In this report, The Hanover Research Council explores how institutions of higher education and other large, decentralized organizations manage change. We discuss different types of change situations and change management practices as well as how change initiatives are set-up, executed, and supported. The report focuses on ways to understand and effectively implement changes to organizational structure and culture. The final section presents information specifically related to change in institutions of higher education. Interspersed throughout the report are case studies in change management designed to reinforce the key themes discussed.
Introduction

In this report we discuss the topic of change management for large organizations. Change management can be defined in several ways. For the purposes of this report, we define change management as the process of modifying or transforming one or more aspects of an organization using a premeditated methodology. Change management involves the implementation of one or more strategies, which companies and institutions of higher education can use to increase efficiency and accomplish goals. This report will identify and discuss several common strategies. Although these can be important tools in focusing change, use of specific models is less important than accounting for the dimensions of change that the models attempt to address.

❖ **Change context:** Does the change need to occur at an organizational or personnel level? Different organizations experience different types of change, which require different mechanisms to achieve successful change.

❖ **Factor(s) necessitating change:** What is the reason for change? What type of change needs to be implemented?

❖ **Strategy for change:** Change management can be planned and explicit or unplanned and implicit. The more effective transition efforts are those that take a planned, strategic approach.

❖ **Actors:** Who is responsible for change management oversight? Where does accountability lie? Is there sufficient sponsorship from key management personnel?1

Organizational change management can involve changes to any or all of the following: organizational structure, business processes, physical environment, job responsibilities, staff knowledge, individual perceptions, and company policies and procedures.2 Steps in the process include leadership, planning, implementation, documentation, and evaluation.

The objective of change management is to maximize the benefits for the organization and lower the potential risk associated with change.

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Section One: Types of Organizational Change

Change management is not about a “one-size-fits-all” solution. The specific nature of a given organization’s change will vary dramatically based on the kind of change, the reasons for that change, and the history, organizational concept, and needs of the organization. In this section we discuss various dimensions of change that organizations and institutions of higher education may face.

Episodic vs. Continuous Change

Weick and Quinn (1999) discuss the idea of episodic change and continuous change in the context of organizational change management. Episodic change refers to organizational changes that are intentional and occur during distinct periods. They often are instigated by one or more events, which can be internal (e.g., new leadership or new policies) or external (e.g., changes in key regulations or technologies). Conversely, continuous change refers to gradual, ongoing transitions in companies. By making small adjustments over time, the effects of the continuous change are cumulative and sustained.³

Planned vs. Emergent Change

A similar distinction can be made between planned and emergent change. Planned change is deliberate, a product of conscious reasoning and actions, whereas emergent change occurs in a manner that seems spontaneous and unplanned. It is widely assumed that planned, explicit change procedures are the most effective way to successfully implement new structures, and can reduce unforeseen circumstances. Planned change is the central focus of Section Two of this report.

While planned change is often preferable and central to the idea of change management, some sources maintain that even the most carefully planned and executed change program will have some emergent elements.⁴ Planned change may involve more control, but it is also likely to be met with greater resistance than emergent change.

⁴ “Change Management: Types of Change.” JISC InfoNet. www.jiscinfonet.ac.uk/infokits/change-management/types-of-change
Emergent change may occur as a consequence of apparently unrelated decisions made by management. The change is therefore not planned; however, it is influenced by the implicit assumptions about the organization, its environment and the future.\(^5\)

Among these four kinds of change (planned-gradual, planned-episodic, emergent-gradual, emergent-episodic), there is an inevitable trade-off between control and resistance. Figure 1 provides a graphical representation of this trade-off.

**Figure 1: Control and Resistance Trade-off – Perception of Change**

<table>
<thead>
<tr>
<th>CONTROL</th>
<th>RESISTANCE</th>
</tr>
</thead>
<tbody>
<tr>
<td>Low → High</td>
<td>Planned – Episodic</td>
</tr>
<tr>
<td>Emergent – Episodic</td>
<td>Planned – Continuous</td>
</tr>
<tr>
<td>Emergent – Continuous</td>
<td>Low → High</td>
</tr>
</tbody>
</table>

Source: The Hanover Research Council

In the lower left hand corner is emergent-continuous change. This level of change is unavoidable and occurs constantly in any organization as it reacts to the pressures of a changing world. At the other extreme is planned, episodic change. Although this change provides the highest degree of speed and control, it is also potentially the most jarring and disruptive for employees and other members of an organization.

Planned change, although it affords a significantly greater degree of control, is also likely to be met with greater resistance if the change is perceived as planned. Likewise episodic change increases control by enabling change to proceed more quickly, but can also be more jarring for employees resulting in increased resistance. Change is

\(^5\) Ibid.
perceived as gradual – as in the model of “continuous” change – is less perceptible and likely to be met with weaker resistance.

It should be noted that the “control” axis reflects to the reality of change – change that is planned will always be easier to control. In contrast, the “resistance” axis reflects the perception of change. In other words, it may not be necessary for a change to actually be emergent rather than planned in order to gain the benefit of reduced resistance. It is enough that the change merely appear to be emergent rather than planned. It is enough that the change appears gradual and continuous rather than episodic in order for it to be received as a less jarring interruption of previous ways of doing things.
Section Two: Keys to Success

Each change situation will be different and the best approach often combines multiple strategies, based on the degree of resistance, target population, stakes, time frame, expertise, and dependency.\(^6\) Best practice change management strategies account for these steps to successful change:

- Proactive Leadership
- Strategic Planning
- Implementation
- Evaluation

Proactive Leadership

Leadership is one of the most important components of success during periods of change. A change controller must be proactive, rather than reactive, when it comes to implementing change.\(^7\) The change agent or change controller plays an important role in the success of transition efforts. The role of change agent, taken by HR, CEO, managers, supervisors, or a change team of one or more key actors, involves a myriad of responsibilities.

Responsibilities

A change controller’s most important task is to enable each individual to implement change actions. He or she does so by listening and collaborating in order to gain support and buy-in, building relationships with customers, peers and team members, taking accountability for change success, and providing constructive feedback to others.\(^8\)

The activities of a change agent may include any of the following tasks: ensuring that only authorized changes are implemented, ensuring that changes are implemented in an acceptable time frame in

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Training

At larger organizations, where change must occur at various locations or departments, it is often necessary to have multiple individuals acting as change controllers. It is also important that training be extended not only to those responsible for orchestrating the change, but also to employees who will be most affected by the change in their daily lives. In order to achieve consistency and avoid fragmentation of change efforts, change management training is recommended to outline goals, strategies, and techniques. The training can be either specific to the company or about change management in general, or both.

Many organizations require change leadership to undergo specific training. Change management training can take the form of classes, seminars, or workshop-based training sessions. There are a wide range of change management training opportunities, some of which offer credits or certification, while others are self-paced and informal.

Strategic Planning

Though a level of uncertainty will always exist, organizational change can be facilitated by perceptive planning, analysis and implementation. Change initiatives that use a structured approach are more highly correlated with success, and are more likely to achieve the change objectives. The strategic planning involves setting the organization’s goals, and deciding on the modifications needed to best achieve them.

Strategic planning for change management is often based on the organization’s specific goals, which may include: overcoming resistance to change; creating a vision by articulating a compelling reason for the change; developing organizational support for the change; managing the transition of the organization from its current state to

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the desired state; and sustaining momentum for the changes once they are employed.\textsuperscript{13}

The steps for any change plan will vary, but typically involve the following: define the process, ensure all resources are identified and in place for the change, ensure a clear goal has been set and met for the change, and ensure the change conforms to all organizational standards. Strategic planning can be used to reduce resistance by involving as many individuals as practicable in designing and conceiving of the changes to be made. If the change is perceived as democratic, it will have more of a flavor of emergent, bottom up change that begins within the organization rather than a change that is mandated and forced on lower-level employees “from above.”

\textit{Change Planning}

Change agents can choose upon a planned or emergent approach, or elements of both. The planned approach is logical, defining structures and controls, allocating resources, and using detailed timings. Conversely, the emergent approach stresses behavior, beliefs, and assumptions, and values learning.\textsuperscript{14}

In the planning of change initiatives, change agents need to identify, explore and challenge the assumptions and inertia that exist within the “culture” of an organization. Change agents can review change requests, run periodic change review meetings with appropriate personnel, maintain a change schedule or calendar in order to prevent potential conflict, publish change control meeting notes and help communicate changes to appropriate technology and user groups, to name a few examples of typical activities.

\textbf{Implementation}

Once a strategic plan is in place, the next step is change initiative implementation. Change agents hold periodic change review meetings, develop applications and


network operations, communicate with personnel to achieve buy-in, and gather feedback.

Communication

In the implementation phase, good communication throughout the organization is essential. Change initiatives need to provide a clear understanding of those goals to all involved. In order for the organization to get to where it needs to be, employees and stakeholders have to understand where they are and where the organization is going.\(^{15}\)

Effective communication requires setting expectations, aligning support resources, communicating operational requirements, and informing users.\(^{16}\) Communications should be systematic and provide information that is timely, credible and trustworthy. Done correctly, good communication helps lead to reduced uncertainty and increased feelings of personal control.\(^{17}\)

Sponsorship

In addition to change controllers who oversee the implementation process, change initiatives are most effective when they gain internal sponsorship. Sponsorship refers to the endorsement of key personnel, often CEOs or other high-level management positions that help enable change success. This endorsement serves several main purposes: Sponsors participate actively during and after the project, build coalitions to support change initiatives, and communicate directly with employees.

Unlike smaller companies, where the CEO usually acts as the sole change agent, larger organizations have leaders at various levels and duties.\(^{18}\) Achieving buy-in from all leadership positions requires sponsorship and encouragement to overcome resistance to change. Training and education, in the form of sessions and workshops, can also help leaders and personnel buy into the change initiatives.

\(^{15}\) Ibid.
\(^{18}\) “Organizational Change: Managing the Human Side.” The American Productivity and Quality Center. op. cit. p. 3
Evaluation/Performance Indicators

After the change process is implemented, an evaluation or monitoring process can help ensure that the change is permanent. Evaluation looks at the success or failure of the change procedures, with the goal of making the change permanent. Key performance indicators include cost, return on investment (ROI), and individual feedback.

Documentation

An important part of change management is documentation. All activities performed before, during, and after a change should be documented, preferably as they are applied. Maintaining a change log can help avoid the confusion and redundancy of previously implemented changes.

Companies document change input requirements; including change ownership, business impact, risk level, reason for change, success factors, backup plan, and testing requirements. The change controller should always make certain they receive formal documentation regarding every change.19

Feedback

Feedback may be formal or informal, and can be gathered internally (from organizational personnel) or externally (from customers). Feedback is often solicited prior to and/or after a change has occurred. Common types of feedback include employee surveys, customer satisfaction surveys, interviews with key personnel, complaints forums, and information gathering workshops.

Other types of indicators will include cost or return on investment. For example, HP Norway’s change team calculated the number of hours saved for employees on internal processes, and estimated that the process saved $720,000 for the company.20 While the accuracy of these numbers may not be perfect, calculating cost savings can help achieve buy in from management, as well as quantify the efficacy of the initiatives.

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19 Ibid.
Higher Education Case Study: Institutional Transformation and the “Rensselaer Plan”

The principles of change discussed in this section are best understood by seeing them in action. This first case study comes from the world of higher education and Rensselaer Polytechnic, a small private research university in New York State. This case study presents one example of proactive leadership and strategic planning in use, outlining the steps taken by a higher education institution to implement and evaluate change.

In mid-1999, Rensselaer Polytechnic hired Shirley Ann Jackson to come in and “shake things up.” The university sensed the need for a change and Jackson, who had led a strategic planning process for the U.S. Nuclear Regulatory Commission, was identified as the kind of proactive leader who could spearhead Rensselaer’s transformation into a “21st Century Institution.” Jackson wrote a summary of the steps she took in executing this change for an Educause forum on “The Internet and the University” in 2002.21

Rensselaer’s goal was ambitious: “To achieve greater prominence in the 21st century as a top-tier, world-class technological research university with global reach and global impact.”22 This was to be a difficult task as the university was small and under-resourced compared to its peer institutions. After conducting her initial research among faculty and department heads, Jackson felt what Rensselaer needed was a “university-wide, overall, integrated strategic plan” that would create “one Rensselaer.”23 Jackson named this plan The Rensselaer Plan.

This was to be a large-scale change for the university, and required a long, multi-faceted change process. Table 1 summarizes the steps taken by Jackson and university leadership to develop and implement the plan.

Table 1: Designing, Implementing, and Evaluating The Rensselaer Plan

<table>
<thead>
<tr>
<th>Date</th>
<th>Activity</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Jul. 1999</td>
<td>Leadership Retreat</td>
<td>Vice presidents, provost, vice provost and deans met to discuss the importance of an integrated plan. They also reviewed process, boundaries, timelines, and an initiating document that would begin the process.</td>
</tr>
</tbody>
</table>

22 Ibid. p. 105
23 Ibid. p. 106
<table>
<thead>
<tr>
<th>Date</th>
<th>Activity</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sept. 24, 1999</td>
<td>Inaugural Address</td>
<td>President Jackson sets forth her vision including three markers (research, excellence, and community) as well as five key “directive questions” for Rensselaer to address as a community.</td>
</tr>
<tr>
<td>Oct. 5-7, 1999</td>
<td>Town Meeting for the development of the initiating document and RealCom</td>
<td>All the stakeholders meet to create an initiating document that defined and articulated the expectations of The Rensselaer Plan. Also, the Rensselaer Assessment Leadership Committee (RealCom) is formed consisting of 15 members including a large percentage of faculty.</td>
</tr>
<tr>
<td>Oct. 11-29, 1999</td>
<td>Horizontal Assessment: Town Meetings addressing the five directive questions for each portfolio</td>
<td>RealCom hosts more than 20 public workshops in which the entire community is invited to discuss each school and each division (known as “portfolios”) using the five directive questions.</td>
</tr>
<tr>
<td>Oct. 11-29, 1999</td>
<td>Vertical Assessment: Dean and Vice President Assessments using the five directive questions</td>
<td>The deans and vice presidents conducted “drill-down assessments” of each portfolio, reporting strengths, weaknesses, opportunities, and their vision for the future.</td>
</tr>
<tr>
<td>Oct. 11-29, 1999</td>
<td>Orthogonal Assessment: Washington Advisory Group Assessment</td>
<td>An administrative executive from MIT and the Washington Advisory Group were brought in to perform an evaluation of Rensselaer.</td>
</tr>
<tr>
<td>Oct. 11-Nov. 15, 1999</td>
<td>Portfolio assessments conducted by deans and provosts</td>
<td>Cabinet was divided into two groups of writers and readers. Writers included the provost and vice president who drafted a plan drawn from the three-dimensional assessment process.</td>
</tr>
<tr>
<td>Nov. 1-30, 1999</td>
<td>RealCom distills input from town meetings and workshops into summary papers for portfolio areas</td>
<td>The rest of the cabinet, the readers, were in charge of reading and reviewing the material crafted by the writers.</td>
</tr>
<tr>
<td>Nov. 15-Dec. 15, 1999</td>
<td>Draft plan produced</td>
<td>This resulted in the crafting of the first, “provocative” draft of The Rensselaer Plan.</td>
</tr>
<tr>
<td>Dec. 15, 1999-Jan. 31, 2000</td>
<td>Draft plan posted on the intranet and mailed out for comment</td>
<td>The first draft was made available for comment on the university’s internal Web site, accessed through a special password. It was also mailed out for comment to students, faculty, staff, alumni, and community members.</td>
</tr>
<tr>
<td>Jan. 15-Feb. 15, 2000</td>
<td>Cabinet revises and develops the final draft</td>
<td>RealCom analyzed the comments and drafted a final version of the plan.</td>
</tr>
<tr>
<td>Feb. 15-Mar. 15, 2000</td>
<td>Final draft plan vetted by leadership groups</td>
<td>The plan is reviewed by the Faculty Senate, Student Senate, Rensselaer Alumni Association Board of Directors, key executives, several local elected officials, and Pillars of Rensselaer – a selected group of staff members.</td>
</tr>
<tr>
<td>Mar. 1-31, 2000</td>
<td>Cabinet writes and approves The Rensselaer Plan</td>
<td>At a retreat, the final draft was reviewed by trustees who discussed what had been discovered through the process of developing the plan and spoke about directions for the university in the future.</td>
</tr>
<tr>
<td>Date</td>
<td>Activity</td>
<td>Description</td>
</tr>
<tr>
<td>--------------</td>
<td>--------------------------------------------------------------</td>
<td>-----------------------------------------------------------------------------</td>
</tr>
<tr>
<td>Apr. 1-10, 2000</td>
<td>President reviews and approves <em>The Rensselaer Plan</em></td>
<td>The President reviews and makes small changes.</td>
</tr>
<tr>
<td>Apr. 15, 2000</td>
<td><em>The Rensselaer Plan</em> is sent to the Board of Trustees.</td>
<td>The final plan is sent to the Board of Trustees.</td>
</tr>
<tr>
<td>May 12, 2000</td>
<td>Board of Trustees approves <em>The Rensselaer Plan</em></td>
<td>The final plan is unanimously approved by the board of Trustees.</td>
</tr>
<tr>
<td>June 2000 and Beyond</td>
<td>Ongoing Performance plans</td>
<td>Each portfolio develops an annual performance plan.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>The first step is a retreat in which university leadership discusses the “university-wide highest priority initiatives.” Each portfolio examines how these initiatives touch the department and then identifies and ranks its own individual priorities.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Performance planning “identifies priorities, lays out clear milestones, and forms the basis of resource allocation through prioritization, restructuring, reordering, and realignment.” It also spells out ways to measure progress toward goals.</td>
</tr>
</tbody>
</table>

Source: Shirley Ann Jackson, *Educause*

Although it was Jackson herself who served as the primary change controller, the story of transition at Rensselaer is exemplary in part because of the way she marshaled support from all sectors of the university. Jackson proactively took the initiative to determine what change was needed and to announce a vision of what the change would look like. From that point forward, however, she created several other authorities that would serve as agents of change—department heads, provosts, the RealCom Committee, and community members, among others. All of the most important university stakeholders were involved in designing the “what” of Rensselaer’s change, so that all interested parties felt ownership of and real motivation to effect that change.

The process involved training in the form of various retreats that were used to make sure all interested parties were on the same page. Multiple rounds of strategic planning ensured that there was a clear vision of the change and a clear path forward. The implementation phase of Jackson’s plan gathered support from all sectors, using a step-by-step approval method so that *The Rensselaer Plan* was supported by the sponsorship of key university figures, members of the community, faculty, and all other interested groups.

Finally, Rensselaer’s “ongoing performance plans” provide an opportunity for annual evaluation and feedback. The ongoing evaluation procedure appears almost as a microcosm of the original change process—structured by retreats, feedback, and principle-based documentation—so that the change process appears ongoing and it is easy to track progress towards the original goals of the change.
Section Three: Models of Change Management

In this section we describe common change management models. Although the models differ in terminology, the basic structure of each model is very similar.

The ADKAR Model

A commonly-cited approach to change management, the ADKAR model is based on five goals or outcomes that change management agents should instill in individuals. “ADKAR” is an acronym, the meaning of which is presented in Table 2.

Table 2: ADKAR Acronym

<table>
<thead>
<tr>
<th>Letter</th>
<th>Meaning</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>Awareness of the need to change</td>
</tr>
<tr>
<td>D</td>
<td>Desire to participate and support the change</td>
</tr>
<tr>
<td>K</td>
<td>Knowledge of how to change (and what the change looks like)</td>
</tr>
<tr>
<td>A</td>
<td>Ability to implement the change on a day-to-day basis</td>
</tr>
<tr>
<td>R</td>
<td>Reinforcement to keep the change in place</td>
</tr>
</tbody>
</table>

Source: Hargovind Adhikari

ADKAR can be used to diagnose employee resistance to change, help employees transition through the change process, create a successful action plan for personal and professional advancement during change, and develop a change management plan for employees.

The ADKAR model is most useful as a tool for effecting change through individual perceptions and behaviors; indeed, it is broadly applicable outside of organizational change management. ADKAR is best used to achieve buy-in for change initiatives from organizational personnel.

ADKAR’s strength comes in its ability to diagnose employee resistance to change. For example, the first step, Awareness, is a common stumbling block, arising from lack of communication or clarity. By focusing directly on individual outcomes and creating an action plan for personal and professional advancement during change, the ADKAR model can help employees transition through the change process.

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26 Ibid.
27 Ibid.
28 Ibid.
Corporate Case Study: ADKAR in Action at Ashland, Inc.

Ashland, Inc. is a large, Fortune 500 chemical company that operates in more than 100 countries around the world. In 2002, the company decided to make several dramatic changes to their business model, and undertake an organizational restructuring and relocation. In addition, the company wanted to standardize and integrate a haphazard compensation program.

The broad change strategy that Ashland, Inc. employed was the ADKAR model. The change management plan consisted of three initial steps: retro-fit projects that were already underway with change management plans and strategies, integrate the project management and change management practices, and build competencies throughout the organization.

A key component of the second and third steps was the development of a training curriculum, for which Ashland utilized a dedicated change management specialist. The workshops that were developed included assessments and professional development, as well as introducing a standardized change management vocabulary. The sessions were developed for five groups: Executives, Managers and Supervisors, Practitioners, Intact Project Teams and Employees.

Sponsorship came in the form of senior-level management support. Ashland CEO Hank Waters and other executives attended a three-day workshop, giving the change management initiative a high-profile supporter. In 2006, the organizational strategy became a permanent part of the corporate structure: the Enterprise Operation Group, which has three full-time employees.

Lewin’s Equilibrium Model

The Equilibrium Model, as the name suggests, is one designed as beginning and ending in a state of stability. Developed by sociologist Kurt Lewin (1951), the model is based on observations about how humans react to change and new situations. Lewin, a social psychologist, realized that change is not a simple, step-by-step process; rather, it involves a complex balance between external forces, such as

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30 Ibid, p. 5
31 Ibid, p. 6
32 Ibid, p. 8
structures, rules, and procedures, and psychological forces, such as hopes, fears, and beliefs.\(^{34}\) This process enacts change in individuals by using three steps:

1. Unfreezing the forces that are resistant to change;

2. Transition to new processes, ideas, attitudes, and values;

3. Refreeze: reintroducing stability after changes have been made, developing a new equilibrium.\(^ {35}\)

Unfreezing is the most important step: it shows stakeholders that a change is necessary, and that the status quo is not sustainable. Without this motivation, individuals will often resist change attempts. The second step involves moving to a new level, often with the support of a group of peers. The final step confirms the change as the new equilibrium.

Lewin’s framework helps develop a “staged” approach to changing things, rather than trying to transition all at once. The primary actors are top management with involvement from layers of middle and lower management. This framework requires relative stability before and after the change. As such, it is better suited to episodic, rather than continuous change. It does not account for organizations that are already “unfrozen” or unstable, and does not allow for constantly-changing organizations that need to remain unfrozen for extended periods of time.\(^ {36}\)

The Sacred Six

The “Sacred Six” is a change model based on six steps:

1. **Create a context for change.** This step involves laying the groundwork so that the change transition can run more smoothly.

2. **Clarify a shared vision and goals.** This step requires attempting to change the culture to make the new change a part of the culture.

3. **Provide for planning and resources.** This step involves providing resources and incentives to motivate faculty to embrace the change.

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\(^{36}\) Ibid.
4. **Provide for training.** This step is straightforward and involves providing the necessary training to impart the knowledge and skills required for change.

5. **Monitor progress.** This step involves following up in assessments and adjustments, staying proactive and involved in the change once it has been launched.

6. **Provide continual assistance.** Similar to Step Five, this involves continuing to provide the same level of time, resources, and support that were involved in the launch of a change even after the new component is up and running.37

*Higher Education Case Study: The Sacred Six in Action at Western Kentucky University*38

Ric Keaster, Associate Dean for Administration and Research at Western Kentucky University, wrote a brief article summarizing how he used the “Sacred Six” to manage the transition toward online courses and distance education strategies in “an average-sized, traditional academic department in a public university in the southern United States.”39

Table 3 summarizes the steps that Keaster took in order to achieve each one of these steps. Particularly notable is the way that Keaster managed the expectations and incentives of the key faculty members who needed to collaborate to effect the change.

### Table 3: The “Sacred Six” in Action: Online Instruction

<table>
<thead>
<tr>
<th>Step</th>
<th>Measures Taken to Implement the Step</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Create a context for change.</td>
<td>- Held confidential meetings with individual members of faculty and staff.</td>
</tr>
<tr>
<td></td>
<td>- Encouraged faculty to move offices closer together</td>
</tr>
<tr>
<td></td>
<td>- Conducted two faculty retreats where department policies were revised.</td>
</tr>
<tr>
<td>2. Clarify a shared vision and goals.</td>
<td>- Announced a personal vision for the department to be the “best educational leadership department in the nation.”</td>
</tr>
<tr>
<td></td>
<td>- Made steps to change department culture. Revised the curriculum, adding several new courses and essentially changing the way the department did things.</td>
</tr>
<tr>
<td></td>
<td>- Hired new faculty members to reduce resistance to change among junior faculty</td>
</tr>
</tbody>
</table>

38 Ibid. pp. 48-53
39 Ibid. p. 48
### Measures Taken to Implement the Step

<table>
<thead>
<tr>
<th>Step</th>
<th>Measures Taken to Implement the Step</th>
</tr>
</thead>
</table>
| 3. Provide for planning and resources. | - Arranged a lighter teaching load for the faculty member teaching the first online course. This teacher was released from one course during the semester before she taught the online course.  
- Changed the monetary award policy to add more incentives for teachers. The Continuing Education department originally offered $600 to faculty members for each new course developed with an additional $400 going to the faculty member’s department. Keaster released the department funds to the faculty member so that faculty developing online courses would have a $1,000 incentive.  
- Purchased three new computers for faculty leading online courses. |
| 4. Provide for training. | - Provided individual instruction in Web site development through the technology department.  
- Brought in a consultant from another institution who conducted a workshop with faculty members. This consultant had considerable experience with online instruction.  
- Encouraged faculty members to develop areas of expertise within online instruction and give presentations to teach their area of expertise to others. |
| 5. Monitor progress. | - Visited faculty involved in online courses to assess progress and learn about problems and adjustment. |
| 6. Provide continual assistance. | - Arranged meetings to aid in the continuing development and perfection of the practice.  
- Provided additional resources such as computers, software programs, and technical support. |


### Multidimensional Approach

Some theorists point out the shortcomings of the so-called “n-step models” as being arbitrary: whether there are 4-steps or 6-steps is more a matter of preference. Indeed, these n-step models appear somewhat rigid and may run the risk of reinforcing an illusory “silver-bullet” theory of change management: follow these simple steps and your transition will be seamless.

These models are perhaps best seen as frameworks to understand an organization’s goals, and the needs of individuals within the organization. Change managers can draw upon the ideas behind the different models to account for their particular organizations.

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40 Ibid. p. 50-52
41 “Strategic and Change Management.” National Disability Services. p. 2
Corporate Case Study: A Multidimensional Approach for a Multinational Company

In 2002, Hewlett-Packard merged with Compaq Computer Corporation, forming a company with over 140,000 employees in more than 160 countries.\(^{42}\) The ensuing restructuring process required carefully managed change planning, carried out on a country-by-country basis.

Challenges included the physical and organizational merging of the two companies and the integration of functions. HP Norway needed to reduce the organizational complexity while maintaining core company values. To do this, the company undertook the following steps:

- **eSurvey:** In order to better understand the attitudes, values, and expectations held by the employees of both companies, a customized online survey was commissioned. This step enabled the newly-merged company to evaluate the current situation.\(^{43}\)

- **Defining Focus Area:** HP – Norway worked with a private firm to interpret the results of the survey, create a streamlined message, and define change activities.\(^{44}\)

- **Integration Portal:** Another step was the merger of the two companies’ existing websites into an Integration Portal. This provided practical information and allowed management to communicate directly with employees.\(^{45}\)

- **Office Relocation Event:** The change management team helped organize the physical merger by providing information and technical support and facilitating the interactions of new co-workers.\(^{46}\)

- **Project Support for the HP Management Team:** The team received further support to develop and execute the plan, tools and checklists for detailed project control and also identify high-risk areas and possible consequences.\(^{47}\)

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\(^{42}\) “Managing Change at HP Norway.” Accenture. op. cit.

\(^{43}\) Ibid.

\(^{44}\) Ibid.

\(^{45}\) Ibid.

\(^{46}\) Ibid.

\(^{47}\) Ibid.
Section Four: Change Management in Higher Education

Higher education is a unique setting for organizational change and one that has received comparatively little attention in the scholarly literature. As Shirley Ann Jackson puts it “There might be several million words in print on the subject of strategic planning. Amazon.com lists 5,857 individual titles. By contrast, when “university” is added to the subject “strategic planning,” a search brings up 25 titles; of those 13 are out of print.” 48 But change management is as necessary in higher education as in any other organization – if not more. “Universities exist in a climate where change is constant,” Jackson continues, “Those entities that do not adapt – strategically – likely will not survive.” 49

In this section, we present materials that address change management from a unique, higher education perspective.

Models of Change in Higher Education

Writing specifically about change in higher education, Adrianna Kezar frames her discussion of the nature of change in terms of six models or theories which are presented in Table 4. 50 She later suggests which of these models are most effective in higher education due to the unique characteristics of this setting.

<table>
<thead>
<tr>
<th>Model</th>
<th>Characterization of Change</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Evolutionary</td>
<td>Change is a response to external circumstances, institutional variables and the environment faced by each organization.</td>
<td>Morgan 51 (1986)</td>
</tr>
<tr>
<td>Teleological (or “Planned Change”)</td>
<td>Change occurs because leaders, change agents, and others see the necessity of change. Change is rational and linear but develops as the result of leadership initiatives.</td>
<td>Carnall 52 (1995) Carr, Hard, and Trahant 53 (1996)</td>
</tr>
<tr>
<td>Life Cycle</td>
<td>Change is a natural part of human or organizational development. The life of organizations is similar to the life of human beings and has stages of growth, organizational maturity, and organizational decline.</td>
<td>Levy and Merry 54 (1986)</td>
</tr>
</tbody>
</table>

Note: Jackson’s comments are from 2002 and do not reflect current numbers from Amazon.com.
49 Ibid. p. 103.
Change in higher education is best conceptualized using one of three models: cultural, social-cognition, or political.

<table>
<thead>
<tr>
<th>Model</th>
<th>Characterization of Change</th>
<th>Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>Dialectical (or Political)</td>
<td>Change is the result of a clashing between ideologies or belief systems. Change processes involve bargaining, consciousness-raising, persuasion, influence and power, and social movements.</td>
<td>Morgan (1986) Bolman and Deal (1991)</td>
</tr>
<tr>
<td>Social-cognition</td>
<td>Change is tied to learning and mental processes such as sense making and mental models. Change occurs because individuals see a need to grow, learn, and change their behavior.</td>
<td>Morgan (1986)</td>
</tr>
<tr>
<td>Cultural</td>
<td>Change occurs naturally as a response to changes in the human environment. Cultures are always changing and cause organizations to change with them. The change process tends to be long-term and slow and involves the alteration of values, beliefs, myths, and rituals.</td>
<td>Morgan (1986)</td>
</tr>
</tbody>
</table>

Source: Adrianna Kezar, Eric Digest.

Kezar suggests that “higher education institutions would seem to be best interpreted through cultural, social-cognition, and political models” due to the unique characteristics of the higher education setting.56

❖ **Cultural Models:** Cultural models are necessary because of the stable nature of employment caused by tenure, the strong organizational identification of employees, the emphasis on values, and the multiple organizational cultures that are distinctive to the academic environment.

❖ **Social Cognition:** Social cognition models are important because the lack of bottom-line performance guidelines means that “image and identification are extremely important in understanding if change is occurring and how it occurs.”57 Also, these models emphasize the importance of multiple interpretations, which may provide guidance in the area of higher education because its “loosely coupled structure, anarchical decision-making, and ambiguous goals make meaning unclear.”58

❖ **Dialectical/Political:** According to Kezar, the “interpretative power” of political models is helpful in terms of confronting the shared governance.

56 Ibid. Kezar suggests that higher education institutions have certain unique features that must be taken into account when developing a change management model that is suited to the higher education setting. These unique characteristics include the following: Interdependent organization; Relatively independent of their environment; Unique “academic” culture; Institutional status; Values-driven; Multiple power and authority structures; Professional and administrative values; Loosely coupled system; Organized decision-making; Shared governance; Employee commitment and tenure; Goal ambiguity; Image and success. These characteristics are discussed at greater length in Birnbaum, R. *How Colleges Work: The Cybernetics of Academic Organization and Leadership*. San Francisco: Jossey-Bass, 1991.
57 Ibid.
58 Ibid.
system, organized anarchy, conflicting administrative and professional values, and ambiguous, competing goals that are prevalent in the higher education setting.59

Change Management in Higher Education

One of the most comprehensive studies of change management specifically oriented toward the higher education sphere was authored in 2003 by Professor Geoff Scott. Scott is Director of Planning and Quality at the University of Technology in Sydney Australia (UTS), founder of the Australian Technology Network of Universities Quality Improvement Group, and adviser on quality assurance for teaching and learning in higher education to a range of countries including Finland, Sweden, South Africa, and Cambodia. He has also served as chair of the UTS Flexible Learning Task Force and is the author of the book Change Matters: Making a Difference in Education and Training.60

Scott’s ideas about change management in higher education are not terribly different from the ideas suggested in the rest of this report for all kinds of organizations. For Scott, effective change management centers around two key steps: “…we have to get smarter at both the ‘what’ of change (identifying change ideas that will really make a difference for students) and the ‘how’ of change (making sure these ideas work in practice).”61

The “What” of Change: Identifying Good Ideas

The main thrust of Scott’s first step is simple: change is not an end in itself. The first and most important step in change management is correctly identifying the change that needs to be made. This often means separating good ideas from bad ideas, feasible ideas from unattainable ones, and ideas for which the timing is right from those that may still be too early or too late for the needs of the institution. In order to pursue this strategy, Scott recommends researching the needs of students and the available resources of the institution.62

Scott’s article addresses two specific changes in higher education: the push for flexible learning and demand for online instruction. In addition to suggesting two specific changes that might suit the needs of his 2003 audience, Scott provides a listing of key characteristics that he believes these adjustments can help

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59 Ibid.
61 Ibid. p. 66
62 Ibid. p. 67-68
institutions to pursue. Although ideas like flexible learning and online instruction now seem familiar and almost outdated, Scott’s list of key characteristics is still relevant and may help institutions to focus on identifying the “what” of change. These characteristics are listed in Table 5.63

<table>
<thead>
<tr>
<th>Characteristic</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>Relevant</td>
<td>They are immediately <strong>relevant</strong> to the background, abilities, needs, and experiences of the students concerned and are delivered by staff who are accessible, responsive, up-to-date, and effective teachers.</td>
</tr>
<tr>
<td>Active</td>
<td>They provide more opportunities for <strong>active</strong> learning than they do for passive learning. In particular, they include frequent opportunities for students to work with each other and with people who are further down the same learning path and to actively search a range of relevant databases.</td>
</tr>
<tr>
<td>Practical</td>
<td>They constantly link <strong>theory with practice</strong>, especially through the provision of guided practice-based learning opportunities, real-life learning, and work placements.</td>
</tr>
<tr>
<td>Responsive to Expectations</td>
<td>They effectively manage students’ <strong>expectations</strong>, from the outset, about what level of service, support, and contact the students will be entitled to.</td>
</tr>
<tr>
<td>Digestible</td>
<td>They ensure that learning proceeds in a <strong>digestible</strong> manner.</td>
</tr>
<tr>
<td>Capability-based</td>
<td>They use a valid graduate <strong>capability</strong> profile to generate professionally and academically relevant assessment tasks. Learning designs specifically aimed at assisting students to successfully address these learning tasks are then developed. In this way relevant assessment, more than anything, drives learning.</td>
</tr>
<tr>
<td>Flexible</td>
<td>They provide students with opportunities to pursue <strong>flexible learning pathways</strong>. Although students are allowed greater flexibility and choice in the subjects undertaken, careful attention is given to ensuring that students still end up with the same spread and quality of capabilities at graduation.</td>
</tr>
<tr>
<td>Focused on Excellence in Assessment</td>
<td>They ensure that feedback on <strong>assessment</strong> tasks is both timely and focused. Particular attention is given to identifying where students are performing well, where improvement is needed, and how such areas for enhancement might best be addressed.</td>
</tr>
<tr>
<td>Encouraging of Independent Learning</td>
<td>They not only include opportunities for <strong>self-managed learning</strong> but also actively coach students in how to undertake it.</td>
</tr>
<tr>
<td>Responsive and Supportive to Student Needs</td>
<td>They provide <strong>support and administrative services</strong> that are responsive to students’ needs and that specifically optimize a student’s total college/university experience. This includes making access to learning times, locations, and resources as convenient as possible.</td>
</tr>
<tr>
<td>Cognizant of Prior Learning</td>
<td>They <strong>acknowledge</strong> prior learning and make provision for its recognition in both program delivery and program assessment.</td>
</tr>
</tbody>
</table>

Source: Geoff Scott, *Educause Review.*

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63 Ibid. p. 67
The “How” of Change: Implementing Good Ideas

According to Scott, “Taking what looks like a potentially relevant, desirable, and feasible change idea and making it work in practice is by far the hardest part of the quality-improvement and innovation process.”64 The most enduring section of Scott’s article focuses on the “how” of change, presenting eight key change lessons “identified from twenty years of research and experience in educational improvement and innovation.”65

**Lesson One:** There are far more options for improvement or innovation than there is time or resources to address them.

Lesson One ties in with identifying the “what” of change. Again, the instigator of change must identify “only those changes that are most relevant, desirable, and feasible.” Scott also stresses the importance of having a system to track the implementation and effectiveness of any changes that are pursued.66

**Lesson Two:** Change is not an event but is a complex and subjective learning/unlearning process for all concerned.

Lesson Two involves communicating change to those who will be most affected by change in their daily lives. It is important to identify how change will affect them and to understand what will motivate them to learn and support the change.67

**Lesson Three:** Enhancements in learning programs generate a need for improvements in the systems and infrastructure that underpin them.

Lesson Three goes hand in hand with Lesson Two and entails making sure that the day-to-day actors of change are involved in the “action team” that develops changes and additions to the infrastructure and systems that will make the change run smoothly.68

**Lesson Four:** The most-successful changes are the result of a team effort in which the most-appropriate and best-positioned people are involved in a process of action learning.

Lesson Four involves the development of “a positive and collaborative workplace and system culture” which identifies the most appropriate players in each change.

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64 Ibid. p. 70
65 Ibid. p. 73
66 Ibid. p. 73
67 Ibid. p. 73
68 Ibid. p. 73
priority and places them in positions of power. Like Lessons Two and Three, Lesson Four emphasizes that change can only succeed when it is accompanied by quality relationships with the key people who make the change happen.69

❖ Lesson Five: The change process is cyclical, not linear.

Lesson Five involves the recognition that change is not always a simple movement forward. Scott invokes the image of an “ongoing and rising spiral of design, implementation, tracking, and redesign” in order to emphasize that movement forward is often gradual and sometimes requires all involved to take a step backward to reassess and redesign what needs to be done.70

❖ Lesson Six: Change does not just happen—it must be led.

Lesson Six highlights the importance of leadership – not only from managers, administrators, and the main catalysts of change – but leadership from the bottom of all those involved in the implementation of change. Scott stresses the importance of making each person a leader within his or her own area of expertise and harnessing the leadership capabilities of teachers in the higher education sector. He also recommends that all employees should be familiar with research on effective change management so that everyone is in place to assume a place of leadership in the change.71

❖ Lesson Seven: Change is a mix of external forces and individual action.

Lesson Seven highlights the importance of flexibility in reacting to the external forces that can interact with the push for change. “Not all change is voluntary,” Scott points and advises that institutions must anticipate external factors and waves of change in order to use them to their advantage.72

❖ Lesson Eight: We must look outside as well as inside for viable change ideas and solutions.

Lesson Eight emphasizes the need to form partnerships and look outside of the organization at other institutions that have implemented similar changes.73

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69 Ibid. p. 74
70 Ibid. p. 74
71 Ibid. p. 74
72 Ibid. p. 74
73 Ibid. p. 74-75
Brent Ruben on Change Management in Higher Education

In the February 2004 issue of Business Officer, a publication of the National Association of College and University Business Officers (NACUBO), Susan Jurow conducted an in-depth interview with “change management champion” Brent Ruben about change management in higher education. Ruben has earned a reputation as a change management guru as the director of the Center for Organizational Development and Leadership at Rutgers University, author of Excellence in Higher Education: An Integrated Approach to Assessment, Planning, and Improvement in Colleges and Universities, and the leader of the NACUBO workshop “Baldrige goes to College: Organizational Assessment, Performance Measurement, and Action Planning.”

In his interview, Ruben highlighted the importance of culture in managing change. Culture, according to Ruben, consists of the ensemble of tangible and intangible stories and practices that constitute “the way things are done.” Culture is often even more influential than leadership. “Leaders come and go,” Ruben says, “…oftentimes the cultures are more effective at transforming the leaders than vice versa. It’s these largely tacit, somewhat invisible ways that the system works that have to be considered carefully before you engage in change initiatives.”

Ruben compares institutional culture to the immune system of an organism, which will attempt to ward off change like a sickness. “When faced with intrusions that are perceived as threats to traditions or operating practices, the culture has a way of mobilizing itself to fight off the intrusions of potentially infectious innovations or innovators.”

Higher education represents not just one culture, but rather a wide array of potentially change-resistant cultures:

We have the administrative or business culture of every campus, the student culture, and the academic culture. In the broadest sense, the differences between the business culture and the academic culture are vast. It would be bad enough if you just had the problems of introducing change within one resistant but homogeneous culture, but we’re usually talking about two or three potentially resistant or homogeneous cultures.

Ruben suggests a three-step approach to addressing the cultural side of change:

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upic.uwf.edu/Files/DepPubFiles/DepID_9035/CatID_16/setinyourwaysarticle.doc
75 Ibid. p. 19, 21
76 Ibid. p. 20
77 Ibid. p. 22
78 Ibid. p. 21
First, assess the readiness of the culture. Because of the power of culture both as an obstacle to and catalyst for change, the leader of change requires a “realistic read on the extent to which what you want to happen is going to be consistent with or is going to confront the core issues of the culture.”79 If the culture is not ready, it may be impossible and even counterproductive to initiate the desired change. “You have to use existing culture even if your goal is to change it,” Ruben says.80

Second, understand “what has made the culture the way it is.”81 Understanding how the culture came about can provide insight into what people value and supply the key to motivating support of the proposed change. Ruben stresses the need to make sure that the agents responsible for effecting change see that change as beneficial not only for the institution as a whole, but also for themselves on a personal individual level. “Pointing out that a new direction is in the best interests of the institution is seldom sufficient, unless that statement can be buttressed with compelling reasons why the change is also in the best interest of those whom you want to endorse and support the change,” Ruben says.82 By understanding the underlying causes of how the culture has developed, the change manager can learn how to convince these agents that changes to the status quo will “address their needs in a slightly different way.”83

Communication. The third key is understanding how to communicate within the culture. Ruben discusses the need to find a language that will resonate with the agents of change and avoiding terms that may increase resistance to change.

Table 6: Tips for Successful Change Management in Higher Education

<table>
<thead>
<tr>
<th>Kezar84</th>
<th>Keaster85</th>
</tr>
</thead>
<tbody>
<tr>
<td>Promote organizational self-discovery</td>
<td>Plan up front to work your way through the change effort. I was fortunate in having apparently internalized the basic process. Planning—using the Sacred Six from the beginning with a vision in mind—would have helped.</td>
</tr>
<tr>
<td>Be aware of how institutional culture affects change</td>
<td>Be creative in providing stimuli or motivation for your people. Appeal to their sense of improving the organization and achieving self-actualization.</td>
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<tr>
<td>Realize that change in higher education is often political</td>
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</tr>
<tr>
<td>Lay the groundwork for change</td>
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</table>

79 Ibid. p. 20
80 Ibid. p. 21
81 Ibid. p. 20
82 Ibid. p. 21
83 Ibid. p. 20
<table>
<thead>
<tr>
<th>Kezar⁸⁴</th>
<th>Keaster⁸⁵</th>
</tr>
</thead>
<tbody>
<tr>
<td>Focus on adaptability</td>
<td></td>
</tr>
<tr>
<td>Construct opportunities for interaction to develop new mental models</td>
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<tr>
<td>Strive to create homeostasis and balance external, forces with internal environment</td>
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<tr>
<td>Combine traditional teleological tools such as establishing vision, planning, or strategy with social-cognition, cultural, and political strategies</td>
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<td>Be open to a disorderly process</td>
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<tr>
<td>Facilitate shared governance and collective decision-making</td>
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<td>Articulate core characteristics</td>
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<td>Focus on image</td>
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<tr>
<td>Connect the change process to individual and institutional identity</td>
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<tr>
<td>Create a culture of risk and help people in changing belief systems</td>
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<tr>
<td>Be aware that various levels or aspects of the organization will need different change models</td>
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<tr>
<td>Realize that strategies for change vary by change initiative</td>
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<tr>
<td>Consider combining models or approaches</td>
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<tr>
<td>Engage them in the process of creating a need for change. Assumed ownership of a problem and solution is an extremely effective motivator.</td>
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</tr>
<tr>
<td>Change is personal. Tend to the &quot;people side&quot; of change. Focus on their needs as you work your way through the process.</td>
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</tr>
<tr>
<td>Capitalize on the success of innovators and early adopters in the organization. The theory of building on small wins applies here.</td>
<td></td>
</tr>
<tr>
<td>Success begets success—that is, incidental benefits or spin-offs. As a result of the department’s success with distance education, it has increased its master's as well as its specialist’s and doctoral program enrollments.</td>
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</tr>
<tr>
<td>Remove obstacles or barriers that might arise during implementation, if possible. If not, solve problems together.</td>
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</tr>
<tr>
<td>Late adopters eventually come around. Be persistent. Ask more than once and in a variety of ways.</td>
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</tr>
<tr>
<td>Leaders of each organization must determine whether online instruction and distance education are right for them. There is too much invested (time, money, faculty energy) to merely jump on what might be perceived as this technology-driven bandwagon. Once committed, however, follow through as completely as possible.</td>
<td></td>
</tr>
</tbody>
</table>

Source: Adrianna Kezar and Ric Keaster.
Project Evaluation Form

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