

## Appendices

### Appendix 1: Kotter's Eight Steps to Effective Change Management<sup>6</sup>

#### Step one: Increase Urgency

Raising a feeling of urgency is the first and most critical step in a successful change effort. With low urgency and complacency, the change effort cannot get off the ground.

What works	What does not work	Common Pitfalls
<ul style="list-style-type: none"> <li>✓ Creating a compelling story.</li> <li>z Never underestimating how much complacency, fear, and anger exists.</li> <li>z Creating the vision.</li> </ul>	<ul style="list-style-type: none"> <li>^ Focusing exclusively on building a “rational” business case, getting top management approval, and racing ahead while mostly ignoring all the feelings that are blocking change.</li> <li>^ Ignoring a lack of urgency and jumping immediately to creating a vision and strategy.</li> <li>^ Thinking that you can do little if you're not the leader.</li> </ul>	<ul style="list-style-type: none"> <li>• Underestimating the difficulty of driving people from their comfort zones.</li> <li>• Becoming paralyzed by risks.</li> </ul>

**Tip:** “Begin with the end in mind” - Steven Covey’s Seven Habits of Highly Effective People.

**Desired New Behaviour:** People start telling each other, "Let's go, we need to change things!"

#### Step two: Build the Guiding Team

It is important to get the right people in place who are fully committed to the change initiative, well-respected within the organization, and have power and influence to drive the change effort at their levels.

What works	What does not work	Common Pitfalls
<ul style="list-style-type: none"> <li>z Showing enthusiasm and commitment to help draw the right people into the group.</li> <li>z Modeling the trust and teamwork needed in the group</li> </ul>	<ul style="list-style-type: none"> <li>^ Guiding change with weak task forces, single individuals, complex governance structures, or fragmented top teams.</li> <li>^ Not confronting the situation when power centres undermine the selection of the right team.</li> <li>^ Trying to leave out or work around the head of the unit to be changed.</li> </ul>	<ul style="list-style-type: none"> <li>• No prior experience in teamwork at the top.</li> <li>• Delegating team leadership to HR rather than a senior line manager.</li> </ul>

**Tip:** Draft a large, diverse team made up of individuals at all levels and with different skills.

**Desired New Behaviour:** A group powerful enough to guide a big change is formed and they start to work together well.

### Step three: Get the Vision Right

While creating a shared need and urgency for change may push people into action, it is the vision that will steer them into the new direction.

What works	What does not work	Common Pitfalls
<ul style="list-style-type: none"> <li>✓ Trying to see – literally – possible futures.</li> <li>z Visions that are so clear that they can be articulated in five minutes or written up on one page.</li> <li>z Visions that are moving – such as a commitment to serving people.</li> </ul>	<ul style="list-style-type: none"> <li>^ Assuming that linear or logical plans and budgets alone adequately guide behaviour when you are trying to leap into the future.</li> <li>^ Overly analytical, financially based vision exercises.</li> </ul>	<ul style="list-style-type: none"> <li>• Presenting a vision that's too complicated or vague to be communicated in five minutes.</li> </ul>
<p><b>Tip:</b> Position the change around a compelling picture of the desired future state i.e., Ryerson's Master Plan.</p>		
<p><b>Desired New Behaviour:</b> The guiding team develops the right vision and strategy for the change effort.</p>		

### Step four: Communicate for Buy-In

Once a vision and strategy have been developed, they must be communicated to the organization in order to gain understanding and buy-in. Sending clear, credible, and heartfelt messages about the direction of change establishes genuine gut-level buy-in, which sets the stage for the following step: getting people to act.

What works	What does not work	Common Pitfalls
<ul style="list-style-type: none"> <li>z Developing a communications strategy.</li> <li>z Keeping communication simple and heartfelt.</li> <li>z Speaking to anxieties, confusion, anger, and distrust.</li> </ul>	<ul style="list-style-type: none"> <li>^ Under communicating, which can easily happen.</li> <li>^ Accidentally fostering cynicism by not "walking the talk".</li> </ul>	<ul style="list-style-type: none"> <li>• Behaving in ways contrary to the vision.</li> </ul>
<p><b>Tip:</b> Create tools that help people tailor information to their specific needs – rather than forcing more generic memos and reports into over-stuffed email and in-boxes</p>		
<p><b>Desired New Behaviour:</b> People begin to buy into the change, and this shows in their behaviour</p>		

## Step five: Empower Action

Empowering action should be seen as removing barriers to those whom we want to assist in pushing the change effort. Removing obstacles should inspire, promote optimism and build confidence around the change effort.

What works	What does not work	Common Pitfalls
<ul style="list-style-type: none"> <li>✓ Finding individuals with change experience who can bolster people's self-confidence with "we-won-you-can-too" anecdotes.</li> <li>∑ Recognition and reward systems that inspire, promote optimism, and build self-confidence.</li> <li>∑ Feedback that can help people make better decisions.</li> </ul>	<ul style="list-style-type: none"> <li>^ Trying to remove all the barriers at once.</li> <li>^ Giving in to your own pessimisms and fears.</li> </ul>	<ul style="list-style-type: none"> <li>• Failing to address powerful individuals who resist the change effort.</li> </ul>
<p><b>Tip:</b> Recognize and reward excellence.</p>		
<p><b>Desired New Behaviour:</b> More people feel able to act, and do act, on the vision.</p>		

## Step six: Create Short –Term Wins

Short-term wins nourish faith in the change effort, emotionally reward the hard workers, keep the critics at bay, and build momentum. By creating short-term wins, and being honest with feedback, progress is achieved and people are inspired.

What works	What does not work	Common Pitfalls
<ul style="list-style-type: none"> <li>∑ Early wins that come fast.</li> <li>∑ Wins that are as visible as possible to as many people as possible.</li> <li>∑ Wins that are meaningful to others.</li> </ul>	<ul style="list-style-type: none"> <li>^ Launching many projects all at once.</li> <li>^ Providing the first win too slowly.</li> </ul>	<ul style="list-style-type: none"> <li>• Leaving short term successes up to chance.</li> <li>• Failing to score successes early enough into the change effort.</li> </ul>
<p><b>Tip:</b> Focus on one or two goals instead of all and make sure no new initiatives are added until one of those goals is achieved and celebrated.</p>		
<p><b>Desired New Behaviour:</b> Momentum builds as people try to fulfil the vision, while fewer and fewer resist change.</p>		

## Step seven: Don't Let Up

In successful efforts, people build on this momentum to make the vision a reality by keeping urgency up, eliminating unnecessary, exhausting work and not declaring victory prematurely.

What works	What does not work	Common Pitfalls
<ul style="list-style-type: none"> <li>✓ Aggressively ridding yourself of work that wears you down- tasks that were relevant in the past but not now, tasks that can be delegated.</li> <li>z Looking constantly for ways to keep urgency up.</li> <li>z Using new situations opportunistically to launch the next wave of change.</li> </ul>	<ul style="list-style-type: none"> <li>^ Convincing yourself that's you're done when you aren't.</li> </ul>	<ul style="list-style-type: none"> <li>• Declaring victory too soon – with the first performance improvement.</li> </ul>
<p><b>Tip:</b> Replace a time-consuming and painstakingly detailed monthly activity report with a one-page summary that highlights only major milestones and key information.</p>		
<p><b>Desired New Behaviour:</b> People remain energized and motivated to push change forward until the vision is fulfilled</p>		

## Step eight: Make Change Stick

By creating a new, supportive, and sufficiently strong organizational culture, the change should remain. A supportive culture provides roots for the new ways of operating.

What works	What does not work	Common Pitfalls
<ul style="list-style-type: none"> <li>z Telling vivid stories about the new organization, what it does, and why it succeeds</li> <li>z Making absolutely sure you have the continuity of behaviour and results that help a new culture grow</li> </ul>	<ul style="list-style-type: none"> <li>^ Trying to change culture as the first step in the transformation process</li> </ul>	<ul style="list-style-type: none"> <li>• Not creating new social norms and shared values consistent with changes</li> </ul>
<p><b>Tip:</b> When introducing new hires to the organization, use videos that contain heartfelt messages from clients whose lives the department has impacted.</p>		
<p><b>Desired New Behaviour:</b> New and winning behaviour continues despite the pull of tradition, turnover of change leaders, etc.</p>		

## Appendix 2: Methods for responding to resistance to change<sup>9</sup>

Following are not mutually exclusive – resistance to change occurs for a multitude of complex reasons so often more than one approach will need to be used simultaneously.

Approach	Commonly used when	Advantages	Disadvantages
<b>Participation and Involvement</b> Involving those who are impacted by the change in some or all of making case for change, developing future vision and developing action plan	<ul style="list-style-type: none"> <li>o Initiators do not have all the information they need to design the change, and/or</li> <li>o where others have considerable power to resist</li> </ul>	<ul style="list-style-type: none"> <li>o People who participate will be committed to implementing change, <b>and</b></li> <li>o any relevant information they have will be integrated into the change plan</li> </ul>	<ul style="list-style-type: none"> <li>o Can be very time consuming</li> <li>o Can lead to a poor solution of those involved don't have the expertise/knowledge to design an effective way forward.</li> </ul>
<b>Education and Communication</b> Communicate facts and information about the proposed change and ongoing benefits of change through one to ones, written communication, presentations and visits to services that have already implemented change.	<ul style="list-style-type: none"> <li>o Lack of information or</li> <li>o inaccurate information and analysis</li> </ul>	<ul style="list-style-type: none"> <li>o Once persuaded, people will often help with the implementation of the change</li> </ul>	<ul style="list-style-type: none"> <li>o Can be very time consuming if lots of people are involved.</li> <li>o Effectiveness depends on audience 'trusting' those who are communicating to be telling the truth or seeing relevance of service visited to their own context.</li> </ul>
<b>Highlighting how change relates to values</b> Show the overall positive impact of the change being proposed on attainment of individual and group values	<ul style="list-style-type: none"> <li>o Where the resistance to change is because individual or group believe change will have negative impact on them achieving one or more of their values</li> </ul>	<ul style="list-style-type: none"> <li>o If can show positive impact on value/s outweighs negative impact on value/s then likely to remove resistance</li> </ul>	<ul style="list-style-type: none"> <li>o The value/s that is/are being negatively impacted may outweigh in importance the value/s being positively impacted</li> </ul>
<b>Facilitation and Support</b> Supporting staff to adjust to the change by providing time to talk	<ul style="list-style-type: none"> <li>o When people resisting because of adjustment problems</li> </ul>	<ul style="list-style-type: none"> <li>o Helps people to work through their emotional responses to</li> </ul>	<ul style="list-style-type: none"> <li>o Can be time consuming, expensive, and still fail</li> </ul>

concerns through	<ul style="list-style-type: none"> <li>o When people have paradoxical responses and are feeling both positive and negative about the change at same time</li> </ul>	<ul style="list-style-type: none"> <li>change within a safe environment</li> <li>o No other approach works as well with adjustment problems</li> </ul>	
<b>Approach Training Teaching staff new skills and knowledge.</b>	Commonly used when staff who are being asked to work in a new way don't have the skills to do so	Advantages -If primary cause of resistance is lack of knowledge on how to work in new way, then this will address it	Disadvantages - Can be time consuming, expensive and still fail
<b>Small Scale Test of Change Using approaches such as Plan, Do, Study, Act cycles to test change on a small scale</b>	<ul style="list-style-type: none"> <li>o In complex environments where uncertainty about whether change will actually lead to an improvement</li> <li>o Where cost of failure is high</li> </ul>	<ul style="list-style-type: none"> <li>o Allows people to move to action, even where this is not yet consensus that a good thing</li> </ul>	<ul style="list-style-type: none"> <li>o Individuals who are against the change could sabotage it – and then use it as further evidence to back up their position that change is not a good idea</li> </ul>
<b>Negotiation and Agreement Providing incentives to counterbalance the loses that will be experienced such as additional payment</b>	<ul style="list-style-type: none"> <li>o Where someone or some group will clearly loose out in a change, and</li> <li>o where that group has considerable power to resist</li> </ul>	<ul style="list-style-type: none"> <li>o Sometimes it is a relatively easy way to avoid major resistance</li> </ul>	<ul style="list-style-type: none"> <li>o Can be too expensive in many cases if it alerts others to negotiate for compliance</li> <li>o People who are onboard with change due to a deal may lack commitment to drive change through if implementation gets tricky</li> </ul>
<b>Ignore it As it says – simply ignore the resistance</b>	<ul style="list-style-type: none"> <li>o Those resisting the change are unlikely to be persuaded and those resisting don't have the</li> </ul>	<ul style="list-style-type: none"> <li>o If analysis is correct, prevents time being wasted on those very resistant to the change who</li> </ul>	<ul style="list-style-type: none"> <li>o If analysis incorrect – will almost certainly lead to failure of change</li> </ul>

	power to stop the change happening	won't be able to stop it anyway	
<b>Manipulation and Co-optation</b> <b>Selective use of information or giving someone key role in leading implementation with no intention to take advice – just after endorsement</b>	o Where other tactics will not work or are too expensive	o It can be a relatively quick and inexpensive solution to resistance	o Can lead to significant future problems If people feel manipulated.
<b>Explicit and implicit coercion</b> <b>Threatening loss of jobs, loss of promotion possibilities etc if don't comply with change</b>	o Where speed is essential and the change initiators possess considerable power	o It is speedy and can overcome any kind of resistance	o Force used to make people change is rarely effective – strong risk that change will not be sustained. o Can lead to future problems if it leaves people mad at the initiators

### Appendix 3: Stakeholder Analysis ‘What’s in it for me’ (WIFM) framework<sup>7</sup>

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

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

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

NB: Below you will find the key to analysing this framework.

#### How to use the WIFM chart

Column	Comment
<b>a</b>	Enter name or the group You could have three ‘types’: <ul style="list-style-type: none"> <li>▪ those expected to be for the change</li> <li>▪ those expected to be against it</li> <li>▪ those expected to be neutral or as yet undecided.</li> </ul>
<b>b &amp; c</b>	In these columns record the positive and negative ideas, and comments the individual or group are likely to express on hearing about the improvement idea. Possibly test out your thoughts with others.  WIFM criteria could include: <ul style="list-style-type: none"> <li>▪ deep held values and beliefs</li> <li>▪ working relationships</li> <li>▪ conditions of work: place, hours etc.</li> <li>▪ salary</li> <li>▪ job security</li> <li>▪ nature or work: tasks, responsibilities etc.</li> <li>▪ power, status, position, identity</li> </ul> The more criteria that are negatively affected by the change, the greater the



	resistance to change. Changes that negatively interfere with a person's power, status, position and identity will evoke the most emotion.
<b>d</b>	<p>Now list the actions the individual or members of the group could take to support or resist your initiative.</p> <p>Consider if they show:</p> <ul style="list-style-type: none"> <li>▪ those commitment: want to make the change happen and will work to make it happen</li> <li>apathy: neither in support nor in opposition to the change</li> <li>non-compliance: do not accept that there are benefits and have nothing to lose by opposing the change.</li> </ul>
<b>e</b>	<p>Think about what you and/or your team could and should do.</p> <p>You need to:</p> <ul style="list-style-type: none"> <li>move them to a position of commitment quickly</li> <li>detect and negate potential non-compliant activities</li> <li>look for, build on and encourage any supporting behaviour.</li> </ul> <p>Use the model and frameworks in this guide to ensure you interact with this group or individual with the best possible effect. People prefer immediate reward as opposed to delayed rewards, so short term successes are very important.</p>

## **Appendix 4: Top Tips for Overcoming Resistance to Change<sup>8</sup>**

No matter how well you plan for change, not everyone will be comfortable with it and it is likely that you will face some resistance from your team. As a leader or manager, your role is to guide your team through the change process, reducing resistance wherever possible and increasing enthusiasm and commitment for it. These tips offer practical advice to help you identify and overcome resistance to change, in order to give the change effort the best possible chance of success.

### **Recognise how people might react**

At the outset of a change programme, it is important to be aware of how your team are reacting to it. Remember that people respond to change in different ways, and reactions will occur to people at different times. Look out for signs that people in your team are not coping well with change, e.g. they might be feeling shocked, confused, helpless, and frustrated about the change.

### **Keep the lines of communication open**

Effective and timely communication will help to reduce uncertainty during the initial stages of the change process. Rather than leaving people to find their way without guidance or support, ensure that you keep your team as up-to-date as possible with the changes.

You can do this by holding regular meetings and briefings to ensure that they know exactly where the change process is going, what the next steps are, how they will be affected, and the positive contribution they can make.

Help people open up

Outwith your regular meetings, let your team know that you are available if they want to come and talk to you about any aspect of the change process. Try to remain as approachable as you can, as this will help people feel more secure in the knowledge they can discuss their feelings and concerns openly with you.

If people are showing resistance, it is important that you listen to their concerns and show empathy for how they are feeling. Improving their awareness of the change process and why it needs to happen can help to overcome negative reactions. Try to focus on explaining the problems with the current situation and outlining the benefits that the change process will bring to the team.

### **Recognise that some healthy scepticism can be good**

Remember that not all negativity in relation to change is a bad thing. It is unlikely that your change programme will be perfectly formed, so people should be encouraged to give feedback and suggest improvements. Healthy sceptics perform an important function; they vet the change idea or process so that it can be improved upon along the road to becoming reality.

However, it is important to strike a balance between healthy scepticism towards change, and negative hostility to it. If one or two people in your team are particularly outspoken and averse to the change, it is important that you address this at an early stage to reduce the potential for this attitude to spread throughout the rest of your team.

## **Be a positive role model**

Regardless of how you might be feeling about the change yourself, it is important to project a positive outlook to your team. Your team will take their cues from how you behave, so it is vital that you don't show any outward negativity or uncertainty about the change, as your team might pick up on this.

Remember that observational learning can be very powerful, so demonstrating that you believe and 'buy into' the change process is a good way of combating negativity from your team. Another way you can show your support is to roll up your sleeves and, where possible, get stuck into helping implement the changes within your team. It is one thing to communicate the change, and quite another to get involved in the nitty-gritty aspects of the change side-by-side with your team.

## **Offer motivation**

To help your team adapt to change, you will need to help them see and think differently. You can motivate your team through this phase by helping them stay focused on the end goal, and painting a positive picture of the end result.

## **Provide practical support**

It is also essential that you provide your team with the support they need to adopt any new working practices. This might mean running training sessions on new work processes, and developing written guidance or standard operating procedures for your team to refer to. Get your team involved wherever possible, and allow them to make their own decisions about how the required changes will work best for them.

## **Give people time**

Try not to rush your team through the process of change, and give them time to work through and accept the process of change. It is unrealistic to expect people to become comfortable with the change overnight, so take your time to ensure that the changes are embedded fully.

## **Allow for mistakes**

During the change process, be aware that mistakes are quite common, and the performance of your team might dip as a consequence. This is quite normal, as you need to allow your team the freedom to experiment with, and apply, lots of new ideas.

Build in as much time as you can for you and your team to discover what works and what does not. For example, you could hold weekly meetings to give updates on progress, share best practice and brainstorm for new ideas and solutions to problems.

Also be aware that your team members may need more support than is immediately apparent. They may become frustrated if ideas don't work perfectly first time. Talk to your team regularly about their concerns and continue to offer reassurance and support. You could also help them to find new methods for coping with specific difficulties, such as seeking out (both internal and external) sources of expertise.

## **Stop and reflect**

Once you have reached the end of the change process, it is important to take time to reflect upon the whole experience together as a team. Not only will this help you focus on key learning points

which can be put into practice for any future change initiatives, it will also strengthen the team as a cohesive unit.

Ask your team to reflect upon their own performance throughout the change process, and ask them to consider what they might do differently next time. You should also do this yourself, as well as asking your team for feedback on how you led and supported them throughout the period of change.