based on knowledge and control of resources. Chairs usually know better than faculty how to get things accomplished in a college or university, particularly how to do things that are not described in faculty handbooks and other formal documents.

Key skills for planners and leaders of major change projects[1]

This *Check List* can be used as a training analyses and evaluation tool. It is set out in seven skill sets. It describes in detail positive examples of applied core skills. It may be used as a tool to enable managers to reflect about their level of expertise (competence). It is a framework for assessment either as self-directed observation, or as a discussion between colleagues and team members.

The second part is laid out as a grid comprising a two-part action plan. The *Check List* serves as a guide so that the *Action Plan* can be completed to build up a framework of training needs which are closely associated with managing major change projects. The assessment of competence and relevant skills can be related to the *Positive examples* in the *Checklist.*

Re-evaluation of competencies is a useful post-training evaluation device, especially when examples in the *Checklist* are used as reference points. These can begin to address the important questions as to the effect of the training on very specific behaviours.

[1] This checklist was provided by King's College, London (KCL).

Part 1 The Checklist

Managing change

Demonstrates ability to adapt operational activities to internal and external changes and to promote a change culture among colleagues and subordinates and to promote change to enhance efficiency, working relationships and customer service.

Positive examples

- demonstrates an understanding of and commitment to the development of a change culture
- demonstrates a commitment to personal role, responsibility and essential characteristics of a change leader
- creates and maintains a culture of continuous change and improvement
- identifies opportunities for improvement in activities
- encourages team to suggest and promote ideas for improvements
- ensures that co-workers are properly informed about change events
- communicates the causes, nature, significance and impact of foreseeable change to staff
- understands the impact of change events and processes on the organisation and individual
- communicates and sells the benefits of change
- consults and debates with staff at the planning, implementation and review stages of change projects
- identifies and deals with obstacles to change
- designing and implements a change programme
- obtains insight from the experience of internal and external change events
- monitors, evaluates and amends change processes

Relating actions to Institutional Aims and Objectives

Demonstrates knowledge and understanding of KCL key objectives and primary aims, and relates activities to institutional strategies. Maintains a view of the 'Big Picture' in professional undertakings.

Positive examples:

- demonstrates an understanding of the role of the university in delivering excellence in teaching and research and the interrelationship of both
- assesses the changing patterns of HE, the impact of regulators, competitiveness in the national and international market
- shows an awareness of university's key objectives and strategic policies and mission
- can demonstrate how programmes of work contribute to the primary strategies
- maintains up-to-date knowledge of the university's key strategies and trends in HE
- has an understanding of the university structure and how functions interact
- understands how key activities are funded and how resources are devolved
- devises a system to ensure that co-workers are briefed and updated about the university's strategies and procedures
- assists in the translation of corporate strategies into individuals' performance
- identifies standards that would form the basis of shared university culture and values
- applies emerging university equal opportunities policies to management activities

Exercising leadership

Leads and motivates others to achieve objectives.

Positive examples:

- acts positively to maintain integrity; leads by example
- agrees and sets goals
- keeps promises and follows through on commitments and agreements (on time)
- takes a structured approach to delegation and empowerment
- takes responsibility for actions, does not abdicate; experiments
- adaptable leadership style
- guides and coaches rather than instructs; involves others appropriately
- develops team and individuals; builds cooperative relationships
- uses co-workers strengths and recognises all contributions
- informs and briefs team
- obtains commitment from others through leadership and example
- encourages feedback on own leadership style from staff; accepts criticism
- devises incentives for team members; celebrates milestones
- exercises judgement in explaining and implementing local promotion review procedures

Communicating and working in teams

Communicates effectively with others and responds constructively. Participates actively and constructively as a team member.

Positive examples:

- develops and maintains helpful and supportive working relationship with colleagues
- consults with managers and colleagues about important issues
- in discussions, cultures a reputation for frankness, openness, respect, ability to act on agreements
- contributes on a regular basis to team meetings
- takes on board others' views, listens
- presents complex data clearly and accurately, verbal or written
- adapts communication style to circumstances
- interfaces constructively with customers and suppliers (internal and external)
- influences and persuades others, negotiates firmly when required
- delegates effectively and consults appropriately
- ensures that roles and responsibilities of all team members are clear
- participates willingly and actively in team meetings/briefings/activities
- generates ideas and responds to others positively
- shows respect for colleagues
- supports team development by passing on skills and using effective coaching techniques
- acts on own initiative to help others with problems and peak workloads
- resolves conflict sensitively
- shows and develops trust among co-workers associated with, and in the team

- demonstrates ability and willingness to give positive feedback to colleagues

Managing training and development

Commitment to train and develop individuals and teams

Positive examples:

- recognises the significance of manager's role with regard to *competence* (functions and tasks executed effectively) and *competencies* (values, behaviours and related processes fundamental to professional performance)
- establishes sustainable networks of managers to discuss issues of mutual importance thereby to enable learning from each other
- implements a structured approach to training needs analysis
- demonstrates a managed and sustained programme of appraisal
- shows awareness of own development needs and acts accordingly
- seeks specialist advice in developing training plans, for example, learning styles, methods of delivery, timing, accreditation (where appropriate)
- ensures that all staff have a personal development plan (PDP)
- generates team awareness and agreement on how PDP's benefit the team as a whole
- inspires co-workers about the benefits of training to themselves and their career paths
- provides team members with equal access to training opportunities
- participates actively in the training review process
- passes on practical skills and knowledge to others
- takes action to ensure that the identified needs are met
- reviews and evaluates training actions to ensure that they are applied effectively
- develops practical steps to ensure successful succession evaluation and planning
- evaluates the practical benefits of training and development programmes and advises accordingly
- provides constructive feedback to trainers and trainees
- contributes towards the improvement of practices and policies

Initiating plans/ projects and taking critical decisions

i) The Planning process

Structured deployment of College and personal resources to ensure deadlines and objectives are met.

Positive examples:

- sets goal orientated plans and projects
- uses reliable sources of information and methodology
- selects and uses effective methods of analysis to identify patterns or trends from emerging information and draws appropriate conclusions supported by valid evidence
- breaks work down into logical stages with appropriate priorities and timescales
- reviews and monitors progress against plan
- directs and re-directs effort and resource as appropriate
- committed to achieving deadlines and objectives
- able to set objectives and critical success factors

ii) Innovation/Creativity

The ability to identify, develop and apply new and original ideas for the operational and strategic development of the business.

Positive examples:

- receptive to new ideas and working practices
- able to think laterally
- regularly makes suggestions on areas of improvement
- champions new ideas and creative attitudes
- proactive rather than reactive
- up-to-date with current thinking
- prepared to take calculated risks

iii) Judgement

Weighing up relevant information and deciding upon the most appropriate course of action.

Positive examples:

- takes an overview by weighing alternatives, opportunities and threats
- considers university key objectives in reaching decisions
- evaluates short term versus long term benefits
- takes note of precedents whilst being unafraid of setting new ones
- employs a systems to gather all relevant information
- knows when to ask for advice

iv) Flexibility

Meets obligations by initiating and responding positively to different conditions.

Positive examples:

- adapts readily to different roles, conditions, personal styles, policies, organisational variation within the College
- modifies existing approaches to problems to seek improvement
- proactive in training identification and execution
- ready to accept different or additional responsibilities
- accepts that change is normal

v) Managing the project

Positive examples:

- understands the principles and techniques of project management as they may be applied to field of management
- designs the distinct stages of the project and applies the techniques and tools available for scheduling, monitoring and controlling the project
- progresses the project, basing decisions on sufficient, valid and reliable information
- ensures that execution is consistent with College values, policies, guidelines and procedures
- identifies alternative information relevant to the stage of execution of the project

- at key stages ensures effective two way feedback between stakeholders involved in the project

Dealing with poor performance

Deals with issues where performance is unsatisfactory in the context of relevant level of authority and access to professional advice.

Positive examples

- maintains and develops clearly identifiable performance standards with respect to current and evolving job descriptions
- demonstrates awareness of College policies on competency and ability
- identifies poor performance in team members and acts promptly and appropriately in accordance with KCL and lawful requirements
- provides regular opportunities to discuss problems which may impact on performance
- gives criticism of performance skilfully
- develops appropriate courses of action using internal or external agencies, thereby ensuring fairness, impartiality and transparency
- takes positive steps to maintain confidence, trust and openness with co-workers
- maintains accurate records of proceedings in connection with performance management
- maintains confidentiality with respect to proceedings

> "One of the issues is knowing how and where the decisions are being made….I think if you look in a commercial set up it is usually pretty clear who has the responsibility. Where as in a university it can be a very diffuse organisation pulling in all directions and if you look at the academic staff their allegiance to their school and their discipline is a factor that does not have any parallels in any other institution."
>
> **Head of Support Department, Post 1992 University.**

References and Reading

Lucas, Ann. Six fallacies that stifle change – and how to overcome them. American Association for Higher Education Bulletin (November 1999) Available at http://aahebulletin.com/public/archive/nov99f1.asp

Assessment of Training Needs

Part 2 The Action Plan

This grid should be used in conjunction with the *Checklist*. Comments may include particular topics which might need special attention. This will act as a practical guide to enable you to reflect in detail about your training needs. It will also enable the trainers to focus on specific areas in each skills set and to design training accordingly.

Ideally this should be filled in using your PC. This will help to make the analysis and collation of data more practicable.

A: How do you rate your competence: 0=low: 4=High	B: How do you rate the relevance of this section to your role: 0=low: 4=High

Examples of Roles (and Skills) Required	A	B	Comments
Managing change			
Relating actions to Institutional Aims and Objectives			
Managing training and development			
Exercising Leadership			

Examples of Roles (and Skills) Required	A	B	Comments
Communicating and working in teams			
Initiating plans/ projects and taking critical decisions			
• **The Planning process**			
• **Innovation/Creativity**			
• **Judgement**			
• **Flexibility**			
• **Managing the project**			
Dealing with poor performance			
Alternative topics			

Training Needs Action Plan

The Action should include proposed training details. The date in the last column refers to the estimated completion date.

Topics	Action	Date

Transition Management

Introduction

Critical points in this section:

- Transition is different from change
- It's often the transition that people resist – not the change itself.
- The transition needs to be understood and managed especially where the change is radical.
- Staff will be at different stages along the change curve.
- The emotional response to change needs to be recognised.
- Leaders of change should consider their own transition.

The notion of Transition Management as being a separate from, but related to, change management is largely the work of William Bridges (1998) (see also Jeffreys, 1995).

Transition is not just another word for change.

Change involves a shift in the external situation - it is about the events or circumstances which impact on and affect the organisation. For example, the new leader, changes in government policy, technology, student expectations, merger etc. Thus, change is typically outcome or results focused, in that organisational change is usually a solution to someone's perception of a problem or an opportunity.

Transition is an internal, three-phase psychological re-orientation that people go through as they come to terms with a change. It is a process, an inner experience not necessarily focused on outcome or results. It is timed differently from the external changes, and has less definition than the changes it accompanies.

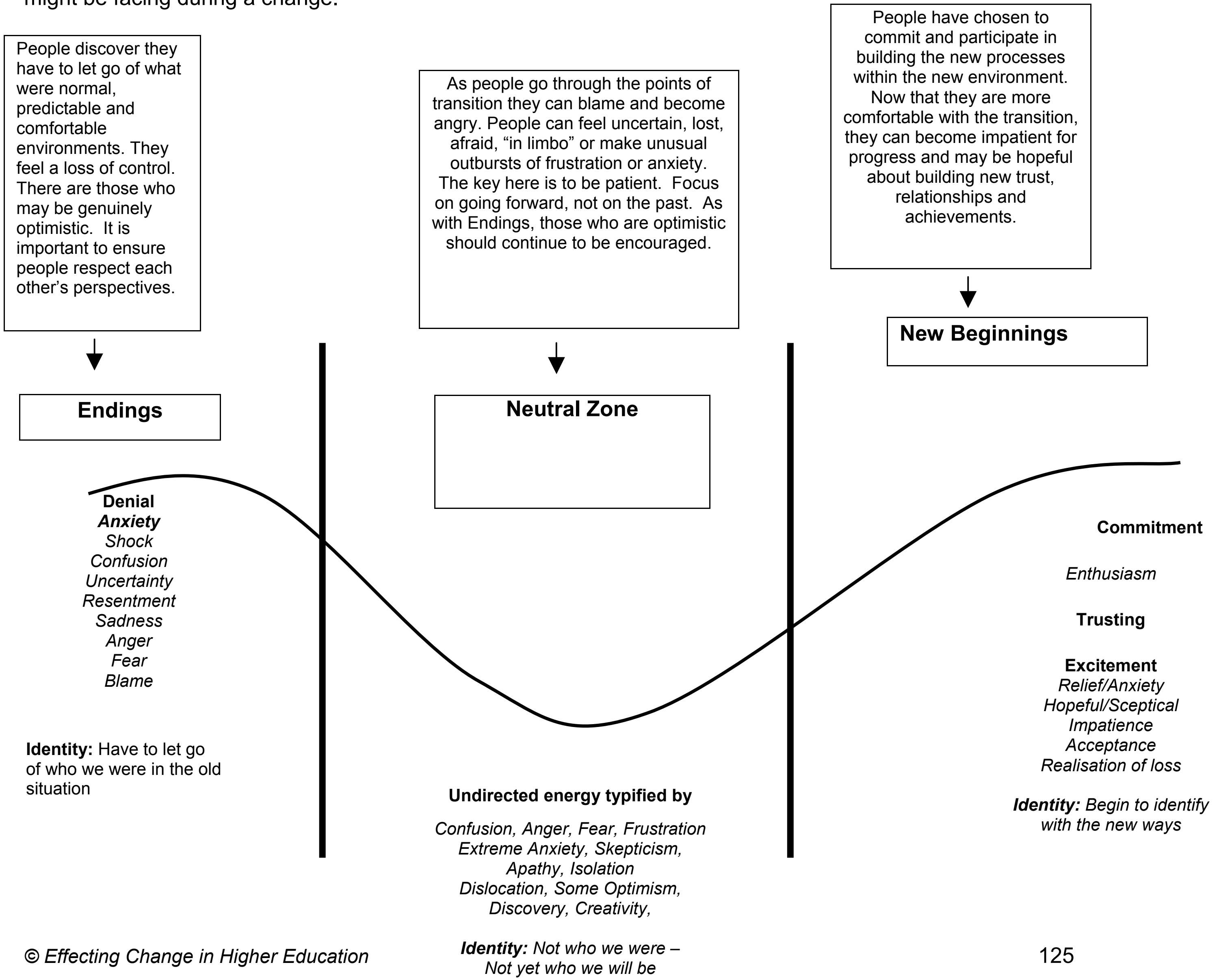
It's often transition not change that people resist. They resist giving up their sense of who they are, their identity as it is expressed in their current work. They resist the chaos and uncertainty of the neutral zone – the in-between state. They resist the risky business of a new beginning – doing and being what they have never done and been before. In order to effect change it is important to help people through the transition.

This area of the resource discusses the nature of transitions and provides some tools and hints to help manage the transitions associated with major upheavals. By this we don't mean those which involve large expenditure – but those which are likely to have a major impact on people's lives. Examples might include major changes to roles and responsibilities, mergers of departments, schools or areas and, ultimately, loss of jobs.

The Three Phases of Transition

There are three phases of the transition process– Endings, Neutral Zone, and New Beginnings.

These three stages are shown in a Transition Curve and whilst this curve is over simplified, it is a useful tool for understanding the sorts of issues people might be facing during a change.



Recognizing where People are on the Transition Curve

When managing change it's important to recognise that transition is an individual reaction. The role of managers is to help others through to new beginnings whilst maintaining the level of activity or service. Here are some points to bear in mind when assessing where people are on the transition curve.

- Some people repeat sections of the curve to best handle transition (there's no right or wrong sequence).
- People will exhibit different emotions depending upon the nature and number of changes occurring to them at the same time and their 'emotional intelligence'. This is normal.
- Realising where you and the people around you are on the curve will help you initiate appropriate actions and respond effectively.
- Teams may travel the curve together but individuals will arrive at 'beginnings' at their own personal rate.
- It's OK to be slow so long as you're moving and not stuck somewhere.
- It's OK to be slow so long as you're planning on arriving sometime.
- It's OK to be fast so long as you're tolerant and supportive of slower travellers.
- It's OK to be fast so long as you honestly acknowledge your own 'endings'.

Understanding Endings

In the 'Endings' stage, staff may want to deny the existence of the initiative and other related change events. Their denial can move them to fear and uncertainty about the future. This diminishes their level of activity and readiness to deal with the accelerating pace of change as the process starts to impact on the organisation.

Staff may acutely feel the loss of the familiarity and security they felt in the organisation before this and other changes occurred. They are likely to be trying to reconcile or accept the fact that things will now be different from the way they have been. They will be trying to accept that they will have to let go of their current sense of identity in the organisation.

Follow this link for a checklist of actions to consider in the Endings zone.

Understanding the Neutral Zone

The Neutral Zone or exploration stage is the time between the current and the desired state. Staff will be attempting to orient themselves to the new requirements and behaviours. During this time, they will be confused about the future and will feel overloaded with competing demands.

This can have a negative impact on activities. Because things can be chaotic at this stage, staff may question the status quo or the accepted way of doing things. It is important to note that with encouragement this stage can be a time of exploration that is ripe with creative opportunity.

Follow this link for a checklist of actions to consider in the Neutral zone.

Understanding New Beginnings

The New Beginnings stage of the Transition Curve is that time when people are ready to commit to the new direction and the change. They feel secure in the new organization and are ready to function as a significant contributor. This typically occurs as the initiative starts to achieve some of its desired goals.

Follow this link for a checklist of actions to consider in the New Beginnings zone.

Emotional Responses to Change and Transition

> "It can be a bit scary … and if people do not get hold of that and I think managers should come clean on it and say it will be a bit scary and if they don't and say oh no it will be fine there will be people who will be sitting there and thinking oh no they are saying it should be fine and I am scared to death so there must be something wrong with me and there will be managers who are scared too….it is just where I come from…. A bit centred I know but there you go."
>
> **Head of Support Department, Pre '92 University.**

In a transition there are emotional responses to the losses that people experience because of the changes. This is normal but often these responses are taken by others as signs that the change is being resisted. Those leading change need to recognise these emotions in others and themselves, and develop ways to manage their own emotions and assist others to manage theirs. Unmanaged, these responses may undermine the changes and have personal consequences.

This process has been likened, psychologically, to the grieving process.

> "I think you can follow it back if you want to bereavement and all sorts of things like that. Saying that you cannot move through bereavement and become creative at the other end till you have got hold of what the loss means and there is a sequential event about that. It does not match over fully but there are elements within it."
>
> **Head of Support Department, Pre '92 University.**

Everyone deals with such major changes in their own way but we can identify a number of stages that staff might go through.

- Shock and Denial
- Distrust
- Anger and Guilt
- Depression, Anxiety and Stress
- Regret

The stages are discussed below together with some typical views from those who have experienced such a process. Each of the stages in the process needs to be recognised and responded to accordingly. For example, it's no good expecting grudging acceptance when staff are still in shock. You are more likely to get anger and no argument, no matter how reasonable to you, is likely to win staff around.

For those, managing the change, the challenge is to get staff through from shock to grudging acceptance in as fast a time as possible whilst minimising stress and limiting the effect on other areas of the organisation.

Shock and Denial

> I couldn't believe it! We had agreed to work towards building up student numbers in the department at a previous consultation meeting. The final decision to close us down came out of the blue. I still don't understand the criteria for the decision

No matter how well impending decisions have been trailed – once they become known there is a period of shock. People refuse to believe them at first – all large organisations abound with rumours that never come to fruition.

The shock stage is usually short-lived. Actions to take include:

- Communicate the broad headline issues, the reasons for change and the actions that will happen.
- Don't expect people to make decisions or take actions people will not be interested about the future as much as the past.
- Be available and prepared to listen.
- Think about a strategy to help staff through the remaining stages of the process.

Distrust

> There were other departments that weren't recruiting well but it was decided that ours should be the one to go. The data that was at the heart of the decision wasn't trusted by many academics throughout the institution.

After the shock employees may feel as though 'the rug has been pulled out from under them'. The trust level within the organisation drops, and people who feel betrayed develop a generally suspicious, 'save-your-own-skin' attitude. Some organisations have reported suspicion among peers and a withholding of information for fear of advancing somebody else's interests. Actions here include:

- Communicate again the reasons and who is likely to be involved.
- Clarify and make clear the timescales for the decision-making process - and ensure these are kept to.
- Be honest about the future.
- Don't develop a blame culture - deal with issues not people.
- Be available - but don't expect a rush of people to talk to you.

Anger and Guilt

> People were very angry. The Unions were involved and the case went to tribunal which the institution lost. Three years on, some people are still angry about how it was handled.

Change creates winners (those who benefit from the change) and losers (those who don't). The winners can often feel guilty and the messengers of the change may also feel guilty. Guilty people usually express their feelings indirectly and may feel uncomfortable around the losers. They may overcompensate ('don't blame me, I didn't plan this change') or they may even blame and/or patronize the losers for not being able to cope with the change well. This can also affect communication – those not involved don't know what to say to those that are, leading to an even greater sense of alienation by those most affected.

Those who don't benefit from the change or those whose friends/colleagues don't benefit can feel resentment, especially towards the hierarchy. They can become angry, blame the organisation and can look for ways to payback (working slowly, leaving work undone, leaking documents, making mistakes or organising opposition).

At this stage:

- Provide opportunities to let off steam.
- Expect open anger from some staff and acknowledge it as a natural reaction.
- Respond with empathy to people's sense of loss
- Start to explain the need for change in more detail but don't expect to be listened to straight away.
- Be careful about the wording of even confidential documents - they may become public.
- Don't expect engagement in new processes or decision-making at this stage.

Depression, Anxiety and Stress

> The response to the decision was that people started looking for other jobs and in the middle of the year some staff left which put the rest of us in a difficult position. This was very de-motivating and very stressful.

Some people get anxious from the first rumour of change and when the changes are complete they then worry about the next set of changes. Nervousness, working extra time and taking on extra work to 'please the boss' can be examples of how some employees respond to change. 'If I get more paperwork out, start the day earlier and stay later, come in on weekends, maybe I'll get to stay or keep my staff or this office.' Anxiety can be a stimulus initially but can eventually lead to a decline in focus on tasks and reduce motivation, energy and adaptability. Stress and its negative effects usually accompany this behaviour. It is instructive to note that absenteeism, medical claims, stress related claims all increase at times of significant organisational change (although there may be a few months lag time).

Living with the anxiety of the unknown associated with a change can create fears that taking risks and setting work goals too high or being too creative may result in displeasing the boss.

Goals are set low, creative approaches to problem solving are scarce, and no one wants to take any chances of looking bad.

Some people focus on 'How does this affect me? What will happen to me?' Transitions focus people back on themselves, which can undermine teamwork and increase competition for positions as well as undermine customer service. It is hard to take care of others when you are preoccupied with your own survival. Self-absorption can also undermine loyalty and commitment to the organisation.

It's important to try to move through this stage as quickly as possible:

- Accept some temporary lack of motivation.
- Talk to staff.
- Reinforce the reasons for change and stress that the decision is not necessarily a reflection on the abilities of those involved. Rebuild confidence and self-esteem.
- Recognise that this may not be the best time for creativity.
- Provide counselling if necessary.

Regret

> I felt that I had been loyal to the institution and expected some loyalty in return. I felt isolated from the institution, not informed and not valued. I really feel that it could have been handled better. The worst aspect was the uncertainty.

This is a more positive stage. Staff have come to terms with the change and its personal affects. In the mind, the past always represents a better time and a regret for its passing is natural. The challenge is to ensure that staff don't stay in the past and revert to old ways but engage actively in the new reality.

- Start communicating the future and set out the decisions to be taken.
- Discuss new roles.
- Set short-term goals that are achievable.
- Be positive but realistic.
- At this stage it can be useful to have a wake for the old ways – celebrating what was achieved and drawing a line under the past.

Acceptance

> I always acted in the best interests of my students. This was difficult at first but I have now become accustomed to my new role and new opportunities have opened up

This stage is assisted by moving from short-term to long-term vision and building and embedding the new reality.

Don't dwell on the past. This is the time to start enthusing about the future.

- Celebrate new successes.

- Make sure everyone is clear about new roles.
- Don't expect a radical change overnight – major wounds take a while to heal.
- Convert complaints to action.
- Promote personal responsibility and accountability.
- Delegate as much as possible where appropriate.
- Model new behaviours.
- Reduce the number of meetings relating specifically to change.
- Document any new procedures.
- Revise Job Descriptions and Performance Objectives.

The Seven Principles of Transition Management

You have to end before you begin.

Frequently people talk about what's about to begin and there is no mention of what has to end. No one can develop a new identity or a new purpose until he or she has let go of the old one. It is best to deal with endings realistically and help people gain closure on the past. They will move on more readily and take advantage of what the future has to offer if you do.

Between the ending and the new beginning, there is an hiatus.

In between letting go of the old way and taking hold of the new, there is a difficult journey through the wilderness or 'a time in between the trapezes'. This is a dangerous time when systems don't work well and people lose heart easily. People need to know that it is usual to go through a chaotic interim between letting go and taking hold again and that it's normal to be discouraged and confused by the experience. Build in temporary sources of support and ways that people can feel in control by being involved in decisions that affect them.

The hiatus can be a creative time.

The same forces that make the in-between time difficult, mean that the normal resistances to new ideas and new behaviours don't work well either. For that reason, the interim is a potentially creative time, when new things can be introduced more quickly and easily than usual. This can be a time to step back and take stock, to try new things and a time to view every problem as an opportunity to abandon outmoded ways and create more adaptive and effective ones.

Transition is developmental

What ends is often not just a particular situation but a whole chapter and stage of development in the organisation's life cycle. Behind the scenes, a new organisation is taking shape. This is easier to see in retrospect, but it's worth remembering at the time that there is a purpose to all the distress and disturbance. Assist people to see that the old way was fine for its' time, but a new chapter is needed for a new day. It is also very important for managers to publicly identify, protect and carry forward the parts of the past that are valuable and still viable.

Transition is also the source of renewal

The leap from one stage of development to another, like comparable leaps in nature, releases energy. That is why organisations so often come out of a painful crisis with new energy and a new focus. Renewal for individuals or groups comes from going through transition successfully, not in time away from the situation. Emphasise the need to re-prioritise as a way of unloading irrelevant policies and procedures. Discontinuing the old ways can be a release, especially if it is paired with an effort to clarify and celebrate the new mission, strategies and the new identity that the organization is growing into.

People go through transition at different speeds and in different ways.

People get strung out along the path of transition like runners in a marathon. The leaders who designed the change are often far out ahead. They had a head start; they feel more in control of their fate and probably aren't as personally affected as many of the rank and file. Some people are more resilient during change. Leaders understand these things and communicate in terms that make sense from where people presently are, not just where the leaders are.

Most organisations are running a transition deficit.

Many organisations don't give people a chance to complete the transition cycle. They think that they are saving time by hurrying people, but actually all they are doing is leaving people with still more unfinished business to carry along with them. Sooner or later the load will get too heavy, and some apparently small change will send the whole system into transition bankruptcy. To keep that from happening, slow down. Listen more and talk less. Investigate what old hurts and resentments may be getting in the way of people dealing directly with this transition. Do whatever you can to address them and lay them to rest. Build your case that this time will be different – and make sure it is!

The Timings of New Beginnings

Like any organic process, beginnings cannot be made to happen by a word or act. They happen when the timing of the transition process allows them to happen, just as flowers and fruit appear on a schedule that is natural and not subject to anyone's will. That is why it is so important to understand the transition process and where people are in it.

Only when you get into people's shoes and feel what they are feeling can you help them to manage their transition. More beginnings abort because they were not preceded by well-managed endings and neutral zones than for any other reason.

But if beginnings cannot be forced according to one's personal wishes, they can be encouraged, supported and reinforced. You cannot turn the key or flip the switch, but you can cultivate the ground and provide the nourishment. What you can do falls under four headings:

- You can explain the basic purpose behind the outcome you seek. People have to understand the logic of it before they turn their minds to work on it.
- You can put a picture of how the outcome will look and feel. People need to experience it imaginatively before they can give their hearts to it.
- You can lay out a step-by-step plan for phasing in the outcome. People need a clear idea of how they can get where they need to go.
- You can give each person a part to play in both the plan and the outcome itself. People need a tangible way to contribute and participate.

Checklist for Managing Endings:

Have I studied the change carefully and identified who is likely to lose what including what I myself am likely to lose?	Y/N
Do I understand the subjective realities of these losses to the people who experience them, even when they seem like over-reaction to me?	Y/N
Have I acknowledged these losses with sympathy?	Y/N
Have I permitted people to grieve and publicly expressed my own sense of loss?	Y/N
Have I found ways to compensate people for their losses?	Y/N
Am I giving people accurate information and doing it again and again?	Y/N
Have I defined clearly what is over and what isn't?	Y/N
Have I found ways to 'mark the ending'?	Y/N
Am I being careful not to denigrate the past but, when possible, to find ways to honour it?	Y/N
Have I made a plan for giving people a piece of the past to take with them?	Y/N
Have I made it clear how the ending we are making is necessary to protect the continuity of the organisation or conditions on which the organisation depends?	Y/N
Is the ending we are making big enough to get the job done in one step?	Y/N

Checklist for Managing the Neutral Zone:

Have I done my best to normalise the neutral zone by explaining it is an uncomfortable time which, with careful attention, can be turned to everyone's advantage?	Y/N
Have I redefined it by choosing a new and more affirmative metaphor with which to describe it?	Y/N
Have I reinforced that metaphor with training programmes, policy changes, and financial rewards for people to keep doing their jobs during the neutral zone	Y/N
Am I protecting people adequately from further changes?	Y/N
If I can't protect them, am I clustering those changes meaningfully?	Y/N
Have I created the temporary policies and procedures that we need to get us through the neutral zone?	Y/N
Have I set short-range goals and checkpoints/	Y/N
Have I set realistic output objectives?	Y/N
Have I found what special training programs we need to deal successfully with the neutral zone?	Y/N
Have I found ways to keep people feeling that they still belong to the organisation and are valued by our part of it? And have I taken care that perks and other forms of 'privilege' are not undermining the solidarity of the group?	Y/N
Do I have a means of gathering feedback during the time in the neutral zone?	Y/N
Are my people willing to experiment and take risks in intelligently conceived ventures – or are we punishing all failures?	Y/N
Have I stepped back and taken stock of how things are being done in my part of the organisation? (This is worth doing both for its own sake and as a visible model for others similar behaviour)	Y/N
Have I provided others with opportunities to do the same thing? Have I provided them with the resources – facilitators, survey instruments and so on – that will help them do that?	Y/N
Have I seen to it that people build their skills in creative thinking and innovation?	Y/N
Have I encouraged experiment and seen to it that people are not punished for failing in intelligent efforts that did not pan out?	Y/N
Have I set an example by brainstorming many answers to my old problems – the ones that people say you just have to live with? Am I encouraging others to do the same?	Y/N
Am I regularly checking to see that I am not pushing for certainty and closure where it would be more conducive to creativity to live a little longer with -uncertainty and questions?	Y/N
Am I using my time in the neutral zone as an opportunity to replace old systems with integrated systems?	Y/N

Checklist for Managing the New Beginnings:

Am I distinguishing in my own mind and in my expectations of others, between the start, which can happen on a planned schedule, and the beginning, which will not?	Y/N
Do I accept the fact that people are going to be ambivalent towards the beginning I am trying to bring about?	Y/N
Have I taken care of the ending(s) and the neutral zone, or am I trying to make a beginning happen before it possibly can?	Y/N
Have I clarified and communicated the purpose of (the idea behind) the change?	Y/N
Have I created an effective picture of the change and found ways to communicate it effectively?	Y/N
Have I created a plan for bringing people through the three phases of transition – and distinguished it in my own mind from the change management?	Y/N
Have I helped people to discover as soon as possible the part that they will play in the new system – or how the new system will affect the part they play within the organisation?	Y/N
Have I ensured that everyone has a part to play in the transition management process and that they understand that part?	Y/N
Have I checked to see that policies, procedures and priorities are consistent with the new beginning I am trying to make so that inconsistencies are not sending a mixed message?	Y/N
Am I watching my own actions carefully to be sure that I am effectively modelling the attitudes and behaviours I am asking others to develop?	Y/N
Have I found ways, financial and non financial, to reward people for becoming the new people I am calling upon them to become?	Y/N
Have I built into my plans some occasions for quick success to help people rebuild their self-confidence and to build the image of the transition as successful?	Y/N
Have I found ways to symbolise the new identity – organisational and personal – that is emerging from this period of transition?	Y/N
Have I given people a piece of the transition to keep as a reminder of the difficult and rewarding journey we all took together?	Y/N

References and Reading

Bridges, William (1998) **Leading Organizational Transitions**. Available online (URL: www.williambridges.com)

Jeffreys, J. S. (1995) **Coping with Workplace Change: Dealing with Loss and Grief**

Communication

"The most important thing is excellent communication and teamwork across the organisation everybody has to understand what the issues and the challenges are that it's not necessarily their job to deal with them or to manage them but at least they should know the kind of business they are in."

VC, Post '92 University

"I was sucked into the style of management at my previous institution because that was the way you survived and got things changed. There was not the need when I was there to have lengthy consultation with staff and get ownership on particular issues you just got on and did it. I think that style is something I would never want to get back to…"

Head of Support Department, Post '92 University

The larger the change the more important effective communication becomes. Our discussions with staff in a variety of institutions highlighted communication as one of the major barriers to the implementation of change. It is clear that there is often a mismatch between the views of senior management (who believe that they have effective systems in place and have used them appropriately) and staff on the ground who say they get ineffective and intermittent communication about important issues. To some extent a difference in views is to be expected, however, the gulf between them suggests that there are important issues here that need to be considered.

Some key points:

- Communication (providing information) is different from negotiation (agreeing ways forward and implying some give and take) which is different from consultation (exploring alternatives) – using the appropriate terminology is important in getting trust and commitment.
- Communicate constantly – communication is not a one-off event and don't wait until all the decisions have been made.
- Communicate honestly – staff will soon see through lies and obfuscation.
- Communication is a two-way process both to check for understanding and to hear of problems and issues that might arise from implementation. Make sure you have appropriate feedback mechanisms.
- Better communication does not just mean speaking 'louder' (providing more newsletters, emails, etc.) but using a variety of forms of communication more effectively.
- Staff rarely have time to read written communication – and find it difficult to absorb complex information via this medium. Make sure written communication is short and comprehensible.
- Diagrams and visual representations can be helpful aids.
- Avoid complex language and the use of words and acronyms which some may not understand.

- Communicating both the nature of change and the reasons for change are important.
- For major projects consider some form of branding.
- Remember that the most effective way to communicate is to talk directly to those most involved – get out and about.

We'd prefer someone who walked about more and talked to us – emails are impersonal.

Focus group of administrative staff commenting on senior management 'style'. ESRC report.

Every day there's mail, every day there are requests … they seem to often want to gather information which I suspect or indeed know that I have given them already in some other form. We don't have a proper management information system in this university. I keep being told we're going to have one, but we haven't got one, so that's a problem. Bits of the bureaucracy bothering me for forms to fill in or working parties to attend or whatever, you know.

HoD post-'92 University, ESRC report.

There are many different ways of communicating and each has its role to play in supporting change. The secret is not to over rely on any one particular mode but use each when most appropriate.

Mode	**Advantages**	**Disadvantages**
Email	Quick	Needs to be short.
	Can target groups of staff or provide information to all	Some staff may not have access
		Email fatigue may mean that some staff don't open them
Intranet	Can act as a reference source which can be readily updated as things change	Staff may not visit regularly
Newsletter	Can be made accessible to most.	Resource intensive
	Acts as a reference source	
	Can be 'branded' to the change	
Institutional publications, newspapers, etc.	Ready distribution route	Readership broad but not all may read.
Team meetings	Good way of communicating top-down and bottom-up	Systems not always in place

Senior management written briefing	Shows senior management support	Not always read (or believed) One-way communication.
Open-meetings	Provides for two-way communication	Takes time

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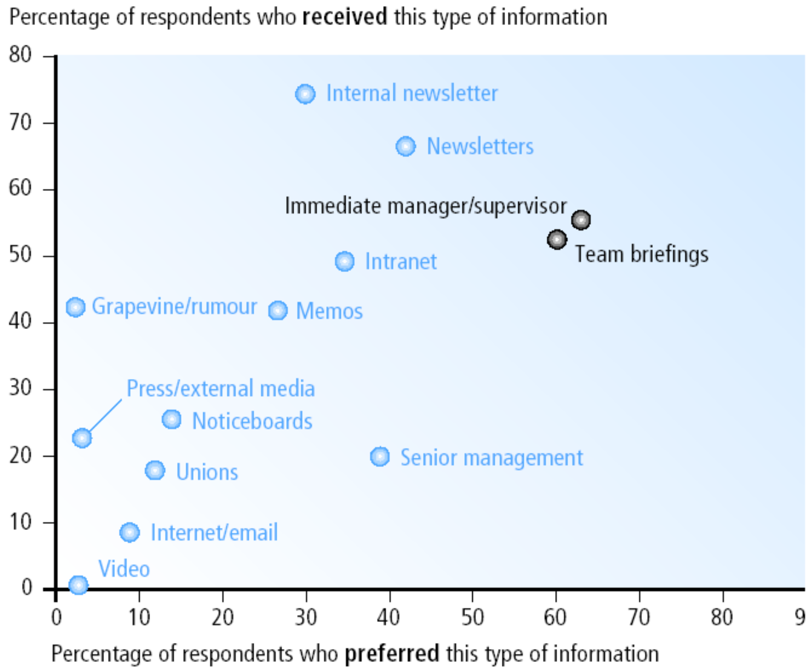
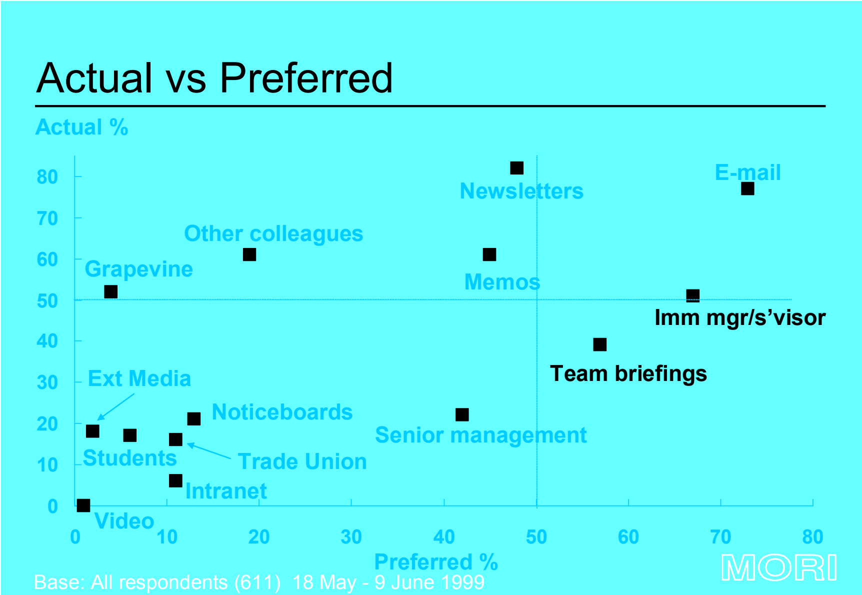


Source: MORI (Sharing A Vision, 2000) Question: Here is a list of ways of getting information. How do you receive information and how would you prefer to receive information?

Similar findings were identified in a MORI survey of a post-'92 HEI although the difference in the position of email is notable and may reflect the relative newness of this form of communication at the time when the survey was carried out in the HEI.



"We underestimated the complexity and I think what we would have to do in the future is be much clearer about designing communication approaches for every element of the organisation. So, in other words, a bespoke approach for the Business School which would be marginally different to the Law School because the relation and structure, the personalities, the business agenda and so on are slightly different. The way you talk with people and work them through the issues has to be sensitive to that and we wildly underestimated that issue.

Senior Manager, Pre '92 University,

William Bridges has identified some of the common reasons given for not communicating during the change process – and why they are false.

They don't need to know yet. We'll tell them when the time comes. It'll just upset them now.	For every week that you avoid by hiding the truth, you gain a month of bitterness and mistrust. Besides, the grapevine already has the news, so don't imagine the information is secret.
They already know. We announced it.	OK, you told them but it didn't sink in. Threatening information is absorbed remarkably slowly. Say it again and find different ways to say it and different media.
I told the supervisors/managers. It's their job to tell the rank and file.	The supervisors are likely to be in transition themselves, and they may not even sufficiently understand the information to convey it accurately. Maybe they're still in denial. Information is power, so they may not want to share it yet. Don't assume that information trickles down through the organizational strata reliably or in a timely fashion.
We don't know all the details yet ourselves so there's no point in saying anything until everything is decided.	In the meantime people can get more frightened and resentful. Much better to say what you do know, say that you don't know more and provide a timetable for additional

more and provide a timetable for additional information. If information isn't available when promised don't forget to say something to show that you haven't forgotten your promise.

We have provided two tools to assist with thinking about communication issues:

<u>One big happy family</u> –looks at the big picture and how to plan an internal communications strategy (with thanks to Peter Slee and Eleanor Harwood).

<u>The elevator speech</u> –looks at how to communicate the aims of the change in a short, succinct and consistent manner.

One Big Happy Family: how to plan an Internal Communications Strategy

Position	Scale	Suitability	Tool Before	Tool After
-	Large Scale	Individual, Team	-	-

Our thanks go to:

Dr Eleanor Harwood, Head of Internal Communications, University of Durham

and

Dr Peter Slee, Pro-Vice Chancellor (Student and Staff Affairs) Northumbria University

For providing this tool.

Topics covered in this section:

- the strategic importance of internal communications
- a simple model to help manage the process of effective internal communication

We have sub-divided the text into four sections:

- defining internal communications
- the strategic importance of internal communications
- Integrating internal communications (how to make internal communications strategy a natural part of everyday working life, rather than a "bolt-on")
- a worked example of strategic internal communications in practice

Section 1: Defining Internal Communications

At first sight, this may seem like an academic exercise. But it is important, because if you have to manage internal communications, then you need to be absolutely clear what it is you are responsible for.

The classic 'encompassing' definition of 'communications' comes from the Encyclopaedia Brittanica:

'Who says what to whom via what channels and with what effect'

Let us take this definition and break it down a little further.

'who' is shorthand for the people who are communicating

'what' is the content of their communications ‘whom’ covers the audiences to whom they are communicating

‘channels’ are the media and techniques they use

‘effect’ is the impact (usually measured in terms of a desired change of behaviour) of the communication upon its intended audience.

Using this shorthand, try drawing a high-level map of who says what to whom via what channels and to what effect in your university:

Who	**What**	**Whom**	**Channels**	**Effect**
e.g. management academic staff admin staff students unions	e.g. objectives teaching marketing research rules policies results reputation	e.g. heads of departments students academics admin unions	e.g. teaching research web e-mail meetings letters reports gossip noticeboards buildings	e.g. improved service knowledge transfer compliance ownership shared understanding

Most headings can be broken down into sub-categories. There are, for instance, full-time and part-time students who might also be: undergraduates, postgraduates, distance or work-based learners; men or women; home or international; and all studying hundreds of different programmes. Whichever way you decide to draw up your categories, you are likely to arrive at three simple conclusions.

First, internal communication is integral to almost everything an institution does.

Second, internal communications is therefore huge and complex.

Third, because of this breadth and complexity, effective internal communications is a major management challenge.

Section 2: Why is Internal Communications a Strategic Issue?

The strategic importance of internal communications springs from two roots.

First, **higher education is a people business**. Whether you believe your university is a highly functioning democracy, or a jungle filled with hostile tribes, one thing is clear. Nothing happens or changes in HE unless people make it happen or change it. Fundamentally, no higher education strategy is feasible – or credible – without a plan to engage people in its delivery. What every member of staff wants to know is very simple. What is the meaning and value of what I am being asked to do? Where is the information I need to help me to do it? And how are we doing as an enterprise?

Second, **clarity begins at home**. Have another look at the 'who says what to whom' matrix. Now try completing it in with *external* communications in mind. It does not take long to come to the conclusion that external communications are so complex they cannot be controlled centrally. Why? Because perhaps as much as 90% of what is communicated is informal and off the record. To be effective external communications must be based on clear and consistent messages which are assimilated and distributed through informal channels. In short, if staff understand consistently what their institution stands for, where it is heading, how it is doing, what their role is, and where they get the information they need to do their job effectively, then external communications will improve. In short, effective external communication begins with effective internal communication.

Section 3: Integrating Communications

Internal communications have a potentially huge strategic value. So how do we make sure they make a commensurate strategic impact? The answer is to plan them. There are two ways of doing this.

The first is to begin with the matrix you built earlier. If you spend long enough in the analysis you will be able to map a comprehensive road network of all the communication lines in your university. In our experience this will take you a month of hard detective work. And it will be wasted effort. Because, although you will now recognise the full enormity of the management task, you will not know where to begin it.

We recommend you try the second method. Start at the end of the communications process by understanding what it is you want to achieve. To help you do this you will need three 'prompts' – all readily available at University level, namely:

(1) **strategic plan**
(2) **operational plans**
(3) **structural plan**

or **SOS** for short.

You can use SOS as follows:

Strategic Plan. To manage communications we need to create priorities. Your strategic plan will do this. Strategy is nothing if not informed choice. If we take the communications map we explored earlier, and imagine the lines of communication as roads, then your strategic plan immediately grades the roads. Some of these roads, perhaps those by which the strategy has already been developed, shared and communicated, will become motorways which require regular monitoring, repair and upgrading. Others, which are incidental to the main strategic routes, may become B roads or eventually dirt tracks which see little traffic and therefore may be maintained locally.

Operational Planning turns strategic objectives into action. It also helps make sense of individual activities by placing them within a wider strategic context. Strategic plans tell us what the future might look like. Operational planning tells us what we have to do to realise it, and therefore what detailed communications are required. To continue our analogy – if strategic planning grades the road network, then operational planning is the route master that determines traffic flows.

Organisational (or Community) Structure influences the way things are done. In the context of our model, it is the highway code. Internal communication always works better when it travels down well -worn paths. Why? Because people pick up signals more readily when messages appear in a familiar context.

Section 4: Communications Planning in Action: A Worked Example

In the following example, we can see how internal communications can be used to help develop and deliver three critical success factors: first openness to strategic change, second, improving job specific communications, and third, in developing a keen sense of being part of a worthwhile enterprise.

Strategic Change

The University of Durham's strategy is to become one of the UK's top 10 research universities by 2007. The University's strategy for the 2001 Research Assessment Exercise was that all its Units of Assessment achieve grade 4 or above. Part of that Strategy was to raise levels of research income, and to broaden the funding base. An internal communications plan was prepared to facilitate this strategic objective. The plan had four stages. The first was to set out a clear **proposal** for improving research income generation, by establishing. A new central support service to work with academics to increase their research capacity. The focus would be on securing additional resources from a wider variety of funding bodies.

Setting up this service required investment, and the University's senior management team wanted to ensure that its assessment of what was required was shared and supported by the intended beneficiaries. The second phase of the plan was to conduct a consultation exercise. Face-to-face discussions were held with heads of academic departments to discuss both the strategic issues, and the practical proposal to establish a research office. Heads of departments agreed that specialist expertise would be required to help academic staff search out new sources of research funding. A dedicated team could provide a valuable service through researching funding sources, disseminating relevant information in a timely manner and assisting with the preparation of applications for funds.

Stage three of the internal communications process was to produce a **revised proposal**, taking account of the comments made by departments, who were then invited to provide feedback on it. This fourth, **feedback** stage helped ensure that the final proposal, which passed through the University Committee structure, had the support and understanding of all senior staff. By investing time in the consultation phase the proposal was more robust than the original and the University committees responsible for strategy and allocation of resource were confident in endorsing the proposal. The strategy was adopted and the new research support service was established.

Job-related Communications

Internal communications planning played a key part in helping the new research team to deliver an effective service to academic staff. The Office launch was publicised in the University newsletter and web site. The team were supported in planning and delivering their own communications through development of key contacts, e-mail lists, web-sites, and access to University wide publicity networks.

Developing a sense of Community

The office quickly became established and helped achieve a significant increase in application rates, the proportion of successful bids, and the amount of income generated. The new team were supported in ensuring that new grants were listed in *News* the staff newsletter and on the weekly on-line news bulletin. Research articles in *News* and the University magazine, *Durham First* highlighted the most significant achievements. The Vice-Chancellor announced key successes at every meeting of Senate and Council. An annual research dinner was established to celebrate the achievements of all major recipients of grants and awards. This is all intended to help develop the University's strong research culture.

Planning the Campaign

Using our matrix, the communications in this example are mapped as follows:

Who	What	Whom	Channels	Effect
Senior Management Team (SMT)	Research office outline proposal	Heads of Departments	Face-to-face meetings	Develop understanding of issues
SMT	Revised proposal	Heads of Departments	Letter detailing proposal	
Heads of Departments	Feedback on revised proposal	SMT	Memo/e-mail/phone	Robust proposal developed
SMT	Detailed proposal	Decision-making committees	Meeting	Proposal adopted
Internal Communications (IC) team	News about the decision and the new service	All staff	Newsletter/on-line news bulletin	Raise awareness of new service
New Research Support Team (RST)	Information about funding opportunities	Research staff/groups	E-mail lists/ website/ face-to-face briefings	Increased rate of application for funds
	Details of successes	IC team	E-mail/ phone/ meetings	
IC team	Details of successes	All Staff	On-line news bulletin/ newsletter	Celebrate success and contribute to research culture
Vice-Chancellor (briefed by IC teams or RST)	Details of successes	Members of Senate and Council	Committee meetings	

The Elevator Speech

Position	Scale	Suitability	Tool before	Tool after
Communication	Large scale	Team		

Purpose

The elevator (lift if you prefer) speech provides a change team with a concise and consistent description of the change initiative. As the name suggests, if you were getting in a lift with someone and had to explain what you (or your project) were doing in the space of 30 seconds – could you get your key message across?

Variations can focus on the written word – write the key message in no more than 30 words.

Not a tool to be used in all areas of HE – but it can be useful particularly in support areas or for major initiatives.

Process

Ask participants (individuals or teams) to describe the change initiative in no more than 30 seconds.

Concentrate on:

- Why is this change necessary?
- Why is it important?
- What is the future after the change?
- What needs to change?
- Who will it benefit?
- What is needed from us for the change to happen?

Write the key messages on a flip chart and incorporate key messages into a team/department/faculty ‘elevator speech’. Provide everyone with a written version of the final ‘speech’.

Use the ‘elevator speech’ every time you need to describe the change initiative.

Case Study - Seeing Change from The Staff View Point

The problem

An FHEI (the Institution) was wrestling with some severe financial problems. Budgets were being cut, staff not being replaced, equipment not renewed, and maintenance and repairs were being postponed. Staff were under strain because of additional workloads, and some were concerned about possibly being made redundant.

Towards the end of the Funding Council's financial year, some extra funds were allocated to the Institution for minor works and maintenance, to be spent (as usual) by the end of the financial year.

The action

The Management Team decided to spend part of this allocation on replacing carpeting, some which was threadbare and which staff were complaining was a Health and Safety risk. Management felt this would produce benefits both in terms of health and safety, and in symbolising that they did indeed care for the staff, despite the difficult circumstances.

Accordingly, during the Easter vacation, some of the classroom carpets were replaced, along with all carpets in the staff offices. After the break when staff returned, they were pleased, initially, and support staff continued that way. But the academic staff were soon up in arms and quite scathing about the management over what had happened:

"They are telling us to cut costs all the time, so why are they spending money on this?"

"Three weeks before Easter, I had the tough job of telling two of the part-time lecturers in my team, not to come back after the vacation. They've lost their jobs after four years, and I've now got their job to do as well. Instead, the Management are spending their salaries on carpets!"

"Don't Estates realise the cuts that we have been having to go through. It's all right for them!"

"Does the Management know anything about what goes on in the classroom?"

"Why is it we get new carpets, but our PC is obsolete, and it takes three weeks to fix it when it goes wrong, which it does frequently?"

The lessons of change

The problem was there was no consultation, no communication, no appreciation of staff sensitivity, and Management not appreciating that many staff perceived it to be out of touch with the problems at the sharp end.

Funding Councils will always have money at short notice; it is still the way of life in the public sector. But what might have been rather different is how the Institution handled the situation.

- Given the overall tense situation, the Management should have been more on the ball generally about staff concerns – maybe more MBWA (Management by Walking About) to maintain morale, and to keep the dialogue going with staff.
- Management could have made more effort generally to see the overall picture through staff eyes, and to co-ordinate its actions accordingly, so as not to be wrong footed.
- If it had communicated in advance, explicitly the proposals relating to the use of the windfall funds for Estates, it probably might have been OK with the staff.

Even better, if the Management had consulted the staff about the possibility of the funds, and asked them for their suggestions as to what best to do with them, rather than it being perceived as 'yet another own goal', it would probably have given itself a win/win situation.

Case Study provided by Geoff King, independent consultant, see www.configurestrategicchange.com

Risk Management

> "We used two key tools, one was the project board considered on a monthly basis a risk register so that there was reporting and management of key risks and we used an independent capability to review that register and the independent auditor. We also used an external audit capability to conduct health checks from time to time over the course of the project to give us another independent view how successful was all of this, like most pubic sector organisations unlike private sector organisations where the latter focus on really key risks, you know two or three big ones, what tends to happen in the public sector is you end up with 38 key risks and no one can manage 38 risks"
>
> **Senior Manager, Pre '92 University**

There is a risk associated with any change. Risk management covers all the processes involved in identifying, assessing and judging risks, assigning ownership, taking actions to mitigate or anticipate them, and monitoring and reviewing progress. Good risk management helps reduce hazard, and builds confidence to innovate.

Essentially risk management involves a number of stages:

- Identifying the risks;
- Assessing the severity of the risk;
- Identifying the factors which contribute to the risk;
- Identifying mitigating actions; and
- Undertaking mitigating actions.

Depending on the size of the change there may be a requirement for a formal risk analysis to be undertaken. Institutions will have their own requirements which will need to be met and guidance should be available within your institution as to how this can be effectively undertaken.

External sources of advice are also available. Hefce provide guidance on risk management and this can be found at www.hefce.ac.uk/GoodPrac/risk/ and you can also register with the Public Sector Benchmarking Service at www.benchmarking.gov.uk and consult their resources on risk management.

The following checklist is adapted from government guidance and indicate issues that might need to be addressed in any risk assessment of a change initiative. (adapted from http://www.hm-treasury.gov.uk/Documents/Public_Spending_and_Services/Risk/pss_risk_index.cfm)

Risk Assessment Questionnaire

Context for risk management

☐ Is the context in which risk is managed identified by considering the issues of stakeholders, students, suppliers, partners, suppliers etc.

Risk identification and evaluation

☐ Is there documentation which:

☐ Records identified risks and opportunities in a structured way to:

- record dependencies between risks?
- record linkages between lower level risks and higher-level risks?
- identify key risks?
- facilitate assignment of ownership at a level that has authority to assign resources to the management of the relevant risk?

☐ Evaluates risks using defined criteria that are applied consistently?

☐ Provides evaluation of inherent risk (before any control implemented) and residual risk (risk remaining after planned controls are implemented)?

☐ Evaluates risk taking account of both:

- the likelihood of the realisation of the risk, and
- the impact of the realisation of the risk?

☐ Identifies assigned ownership of the risk?

☐ Records, in as far as it can be defined:

- the acceptable level of exposure in relation to each risk?
- why it is considered that the defined acceptable level of exposure can be justified?

☐ Are early warning indicators in place covering for example, quality of service or seasonal increase in demand not being met to alert senior management of potential problems in service delivery or that the risk of planned outcomes not being met is increasing?

☐ Is horizon scanning used to spot emerging threats and opportunities?

Criteria for evaluation of risk

☐ Do specific criteria for evaluating risk encompass a range of factors, including:

- Financial/value-for-money issues?
- Service delivery/quality of service issues?
- Reversibility or otherwise of realisation of the risk?
- The quality or reliability of evidence surrounding the risk?
- The impact of the risk on the organisation/stakeholders/students/others?

☐ Are these criteria applied consistently and methodically across the whole range of risks?

Risk control mechanisms

☐ Are controls in place in relation to each risk which are:

- Based on active consideration of the options for controlling that risk to an acceptable level of residual exposure?
- Promulgated to all those who need to know about the controls?
- Regularly reviewed to consider whether they continue to be effective?
- Documented by the relevant managers?

☐ Are reliable contingency arrangements in place so that if problems arise services will be maintained and the adverse impact on key programme outcomes such as late delivery or reduced quality will be minimised?

Review and assurance mechanisms

☐ Are review and assurance mechanisms in place to ensure that each level of management, including the Board, regularly reviews the risks and controls for which it is responsible?

- Are these reviews monitored by/reported to the next level of management?
- Is any need to change priorities or controls clearly recorded and either actioned or reported to those with authority to take action?

☐ Are lessons that can be learned from both successes and failures identified and promulgated to those who can gain from them?

☐ Is an appropriate level of independent assurance provided on the whole process of risk identification, evaluation and control?

- Is the methodology for gaining independent assurance defined with particular reference to the role of internal audit and to the role of any other review bodies working within the organisation?
- Has any system of peer review been used?

Communications

☐ Are there adequate means of communicating with staff about risk issues?

☐ Is there adequate communication with stakeholders?

☐ Are the principles of communicating on risk being implemented fully?

☐ Are trusted sources used to communicate risk?

☐ Is there a reliable communications strategy in place so that if risks mature those most affected by the potential adverse consequences fully understand and have confidence in the remedial action that the organisation may need to take?

Legal Issues

Whilst many changes do not have legal implications, where there are changes in job roles or potential redundancy then legal factors need to be taken into account. This section highlights some of the areas to be considered but institutional HR, Personnel or legal departments should be consulted to provide more detailed advice and guidance.

Changes to job descriptions

- Minor changes to job descriptions should be discussed and agreed with individual members of staff.
- Consultation on these changes is the ideal way forward, however in some cases there may be some resistance.
- It might be useful to explain to the employee the need for the change and assure them that they will receive support/training to cope with the proposed change.

If this is not successful it may be necessary to apply the process described below:

- For major changes to job descriptions it will be necessary to consult with employee's concerned as well as their trade union representatives.
- If agreement regarding the changes cannot be reached, organisations do have the option by giving employees notice of the intention to make the changes (90 days) and impose the changes needed. This however means that the employee subject to the change will be in a redundancy situation (see below).

Organisational change leading to redundancy

If an organisation is considering change which may involve roles becoming redundant, or in cases described above which involves a major change to job descriptions the following process should be followed:

- There is a legal requirement to issue a S.188 notice. This is a legal document that informs the DTI of an organisation's intention to make staff redundant. (Please check the DTI website http://www.dti.gov.uk/er/redundancy.htm for further information regarding this process).

- Dependant upon numbers, there is also a legal requirement to have a statutory consultation period with staff affected by the proposed redundancies and their representatives. Statutory consultation periods are 30 days for less than 100 staff and 90 days for more than 100.

- Consultation must be meaningful, the purpose is to look at ways to avoid redundancies; consultation criteria for the selection of staff for redundancy; consult on redundancy packages.

- Consultation should be with the recognised trade unions, or individuals or elected representatives of the workforce.

- If redundancies are considered, if possible, it is good practice to trawl the workforce in order to establish if there are any volunteers, before moving to compulsory redundancy.

- Redeployment opportunities should be explored, and a process established for moving staff into such opportunities in a fair and consistent manner.

- If considering redeployment, consideration should be given as to whether the opportunity represents an alternative or suitable alternative offer.

- If an alternative offer, an employee could refuse the offer of redeployment, they will then become entitled to a redundancy payment and leave the organisation.

- If a suitable alternative, a refusal would result in an employee leaving an organisation but they will have no right to a redundancy payment.

- It is good practice to attach a short probationary period to redeployment posts. This will ensure that the employee is a best possible fit for a redeployment post and more importantly, will give the employee the opportunity to determine if the post is right for them.

- If at the end of the probationary period it is agreed that it is not a good fit, the employee could leave the organisation with a redundancy payment.

- A number of employment based situations could give rise to a redundancy situation. For example, changes in the way roles are carried out; re-evaluation of job descriptions outsourcing/TUPE transfers; amalgamation of roles that form new roles etc.

Consultation.

- Consultation is a key point of any change process. There is a legal requirement to consult in employment situations so failure to do so could result in financial penalties being levied against an organisation. Note that the legal requirement is to consult and not to agree!

- Consultation should ideally be with trade union representatives, however, there is also an obligation to consult with individuals. Processes should be set up to ensure that all staff concerned are given the opportunity to be consulted.

- Paying lip service to consultation will not be acceptable, remember consultation must be meaningful!

Not many HEIs have formal policies covering reorganisation, yet is a growing issue. We have included here a policy drawn from local government which institutions seeking to develop such a policy might use as a starting point.

North Hertfordshire District Council policies

Reorganisation

Purpose and Scope

North Hertfordshire District Council must continually strive to ensure that it is offering a best value service to its customers. Advances in technology and changes to service requirements will ultimately lead to changes in the structure of the council. This policy is designed to enable managers to facilitate the process professionally and support employees through what is likley to be a very stressful time.

HR should be consulted at the earliest opportunity if any reorganisation is being considered.

Applicable to:
ALL ( ) Non-management (X) Management (X) Members ( )

Policy

Group Consultation

The Staff Consultation Forum (SCF) which represents Council employees will be consulted on all proposals for change at the *earliest* opportunity. At the first meeting, consideration should be given to whether one of the SCF representatives is among the affected staff. If they are not, affected staff should be given the opportunity to elect one of themselves to serve on the SCF until the reorganisation is complete. A ballot would be held in accordance with the SCF policy. Joint discussions should continue as the proposals are developed and should include:

- **Reasons for proposed changes**
- **Organisation charts (including numbers and roles of staff affected)**
- **Grades and salaries**
- **Proposed methods of selection**
- **Suggestions for limiting the number of redundancies**
- **Calculation of non-statutory redundancy pay**
- **Accommodation**
- **Support available**
- **Training**
- **Time-scales**

Minutes should be kept of all the meetings, Management are required to listen, consider and reply to responses and suggestions. Group consultation must start at least 30 days before notice of the first redundancy is served where 20-99 employees are affected. A minimum of 90 days notice is required when 100 employees or more are affected. The Council will strive to exceed the statutory legal minimum consultation periods.

It is the responsibility of HR to ensure that the Department of Trade and Industry form HR1 is completed and returned if 20 or more staff are affected.

Full-time union representatives from UNISON and GMB should be advised of the proposals in writing once the final structure has been agreed regardless of the numbers affected.

Measures to reduce compulsory redundancies.

A range of measures will be looked at to minimise the potential number of redundancies where there is the possibility of a reduction in the number of posts. Consideration will be given to the following alternative options.

- Imposing an immediate ban on non-essential recruitment.
- Redeployment or retraining of affected employees.
- **Restricting the use of outside agencies and the employment of contractors and temporary staff.**
- **Reducing any overtime working within the section.**
- **Short-time working or job sharing.**
- **Offering early retirement, or voluntary redundancy.**
- **Implementing compulsory retirement for any employees who are over the Council's normal retiring age.**

Individual Consultation

Individuals who are likely to be directly affected by the proposals should be consulted with on an individual basis at the earliest opportunity. At all meetings, the individual is entitled to have a work colleague or Trade Union representative present. The discussions should cover the same material as the group consultation meetings. Individuals should be asked for any suggestions and these should be considered before a response is made. As a minimum, individuals should be offered the following meetings:

1. **Introduce the reorganisation, reasons and proposed methodology**
2. **Discuss the options available and any alternative jobs that the individual may wish to be considered for**
3. **Confirmation of the outcome of the selection procedure**
4. **Follow-up meeting for any further questions**

Individuals should be reminded of the Corecare facility and offered more meetings if they request them.

Pregnant and Long-term Absent Staff

Employees who are pregnant or on a long-term absence (e.g. maternity, secondement, sick, unpaid leave etc.) from the affected department during the reorganisation should be treated no differently to any other employees. Long term absent individuals should be notified about the reorganisation and consulted with unless they specifically state they do not wish to be participate. If an individual on maternity leave does not wish to participate, they will be treated as seeking voluntary redundancy. Every effort should be made to accommodate those on long term absence leave regarding individual consultation and selection e.g. evening meetings if required.

Application Process

Individuals at risk of redundancy will be advised of the new roles available (including job descriptions, person specifications and grades). New roles are those that are significantly changed and undergo job evaluation. The individuals will then have to decide which vacancies they wish to apply for. A simplified version of the application form will be used and individuals will be able to advise if their preference is for voluntary redundancy or one of the new roles. This will not give the employee any guarantee that they will receive their preference. It will however help to inform the process and ensure that employee preferences are considered. There will be a closing date for applications as with other recruitment exercises and then a selection exercise will be undertaken (the exact nature of this will have been agreed with the SCF).

Selection for New Roles or Redundancy & Measures to Reduce Compulsory Redundancies

It is especially important to ensure that the balance of skills and experience within the

remaining workforce is appropriate to the Council's future needs.
The Council will do all it can to reach an acceptable arrangement with employees potentially affected by redundancy. During the selection process, employees may be offered one of their preferred job roles. Where an employee is offered a role that is not a preference but has a significant match (i.e. 70% or more) to their current role, redundancy will not be an option. Particular attention must be paid to job share individuals to ensure their job share is preserved if they have stated this is their preference. The appropriate Director should make the final decision on those employees to be selected for redundancy. Where early retirement is also to be considered, the Early Severance Board should approve the payments. All decisions should be notified to individuals in writing.

The following factors (In order of importance) will be considered when selecting employees for new posts:

1. Skills / experience of employees in comparison with the specific skills/experience required for the new/remaining posts. (This stage will require a detailed analysis of the specific skills required for the job and must be properly documented).

2. Work performance
Objective examination of employee performance will be taken into account with reference to employee's appraisal records.

3. Attendance or Disciplinary Record
Employees who have current sanctions under the Managing Misconduct Procedure or the Short-term Absence Management procedure may have this used as a basis for redundancy selection

4. Length of Service
An employee's length of continuous local government service will be taken into account.

Appeals
Employees will have the right of appeal against selection for a significantly matched post or compulsory redundancy to the Chief Executive. Appeals should be made in writing within 10 working days of being advised of the decision and be given to the line manager. Appeal hearings should be conducted within 10 working days of the written appeal being received. At an appeal hearing the employee may be accompanied by a colleague, or a trade union representative. The decision of the appeal will be final. If the appeal is successful, the individual will be appointed to their preferred job and an additional post will be created until one of the post holders leaves the post.

Notice period for staff
No notice is required for staff who have less than 4 weeks service. The Council will give 4 weeks notice to all staff with up to 5 years service. For every complete year after 4 years, an additional weeks notice will be paid up to a total maximum of 12 weeks for those with 12 years service or longer.

Calculation of redundancy pay
The Payroll department will calculate the redundancy payment due. The payment is linked to age and length of service. An individual must have been continuously employed for 2 years to qualify.

Job Trials
Where an individual is not successful in gaining their choice of job and is not offered a significantly matched post, they may be offered a trial in an alternative position as part

of the reorganisation. The trial must be offered before the redundancy notice period expires. In this case, the manager and employee have 4 weeks to ascertain whether the individual is suitable for the role. Either party can, at any time during the 4 weeks, decide that the trial has not worked and the individual may seek an alternative role or be made redundant. In this event, the last day of service will be date on which the original contract would have terminated.

Job Search
Individuals who have been given notice of redundancy will be sent a personal copy of Job Search during their notice period. If they find an alternative position they wish to apply for, they will be be treated as any other applicants but will be guaranteed an interview if they meet the essential criteria on the person specification.

Outplacement
Employees who have been given notice of redundancy, will be allowed reasonable time off from work with pay to look for other work or to arrange for training for future employment.
The Council will make every effort to assist employees in finding alternative employment or gain access to training opportunities. Advice may be provided to employees on how to complete application forms, or prepare CV's, how to present themselves at job interviews and how to search for suitable vacancies.
Where an employee finds alternative employment and wishes to leave the Council before the end of their notice period, every effort will be made to enable the individual to leave early with their full redundancy pay. In this case, the last day of service for redundancy calculation purposes will be when the employee's counter notice expires. It should be noted, however, that in some instances it may not be possible to allow the employee to leave early if there is a requirement to provide a service to the public that cannot be provided by an alternative means.

Misconduct during notice period
Any misconduct during the notice period will be dealt with using the Managing Misconduct policy. Employees who are found to have committed gross misconduct will be summarily dismissed and will forfeit their redundancy pay.

Protection of Earnings
Where an individual is offered a role in a lesser grade full salary protection will be given for one year. After this, the salary difference will be reduced by a third each year. After three years the actual grade will apply. Staff with a lease car will continue to receive the benefit until the lease expires. After this, they will receive the lease car (if any) appropriate to their new role. Private health care provision will be retained for three years. Annual leave will not be reduced.

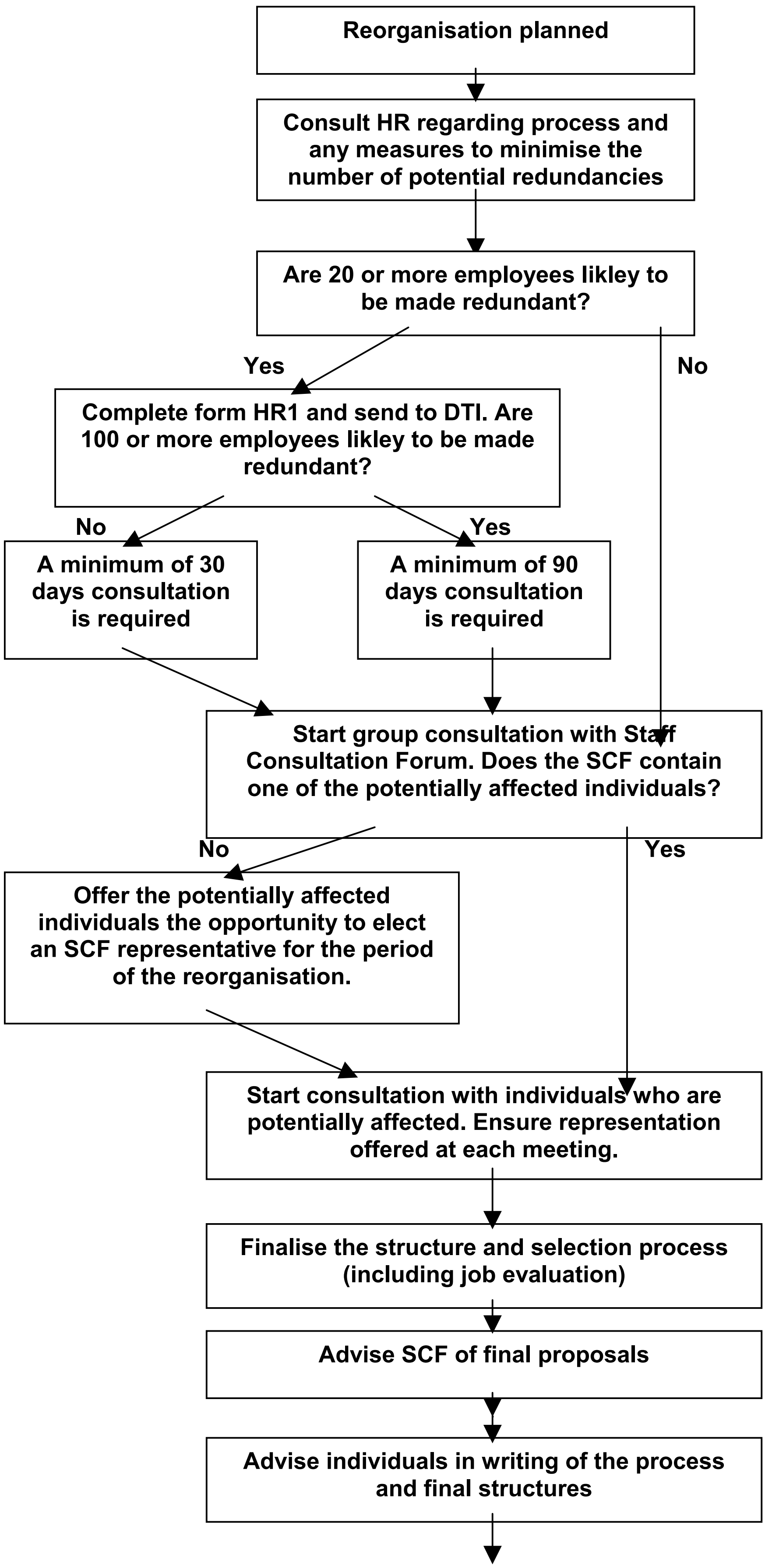
Links to relevant information:

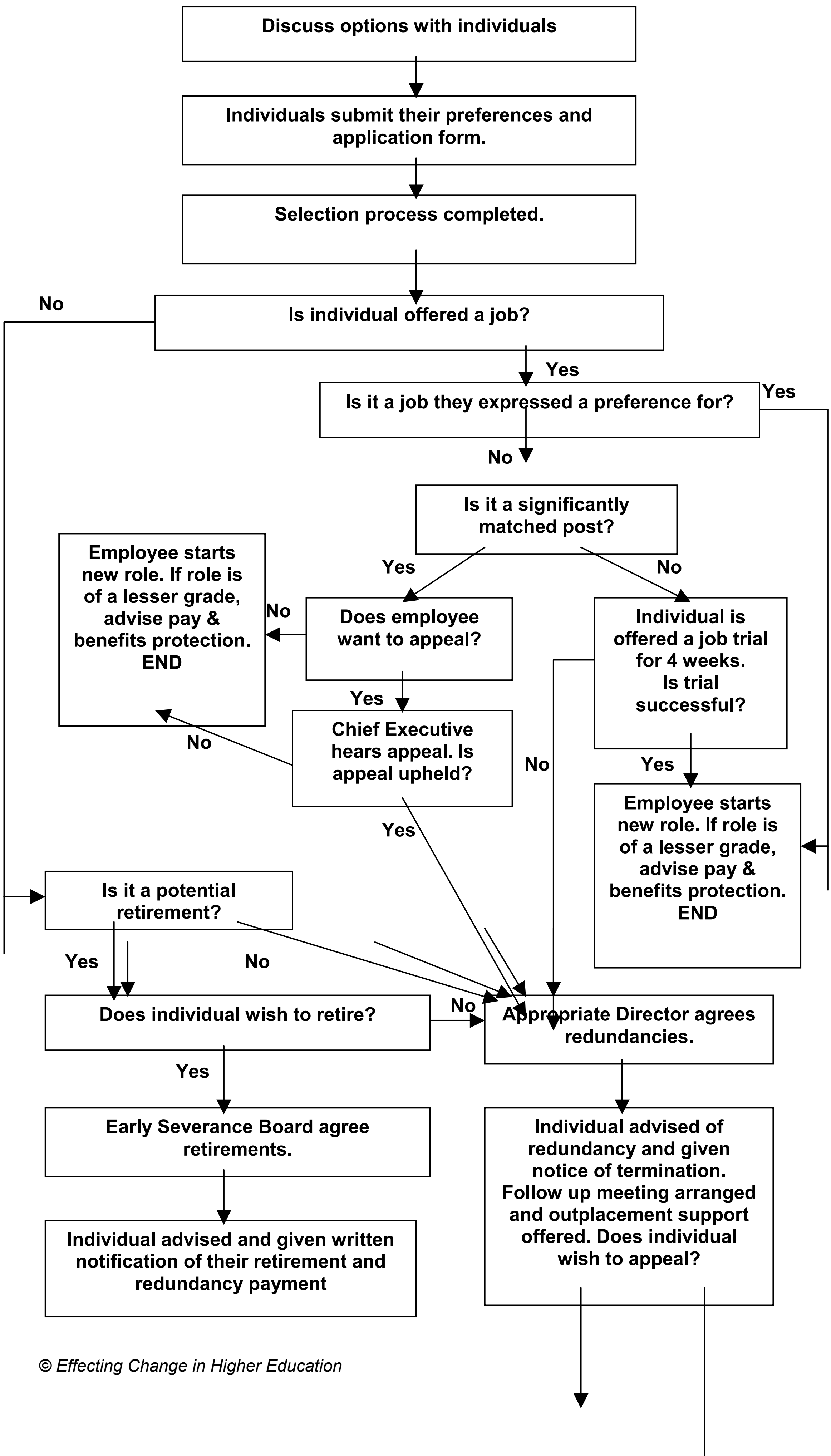
Policies:
Staff Consultation Forum
Trade Union Facilities & Recognition Agreement
Employment Law:
Trade Union & Labour Relations (Consolidation) Act 1992
Collective Redundancies and Transfer of Undertakings (Protection of Employment) (Amendment) Regulations 1999
Employment Rights Act 1996
Other**:**
DTI – Form HR1
Compensation, Severance & Redundancy Payments – Employers Organisation

For further advice contact :

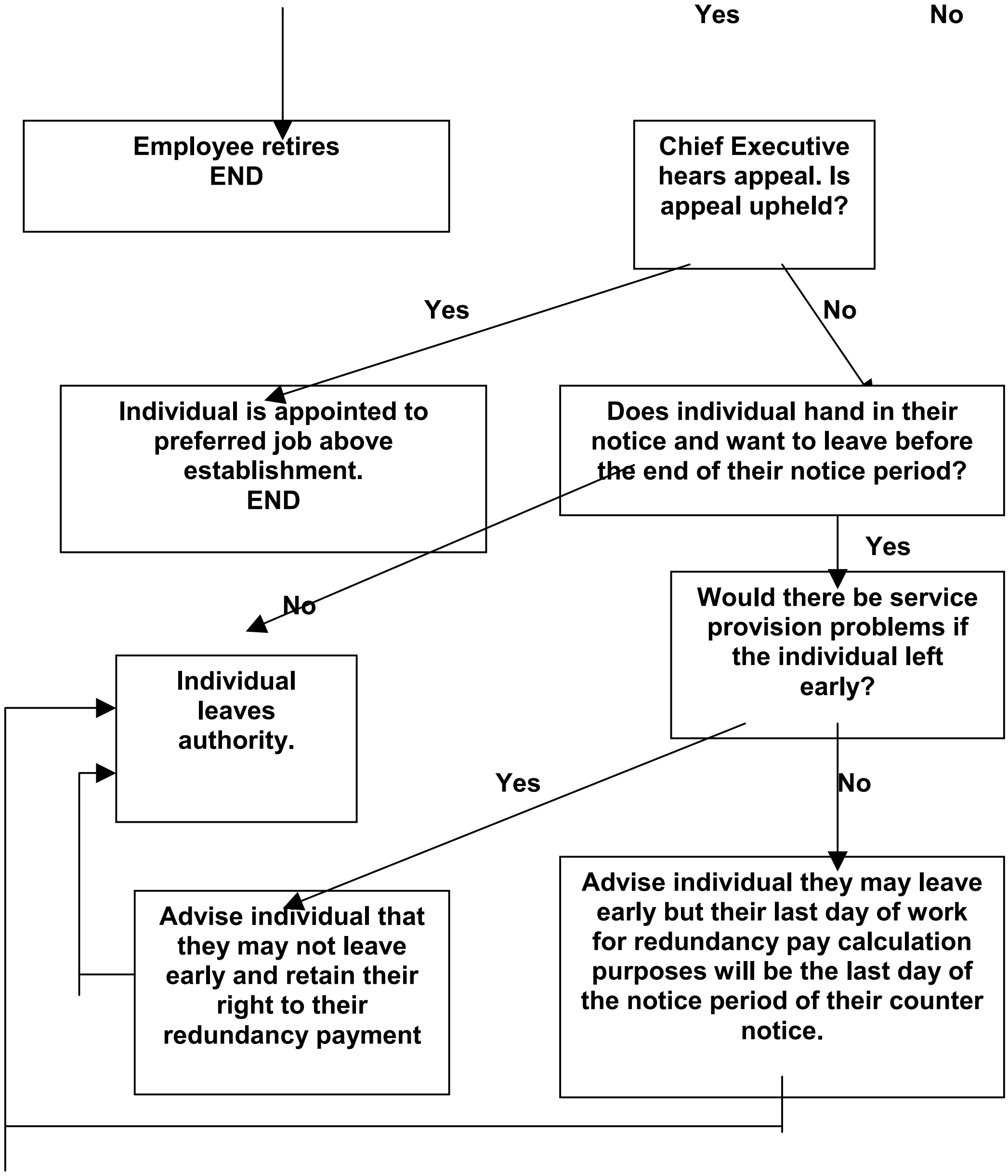
Personnel Officer
Payroll Manager
Senior Personnel Officer
Assistant Director, Human Resources

Last Updated :
August 2003
To be reviewed no later than :
August 2006
Policy Sponsor :
Assistant Director Human Resources


Reorganisation planned
Consult HR regarding process and any measures to minimise the number of potential redundancies
Are 20 or more employees likley to be made redundant?
Yes
No
Complete form HR1 and send to DTI. Are 100 or more employees likley to be made redundant?
No
Yes
A minimum of 30 days consultation is required
A minimum of 90 days consultation is required
Start group consultation with Staff Consultation Forum. Does the SCF contain one of the potentially affected individuals?
No
Yes
Offer the potentially affected individuals the opportunity to elect an SCF representative for the period of the reorganisation.
Start consultation with individuals who are potentially affected. Ensure representation offered at each meeting.
Finalise the structure and selection process (including job evaluation)
Advise SCF of final proposals
Advise individuals in writing of the process and final structures



Discuss options with individuals
Individuals submit their preferences and application form.
Selection process completed.
Is individual offered a job?
No
Yes
Is it a job they expressed a preference for?
Yes
No
Is it a significantly matched post?
Yes
No
Employee starts new role. If role is of a lesser grade, advise pay & benefits protection. END
No
Does employee want to appeal?
Individual is offered a job trial for 4 weeks. Is trial successful?
Yes
Chief Executive hears appeal. Is appeal upheld?
No
No
Yes
Employee starts new role. If role is of a lesser grade, advise pay & benefits protection. END
Yes
Is it a potential retirement?
Yes
No
No
Does individual wish to retire?
Appropriate Director agrees redundancies.
Yes
Early Severance Board agree retirements.
Individual advised of redundancy and given notice of termination. Follow up meeting arranged and outplacement support offered. Does individual wish to appeal?
Individual advised and given written notification of their retirement and redundancy payment



Yes
No
Employee retires END
Chief Executive hears appeal. Is appeal upheld?
Yes
No
Individual is appointed to preferred job above establishment. END
Does individual hand in their notice and want to leave before the end of their notice period?
Yes
No
Would there be service provision problems if the individual left early?
Individual leaves authority.
Yes
No
Advise individual that they may not leave early and retain their right to their redundancy payment
Advise individual they may leave early but their last day of work for redundancy pay calculation purposes will be the last day of the notice period of their counter notice.