



2015 - 2016
Effective Change Management Workgroup Report

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Executive Summary

As a world-class research university, the University of California is in a constant state of change. From systemwide initiatives to small departmental changes, the nearly 200,000 employees, specifically the over 138,000 UC staff members, are frequently confronted with change. In 2012 and 2015, the Council of UC Staff Assemblies conducted a staff engagement survey. One of the key takeaways from both surveys was the perception of staff that UC does not manage change well. Organizational change management had the lowest approval rating with only about one-third of survey respondents rating it positively.

Across the system there are examples of groups effectively managing change on projects of various sizes. Resources for understanding and using the change management process are available to some staff and have been successfully used to help staff manage change.

In many other scenarios, change is being managed poorly due to lack of training and communication. Staff morale and engagement decreases as staff become convinced they are outside of the process and an afterthought to change. Effective change management practices minimize the perceived impact of change on staff. When projects were poorly received at first, perception changed and the results became noticeably better, if the management team reworked the project to include a change management component.

Despite evidence that delivering tools and information to staff helps them to adapt quicker and more efficiently to change, some project leaders do not to include a change management strategy. When project leadership sees and understands the value of enlisting staff in the change process through any number of change management practices, they discover an incredible asset in staff's ability and desire to "co-create" the change.

CUCSA recommends that the UC system should take action to ensure that change management tools and practices are incorporated into initiatives and that staff at all levels are trained in the language of change management. UC should take the following steps:

- Train all employees in change management
 - Make all UC Learning Center trainings available to all employees at every level
 - Create custom training for employee groups
 - Executives – training with an emphasis on sponsoring change and communication
 - Manager and supervisor – coping with change, communication and leading others through change
 - Individual contributors – their role in change and how to cope with it
- Create a communication strategy for all change
- Establish a Center of Excellence to help leaders with change management

Introduction

Organizational change and the change management process at the UC scored the lowest approval rating on the recent 2015 Staff Engagement Survey. Only roughly a third of UC staff surveyed said they viewed 'favorably' the way organizational change and change management is handled at the UC. This poor showing echoes similar results from the 2012 Staff Engagement Survey and is a clear indication of some continuing issues in the way that organizational change is managed and communicated at the UC. With such low scores on the engagement survey, it was clear to this year's CUCSA delegation that organizational change and change management deserved greater focus and, as such, the Effective Change Management Workgroup was convened.

What is Our Charge?

The Effective Change Management Workgroup viewed its charge as:

- Evaluate available change management resources at the campus level and systemwide.
- Research what kind of formal structure exists around change management.
 - To what extent is it valued?
- Identify key successes and failures and specify why.
- Compile a Library of change management resources and make them available to staff via the CUCSA.
 - UC Learning Center trainings
 - articles, blogs, podcasts, journals, books
 - extension classes
- Make recommendations to leadership on how to improve the staff perception of organizational change management.

2015 Staff Engagement Survey Results

Per the following charts, organizational change stood out in both the 2012 and 2015 Staff Engagement Surveys as an area that was consistently perceived as having significant room for improvement.

Summary Category Scores vs. Benchmark

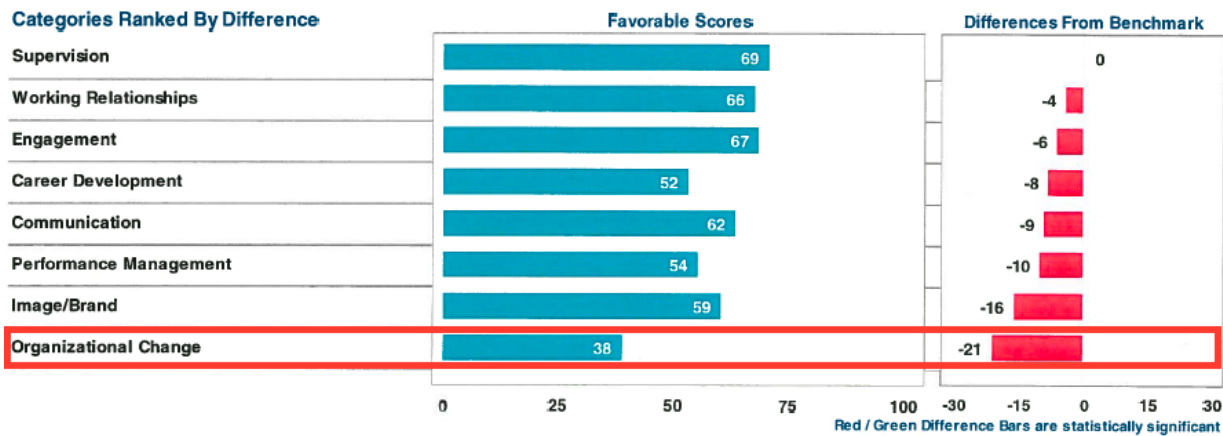
UC OVERALL [W] (N=8,096)

vs. TOWERS WATSON U.S. NATIONAL NORM (N=160,605)

2012

TOWERS WATSON 

Categories Ranked By Difference



Bottom 5 Items

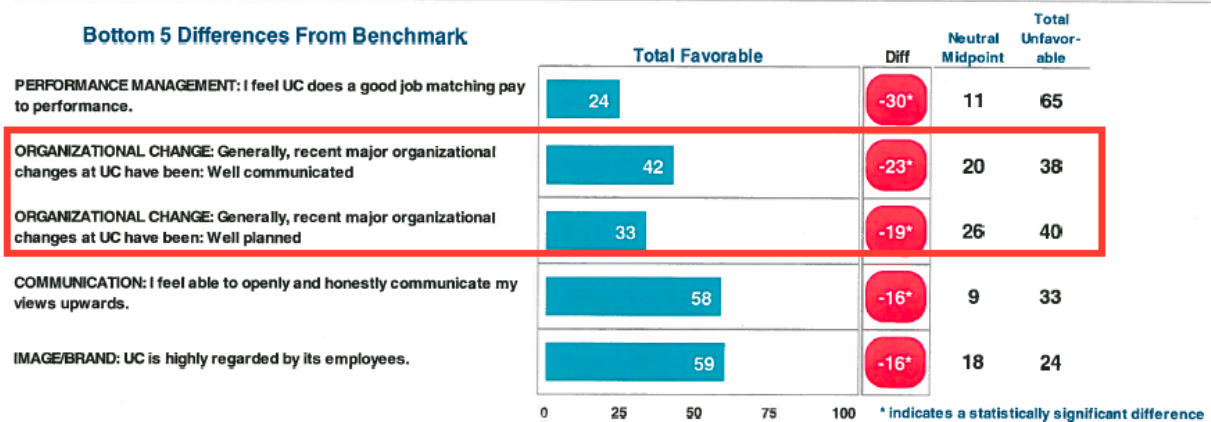
UC OVERALL [W] (N=8,096)

vs. TOWERS WATSON U.S. NATIONAL NORM (N=160,605)

2012

TOWERS WATSON 

Bottom 5 Differences From Benchmark



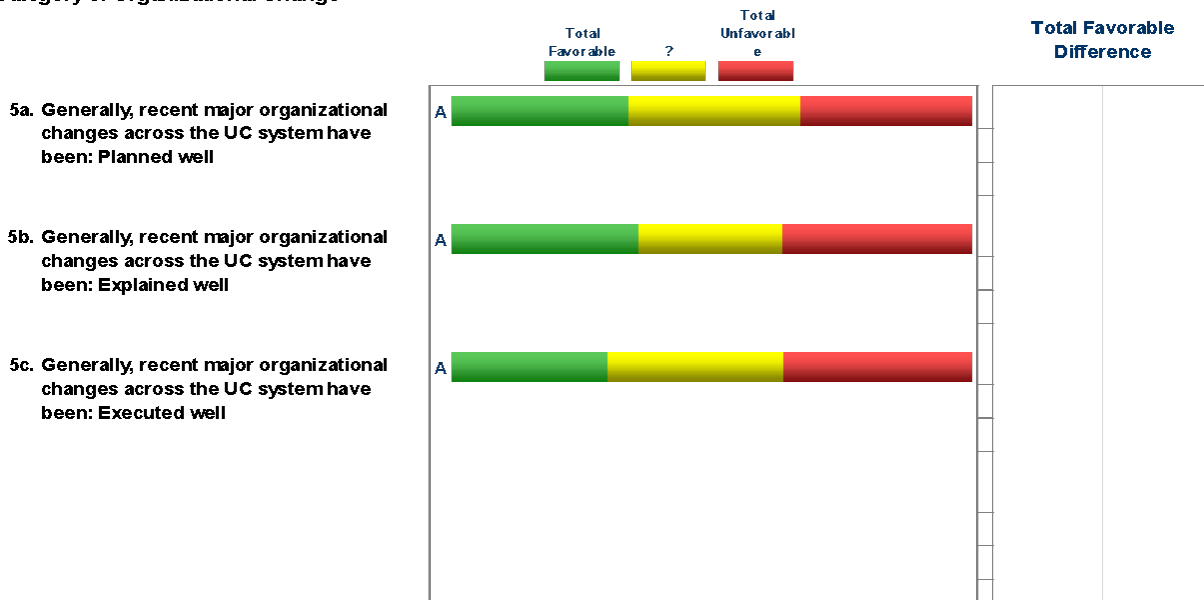
In 2012, the results of the survey among the campuses were compared with the results from the Towers Watson US National Norm, and Organizational Change, as a topic area, stood out with the largest variance of the 8 areas from the Towers Watson benchmark where the percent of favorable responses from UC respondents was only 38%, and was 21% below that of the national norm. Two of the Organizational Change questions also ranked within the bottom five in comparison to the

national norms. These two questions related to whether organizational changes had been well communicated (38% unfavorable response rate for UC) and well planned (40% unfavorable response rate).

When the 2015 survey results, which contained the same eight topic areas and generally the same questions as the 2012 survey, were analyzed, the results on Organizational Change appeared to degrade. When compared again to the US National Norm, the 33% favorable response rate was 13% below the norm, and 2% lower than the previous survey. The silver lining could be viewed that the national norm actually dipped more over the same period by 13% down to 46% favorable responses overall. Again, two individual questions related to the execution and communication of change had the two highest differences from the national benchmark of the entire survey. This indicates that the issues related to organizational change management are not unique to the UC campuses, and also highlights the need for more focused efforts to come up with change management practices that can help UC become a leader in this area.

Items By Category
UC OVERALL [W] (N=9,468)

Category 5: Organizational Change

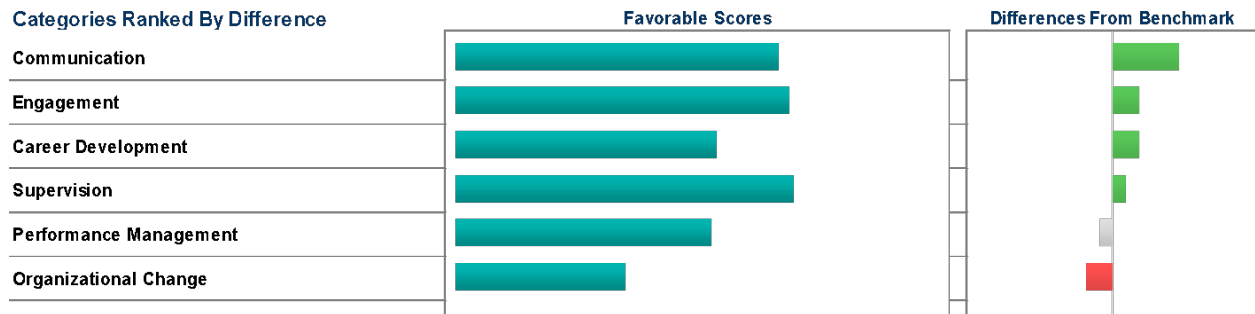


Legend
 A. UC OVERALL [W] (N=9,468)

Summary Category Scores vs. Benchmark

UC OVERALL [W] (N=9,468)

vs. UC OVERALL [W] 2012 (N=8,096)



2 Categories cannot be compared to this Benchmark

Red / Green Difference Bars are statistically significant

Campus Surveys

Upon convening our workgroup, in an early effort to get a better understanding of what was happening with change management at the campus level, we sent an informal email survey to our fellow CUCSA delegates asking them for particulars about how change management was being handled in their department and at their campus. The responses we received showed some differences between campuses from UC Irvine, who use change management extensively on their projects, to UC Merced, who are without dedicated change management training modules, and instead, get their change management training through lynda.com. There were also a few similarities.

We asked them the following questions:

- Please give examples of change management training and development at your location (and contacts for those programs should more info be needed).
- Please give examples of change initiatives that were well planned, communicated and executed (was a formal change management process used for this initiative?).
- Please give examples of change initiatives that did not go well, and why they failed? What was the impact of the failure?
- Is there a permanent change management function or unit at your campus, and if so, where does it reside (e.g., within HR) and how is it staffed?

We received responses back from eight campuses. Of the locations that responded, most offered change management training for directors and managers but not for general staff. Another common theme was that there was a healthy demand for even more training on the topic of change management. While some of our colleagues were able to identify failures of change

management at their locations, there were just as many successes. Even when changes started out rocky and unsuccessful, by pivoting and adding an enhanced change management component, one campus could report that the change process improved.

Under training and development, it was remarked by a few campuses that change management training was available to managers and above through web based portals like UC Learning. It was also remarked that the demand for change management training was on the rise. When asked about change programs that were well planned and executed, locations were able to identify a number of successes. At UCLA, the transition to Google mail took approximately 24 months but was well handled. At UC Davis, the staged roll out of the Quali financial system was a success thanks to a committed change taskforce that created a website to focus on campus communications. The rollout was completed 3 years ago but the taskforce is still dispatching regular communications updates with any new information. With regards to change that was handled poorly, UC Davis's shared services center did not launch well. The UC Davis Shared Service Center was launched as a budgetary savings initiative in 2011. The Staff FTE was taken from administrative units before clear separation of duties were created. This meant that staff were removed from the administrative units, but the work remained. The SSC communication process was very weak, which left many users to just guess at what was happening. The initial SSC director was not open to feedback, which worsened the communication and service issues. A new director was brought in a year ago with a renewed focus on change management and communication, which has improved the experience.

As for a permanent change management function, most of the locations responded that an office for change management did not exist; however, UC Davis established a Center for Organizational Excellence. When reviewing the responses, it is apparent that there is a need for consistency systemwide, not just for the content of the programs but also for communication of where to find them and what is available. The complete responses can be found in Appendix B.

Subject Matter Expert Input

In pursuit of an expert overview of how some change processes are handled at the UC Office of the President (UCOP), we surveyed four Subject Matter Expert's (SME) from UCOP's Program Management Office and a Senior Organizational Consultant from UC Berkeley asking them to provide a basic understanding of how change management is used at UC. Our questions were intended to solicit honest and objective analysis of the change management process as they experienced it while managing projects across the system and to allow them to accurately portray how some elements of change management were working well, where others were failing.

Because our SME's are involved in a change project long before it is introduced to staff, we asked them about the process by which a change management component is added to a project scope and whether it is based on the project's cost, the number of impacted FTE's, project leadership or other factors.

“Change management is always part of a project whether or not it is officially adopted as part of the deliverables,” said one of our SME’s. “It comes down to the project leader. If they believe there is value in adding a change management component they will make sure that it is included,” said another. Both responses underline the significance of project leadership’s view on change management and its impact on a project’s success. Often when a project leader is not required to include a change management component to their project, they simply won’t because they’re not convinced it’s worth the cost. It’s a view not shared by our experts who feel choosing to *not* use change management principles on a project is due “in large part to a lack of general understanding of what change management is and the impact it has on a project.” and that “to discount the change management aspects of a project really does a disservice to the project.”

They were even able to produce examples of when the inclusion of change management turned a project around:

“The Printer Initiative; It had failed twice. On the third project we recognized that change management was the most difficult part of the project so we formally recognized the change management in the project plan and provided resources to make it happen.”

Others weren’t surprised at resistance to adopting change management methods by some project leaders:

“Generally, it takes a few failures before project leaders begin to appreciate the degree to which the cooperation of the affected community affects the project outcomes and the ROI on the intended change.”

We asked our experts about standardized methods and resources for managing change and they agreed that options available to project leaders include the use of change management professionals; a training lead, a communications lead, and local implementation leaders in the affected departments. In situations where budgetary restrictions prohibit the contracting of outside experts these jobs often get assigned to other project participants.

We turned our focus also to the Engagement Survey and asked our experts how they thought it could be that change management is viewed so unfavorably by UC Staff. The answer for some wasn’t hard to find. “There is no formal change management here at UCOP.”

Centers of Excellence and communities of interest throughout the system have come to life in response to the need brought about by huge change projects in the last decade but they have invariably pivoted or morphed into other programs as the campuses needs have changed. “It’s because of the inconsistent application of change management. There are no standardized processes and the success or failure pretty much depends on who is implementing it.”

We asked our experts based on their experience if they thought change management at the university was handled as well or worse than in previous business environments in which they worked and they were pragmatic but optimistic. For some who were seeing improvement, it was clear that project leaders at UC were seeing the importance of change management as the new

norm. “At OP on a scale of 1 to 10, with 10 being great, I would place OP around a 3-4 in general. I think the assumption is that there is little to no impact in most projects.” Despite this unglamorous assessment other experts had reason to be optimistic. “There is a much broader appreciation of the need for change management and a rising level of competence at executing the change management aspects of projects.”

Finally, we asked our experts to detail successes and failures with organizational change. In our conversations with the SMEs, it was clear the dividing line between successful and less successful projects was drawn right at the point where change management should be inserted into the process. One SME responded that the transition to bi-weekly pay could have been handled more effectively, “There was not enough due diligence on the change impact; not enough advance communication to bring people along and build support and ask questions.”

Another example was the rebranding project, “It was top down focused and didn’t get buy in.”

There have been notable examples of successes. The SMEs viewed favorably a recent new VOIP phone system implementation. “ITS did a good job on the phone system roll out for the most part. Plenty of early communication about the transition; offering hands-on training and desk reference collateral.” At Berkeley, they had success moving everyone to a new Gmail based email system and another well-handled change mentioned was the UCOP Budget Development System. For all of our SME’s there was a baseline understanding that projects were managed better and negative impact to staff was minimized where sufficient change management resources were available. Regardless of the size of a project, they noticed greater adoption rates and easier transitions when staff were provided with resources to facilitate the change. As one of our experts pointed out, “when change management is really done well, it doesn’t seem like much of a change.”

Profiles in Change Management Success

UCOP ITS Quality Assurance and Production Services Group

Change Management can mean a few different things to UC staff. For most staff it means organizational change but for staff in IT groups change management can mean the discipline by which changes to an IT system are identified, vetted, ordered and performed so as to eliminate any impact of the change. In complex IT projects where even the slightest modification of one element can have impact to other elements that are connected to it, any change in the system has to be closely managed and monitored. We met with two change managers to learn more about what they do and how their roles as change managers impact staff.

Pamela Sampson-Smith, Change Management Supervisor and Rod Marquez, Senior Change Management Analyst are two of the Quality Assurance and Production Services Group’s Change Managers who get to work with many different groups in IT Services on a range of projects predominantly focused on web based applications like At Your Service Online, UC Net and other apps that are used by virtually all staff. Pamela and Rod’s group are the “safe keepers of production” who work with different applications groups to make sure their updates to any existing apps don’t create issues elsewhere in the system.

A relatively new discipline at UCOP, the Quality Assurance and Production Services Group encountered some resistance at first because many of their methods added steps to the process and IT managers and programmers did not like it. What they liked even less was the impact to their customers when they did not follow the proper change management processes and created bugs in their applications that then had to be addressed before the change could be completed. Before Pamela and Rod's group was formed these types of changes were handled one off or with a minimal amount of guidance. What they are able to do now is bring all the stakeholders of the change together and walk them through the change process, following the ITIL* industry standard best practices and shepherding each change through its steps to completion. The Quality Assurance and Production Services group helps their customers by creating templates for them that make requesting and managing change easier and more structured. They also make sure all the testing is completed, that subsidiary business units are informed and that communications are sent out to the campuses. Using other tools like access management, request fulfillment management, weekly change meetings and other ITIL practices the Quality Assurance and Production Services Group has further established its operational integrity by virtue of the number of successful projects it has managed.

* <https://en.wikipedia.org/wiki/ITIL>

UC San Diego and Prosci: An Award Winning Partnership in Change

In 2015, UC San Diego Staff Education and Development (Staff Ed), a division of Human Resources, launched a campuswide effort to familiarize and educate campus leaders and staff in effective change management by partnering with Prosci, Inc. From February – May 2015, over 500 staff members were trained through a series of targeted sessions.

Background

In 2012, UC San Diego began an effort to develop the first ever comprehensive strategic plan, *Defining Our Future*. The plan was released in 2013 and included five goals and 13 initial strategies that serve as a framework to support the goals. The strategic plan process and initial roll out brought to the forefront the need for training around change management as the campus was implementing many changes and employees were not ready for them. Campus leaders tasked the Organizational Strategic Initiatives team (OSI) with finding a vendor to assist with change management. OSI engaged Staff Ed in looking into vendors who could help employees feel prepared for change and guiding leaders in how to effectively implement change.

Successful Change: Delivering the Future of UC San Diego

Staff Ed identified Prosci, a leader in change management research, to partner in creating an implementation plan in educating employees about their role in change. Prosci, Staff Ed and OSI identified two desired outcomes:

- Increase the level of awareness of the importance of change management and its application to various projects.
- Create a common language and methodology around change management that is understood across the organization yet can be applied to a variety of unique projects. The key element for this common language and methodology is the ADKAR acronym which represents the elements of individual change. **ADKAR** = awareness, desire, knowledge, ability, reinforcement

The proposal was titled *Successful Change: Delivering the Future of UC San Diego* and included three phases:

- *Delivering the Vision*
 - Concepts: envision, equip and enable successful change
 - Target audience: executives and senior leaders that sponsor change
- *Delivering the Results*
 - Concepts: inspire and lead the way to successful change
 - Target audience: managers, supervisors and individual contributors who assist employees through change
- *Delivering the Performance*
 - Concepts: contribute confidently to successful change
 - Target audience: individual contributors

The chancellor endorsed the plan and implementation began in February 2015.

Prosci/UC San Diego Timeline

January 2014	<p>Introduction to Prosci</p> <p>A group of Human Resources staff participate in a three-day retreat where staff were introduced to Prosci and the ADKAR model and challenged to come up with sample plans to effectively roll out initiatives.</p>
August 2014	<p>Prosci Certified Trainers</p> <p>The members of Staff Education and Development were trained by Prosci and certified to train others in Prosci and the ADKAR model.</p>
February 2015	<p>Chancellor's Strategic Planning Council</p> <p>One-hour program to introduce campus leaders to Prosci with an emphasis on sponsorship role.</p>
March 2015	<p>Executive Forum: <i>Delivering the Vision</i></p> <p>Full-day training for executive and senior leaders (SMG and MSP C and above) which focused on sponsoring change.</p>
April/May 2015	<p>Leadership Advance: <i>Delivering the Results</i></p> <p>Full-day training held twice for managers, supervisors and individual contributors who assist employees through change. The sessions focused on tools and skills for understanding and processing change and then successfully leading others through change.</p>
May 2015	<p>Staff Development Program: <i>Delivering the Performance</i></p> <p>Half-day sessions for professional and support staff to familiarize them with change management process and language, as well as, engage them in their contributions to and impact in change.</p>

Program Evaluation

Post-program surveys were sent out to Leadership Advance and Staff Development Program participants.

- Leadership Advance – 51% response rate
 - 91% - strongly agree/agree that their time was well spent in the program
 - 93% - strongly agree/agree that the program provided them with tools and knowledge that can be applied on the job
 - 56% - intended to use the information and tools immediately. Another 26%, within three months
 - 82% Strongly agree/agree that they would recommend the program to someone else
- Staff Development Program – 47% response rate
 - 89% - strongly agree/agree that their time was well spent in the program
 - 91% - strongly agree/agree that the program provided them with tools and knowledge that can be applied on the job
 - 53% - intended to use the information and tools immediately. Another 24%, within three months
 - 92% Strongly agree/agree that they would recommend the program to someone else

Post-program Activities

Employees continue to be engaged through Prosci hosted webinars and a UCSD Change Management LinkedIn Group. Additionally, Staff Ed offers:

- Campus workshops
 - Employee Orientation to Change (Prosci model)
 - Change Management Program for Managers (Prosci model)
 - Change Management Sponsor Program (Prosci model)
 - Individual Transitions (psychological aspect of change)
 - Managing Transitions in Organizations (psychological aspect of change)
- Change management consultation using the Prosci methodology
- Assessments related to personally managing change and assessing individual change style

Conclusion

The UC San Diego and Prosci partnership created a best practice model and effectively met the intended goals of creating awareness about change management and establishing a common language. This partnership was the first of its kind for Prosci and the approach is unprecedented in higher education. In October 2015, Staff Ed received a PEAK (Performance Excellence and Applied Knowledge) Performance Award from the Association for Talent Development, San Diego Chapter, for *Successful Change: Delivering the Future of UC San Diego*.

Conclusions and Recommendations

Conclusion

In many of the changes we studied, it was obvious that without a strong change management component the change would have been subject to problems of adoption, communication and ownership. In a number of examples, when change leaders understood the need for improved change management on their projects and were able to implement it they could show how the project had in essence been successfully turned around.

Our efforts and evidence point to the conclusion that effective change management is possible when change leaders account for it in their projects, when staff are given an informed and objective path to the change and when change leaders see that their greatest asset in instituting successful change is an informed and engaged staff.

Recommendations

Based on our findings the recommendations of the Effective Change Management Workgroup are to:

- Make all existing UC Learning modules on change management available to all staff.
It seems systemwide the change management learning opportunities are currently only available to managers and above. When we open up the opportunity for staff to know more about change management we can expect them to embrace it better and improve a change's chances of adoption.
- Generate new staff oriented change management learning or awareness modules.
Our campus surveys showed that more training opportunities were needed, that departments were consistently asking for more change management training and that there was a genuine need for change management training for staff.
- Recommend a change management component to any change that impacts more than 25 FTE's
In discussions with our SME's it was clear that even changes that deal with a small number of employees can have a significant impact, and inasmuch as smaller changes may command fewer change management resources, assigning a 25 FTE threshold for a change mandate on a project seemed manageable.
- Establish a systemwide change management Center of Excellence to advise directors and managers of change on their projects.
In their many iterations the Center of Operational Excellence model has taken root on campuses and at the Office of the President but its longevity is often subject to the whim of change leaders. Our findings show that a Center of Operational Excellence at a system wide level could have a significant impact on the quality of changes to come providing resources to change managers and empowering staff.

Appendix A: Change Management Resource Library

We have assembled a small library of resources about change management that includes books, blogs, periodicals, podcasts, and other materials to assist staff with questions they may have about the topic. The spreadsheet included here will eventually live on the CUCSA SharePoint where all staff can have access.

Type	Title	Author	Publisher	ISBN	Link
Book	Switch	Chip Heath & Dan Heath	Crown	ISBN 030759016X	http://www.amazon.com/Switch-Change-Things-When-Hard/dp/0385528752/ref=sr_1_1?ie=UTF8&qid=1462483725&sr=8-1&keywords=Switch+Dan+Heath
Blog	17 Change Management Blogs to follow	Dr Jen Frahm	N/A	N/A	http://conversationsofchange.com.au/17-change-management-blogs-to-follow/
Book	Our Iceberg is Melting	John Kotter	St. Martins Press	ISBN 031236198X	
Book	Making Change Happen One Person at a Time	Charles H. Bishop, Jr.	AMACON	ISBN 0814405282	
pdf	A Leadership Guide to Managing Change	Dale Carnegie Training	DCT	N/A	http://www.dalecarnegie.com/assets/1/7/DaleCarnegieChangeManagementGuide.pdf
Blog	Change Management Blog	Holger Nauheimer	Blogger.com	N/A	http://www.change-management-blog.com/
Podcast	Removing the Mumbo Jumbo from Change Management	Jason Little	Lean Change.org	N/A	http://leanchange.org/2016/03/removing-the-mumbo-jumbo-from-change-management/
Blog	Five Change Management Strategies for Global ERP Implementations	Rick Platz	Panorama Consulting	N/A	http://panorama-consulting.com/five-change-management-strategies-for-global-erp-implementations/
Blog	7 Fun and Engaging Change Management Exercises	Christopher Smith	change.walkme.com	N/A	http://change.walkme.com/7-fun-and-engaging-change-management-exercises/
Blog	Amazing Infographic: Understanding the Different Layers of Change Management	Christopher Smith	change.walkme.com	N/A	http://change.walkme.com/amazing-infographic-understanding-the-different-layers-of-change-management/
Blog	7 steps to Perfect Change Management	Rachel Burger	Capterra PM	N/A	http://blog.capterra.com/7-steps-to-perfect-change-management/
Book	Leading Change	John Kotter	Harvard Business Review Press	ISBN 978-1-4221-8643-5	N/A

Type	Title	Author	Publisher	ISBN	Link
Book	Change Management - The People Side of Change	Jeffrey M. Hiatt & Timothy J. Creasey	Prosci	ISBN 1-930885-18-0	N/A
Book	Change Management - A Guide to Effective Implementation	McCalman, Paton & Siebert	Sage	N/A	
Article	Change Management 101: A Primer	Fred Nickols	Nickols	N/A	http://www.nickols.us/change.htm
Book	Change Management: Concepts and Practice (The Technical Manager's Survival Guides)	Marcus Goncalves	ASME	9780791802649	N/A
Class	Moving Through Change: What's In It For Me? - Course Number: MGT X469.04	Staff Instructor - UCR Extension	UC Riverside Extension	No textbook req'd	https://www.extension.ucr.edu/course/717432/MGTX46904/MovingThroughChangeWhatsInItForMe
Book	Agile change management : a practical framework for successful change planning and implementation	Melanie Franklin	Kogan Page	9780749470999	N/A
Book	Management of organizational change : leveraging transformation	K. Harigopal	Response Books	761934154	N/A
Book	Strategic organizational change : building change capabilities in your organization	Ellen R. Auster, Krista K. Wylie, Michael S. Valente	Palgrave Macmillan	1403991499	N/A
Book	Beyond change management: how to achieve breakthrough results through conscious change leadership	Dean Anderson, Linda Ackerman Anderson	Pfeiffer	792698160	N/A
Journal	Journal of Organizational Change Management	Various	Emerald Insight	ISSN 0953-4814	http://www.emeraldinsight.com/loi/jocm

Type	Title	Author	Publisher	ISBN	Link
Journal	Journal of Management & Change	Various	Estonian Business School Review	ISSN 2228-2181	http://www.ebs.ee/en/research-and-doctoral-studies/journal-of-management-and-change
Journal	Journal of Change Management	Various	Routledge	ISSN 1469-7017	http://www.tandfonline.com/toc/rjcm20/current
Brochure	Effective Change Management in Higher Education	Geoff Scott	Educause	N/A	https://net.educause.edu/ir/library/pdf/erm0363.pdf
Web	Effective Organizational Change in Higher Education	John Borwick	The evollution	N/A	http://evollution.com/opinions/effective-organizational-change-higher-education/
Book	Who Moved My Cheese?	Spencer Johnson	Vermillon	ISBN13: 9780091883768	N/A
Book	Influencer: The Power of Change Anything	Kerry Patterson	McGraw-Hill	ISBN13: 9780071484992	N/A
Book	The Heat of Change: Real-Life Stories of How People Change Their Organizations	John Kotter	Harvard Business Review Press	ISBN13: 9781578512546	N/A
Book	Leading Cultural Change: The Theory and Practice of Successful Organizational Transformation	James McCalman	Kogan Page	ISBN: 0749473037	N/A
Book	The Dance of Change: the challenges to sustaining momentum in a learning organization	Peter M. Senge, Richard Ross, Art Kleiner, Charlotte Roberts	Crown Business	ISBN: 0385493223	N/A
Podcast	The Impacts of Change	Professor John Kotter	YouTube	N/A	http://www.strategies-for-managing-change.com/what-is-change-management.html

Appendix B: Campus Surveys

UCLA

I'm sorry I don't have much contribute. Change management does not appear to be high priority on the campus-wide level, but I'm sure local implementations and processes are much better.

- Examples of change management training and development at your location (and contacts for those programs should more info be needed)
 - I'm not aware of any campus-wide training, but the central IT department follows ITIL, and within that framework there is a component of Change Management. The contact would be Nisi Vidato (nvidato@it.ucla.edu)
- Examples of change initiatives that were well planned, communicated and executed (was a formal change management process used for this initiative?)
 - It took a couple of years, but UCLA did transition email from the campus to GOOGLE. I thought the entire process was well planned.
- Examples of change initiatives that did not go well, and why they failed? What was the impact of the failure?
 - Change initiatives that are not mandated and don't go well, we don't hear from again. Change initiatives that are mandated, whether it goes well or not, everyone lives with the consequences. Good change = cost savings, efficiency, etc., Bad change = extra work, extra cost, and extra headache.
- Is there a permanent change management function or unit at your campus, and if so, where does it reside (e.g., within HR) and how is it staffed?
 - No

UC Davis

Change Management is an area that we struggle with on the Davis campus. I added information below that I would find on our web.

On Oct 5, 2015, at 3:35 PM, Pam Taylor <ptaylor@ucmerced.edu> wrote:

CUCSA Colleagues,

Just to follow up on my earlier e-mail and provide more clarity around what we in the change management working group are looking for, we'd like your help in identifying the following:

- Examples of change management training and development at your location (and contacts for those programs should more info be needed)

Change management for managers

document: http://www.hr.ucdavis.edu/asap/pdf_files/managingchange.pdf

- Examples of change initiatives that were well planned, communicated and executed (was a formal change management process used for this initiative?)

The best example I have seen on campus is the staged roll out of the Kuali financial system. A task force was in place that focused on campus communication and a website was created. Although the system rolled out three years ago in phases, we still receive regular communication updates.

- Examples of change initiatives that did not go well, and why they failed? What was the impact of the failure?

Launch of the shared services center did not go well. The center lost a lot of trust. A year ago a new director was hired and HUGE improvements in communication have been made.

Reorganization of HR. It is my understanding that two of three teams of consultants have been hired to reorganize HR. Although there is a communication staff member in place, very little it communicated out to the department level. Many managers on campus have lost trust in the HR organization.

- Is there a permanent change management function or unit at your campus, and if so, where does it reside (e.g., within HR) and how is it staffed?

The closest thing to a change management unit of campus would be the office of organizational excellence. To be completely honest, I do not understand what this unit does. No one has ever been able to give me an explanation of services.
<http://oe.ucdavis.edu> Thank you!

UC Riverside

http://wellness.ucr.edu/behavior_change_programs.html

<http://hr.ucr.edu/education/management.html>

<http://hr.ucr.edu/education/comp/corecomp.html>

<http://hr.ucr.edu/education/yourguidetoprofdev.html>

UC Irvine

Following is UCI's Info, for both Campus & Medical Center:

UCI Campus:

Collected info from Nancy Chen Lane- Director of Learning, Development, & Compliance in Central Human Resources, can be reached at nclane@uci.edu or (949) 824-6283. Nancy has also been serving as the UCI UCPATH Manager of Change, Communication, and Training.

Nancy and her [Training and Development Staff](#) can be reached for further assistance (however, given Nancy's current dual role, you may want to consider reaching out to her staff 1st depending on the info requested). Here is the link to the Unit's website for listing of trainings [MAIN MENU: Learning, Development, and Compliance](#), as well, our training and development courses are listed in ucl.uci.edu.

There is no permanent change management function at UCI. On Campus change management and training is handled by Training Unit, but it is not the only function they perform. UCI Campus is gearing to become an Enterprise Change Ready Organization to comply with UCPATH. Nancy is working to provide change management direction to Campus. A change collation created, working to leverage how campus manages change moving forward. Efforts have included identifying individuals and fixing gaps. Groups identified have included ABOG's, MABO's, CAO's, Supervisors, etc). Campus is working to implement change from Top-Down (i.e. training Supervisor to understand their role in Change Management), then will focus on the rest of the employee population.

Method (implementation): programs such as: 1) UCI BOI now includes a Change Management component. 2) UCI Coach program includes a change style indicator/ assessment of change component. 3) System-wide Management Development Program (MDP): 4-full day program designed for ASM's & Assistant/Associate Vice Chancellors (so far about 44 individuals have completed program), about half way done); an entire day is dedicated to Change Management. Campus is considering incorporating a change management *vendor component* to augment the

MDP already in place. The vendor is Prosci (pro-science), they are costly, but vendor is the best in industry (best tools and resources)- system-wide buy-into is growing (UCSD example of successful model incorporating Prosci, UCD & UCOP looking into using vendor components as well).

In response to the implementation of programs such as KFS (Kuali) and UCPath efforts- Campus has worked to improve implementation of changes. Nancy (through her UCPath role) has identified the needs of the Campus in order for change management to be effective, this includes starting with Top Management. Efforts also include Campus looking to bring back Leadership Forums to kick-off local change management efforts (partnership between HR and other Campus entities).

Nancy indicated she is increasingly receiving more requests for Organizational Change Trainings. Departments/ Supervisors want to know how to improve their efforts/ implement change more effectively. This is great, the challenge is that without a dedicated entity solely focused on Change Management the load falls to the Training Unit- this is just one service they provide among the many others (though recently a new position was added to help).

UCI Medical Center:

Collected info from (Nancy's counterpart, so to speak) Kevin Phillips, Director, Organizational Effectiveness in Central Human Resources, can be reached at kevingp@hs.uci.edu or (714) 456-8712. Kevin's Team is responsible for Change Management Training, process implementation. Med Center uses Cascade. Change Management efforts are to start with High Level management change- Director and Manager Level, focusing on organizational transitions (i.e. onboarding, how to manage change, people side of change). Looking at Change Management Competencies- to empower leaders to be effective change managers.

Under MDP (Management Development Program described above): Med Ctr looking to implement Prosci *vendor component* at the Sponsorship Level (Front-End starting with "C-Suite" CFO, CAO, CEO, etc.). Working to launch additional components soon. (It's my understanding after speaking to Nancy & Kevin that Med Centers are able to contract vendor services with more ease due to their income sources – UCOP looking to see if they can negotiate better pricing system-wide).

At UCIMC, Change Management falls under two Departments: 1) Under HR Dept., Team consists of 3 Organizational Effectiveness Consultants reporting to Kevin; 2) Under CEO (Process Improvement Dept.), Lien Six-Sigma Consultants. 54 projects underway (about 48 last year dedicated to six-sigma; about 40 this year on change management). Current example includes new Medical Records management process.

In response to past practices, UCIMC has worked to improved how it applies change management principles and its impact on employee engagement and performance; Med Ctr working to better incorporate good communication strategies as well as actively eliciting input from employees. Looking to "doing it once, correctly, and not have to go back to fix mistakes- it gets costly (human and financial costs)"

As with Campus, demands for trainings at UCIMC have increased and Kevin and his Teams are working to meet client demands. Kevin is open to being contacted directly for further inquiries you may have.

UC San Diego

Here are some notes from UCSD – sorry they are a little all over the place.

Prosci is the tactical not psychological approach and includes assessments and templates.

- A few campuses are already using

- If UC purchased a license it would reduce systemwide costs of individual campuses purchasing a license
- People can use the pieces as they need them
- Creates an awareness that it needs to be done at the start and there needs to be an awareness at the leadership level
- Incorporates identifying change agents and making sure they are aware
- Has great webinars
- Measures to evaluate including pulse check-ins and 5 point ADKAR survey

Linkage focuses on the transition piece and is good and needed but should be done in combination something like Prosci which is more of a toolkit.

E-learning is not a recommended approach as it is difficult to incorporate the aspect of reinforcement

E-learning may be useful around how to deal with change and manage employees who are having difficulty with change

Campus Site: <http://blink.ucsd.edu/HR/training/roadmaps/change-management.html>

Prosci:

<http://www.prosci.com/>

Books:

ADKAR - http://www.amazon.com/dp/1930885504/ref=cm_sw_su_dp

Change Management http://www.amazon.com/dp/B00EO81JGS/ref=cm_sw_su_dp

Appendix C: Subject Matter Expert interviews

- 1.) How does a Change Management component get added to a project? Is it based on dollar amount, number of FTE's, project leader or other factors?

In my opinion, Change Management is always part of a project whether or not it is officially adopted as part of the deliverables. Depending on the nature and complexity of the change being brought on by the project, the discussion would certainly turn to cost, roles, resources, etc. where further decisions are made on best strategy to address. At UCOP it frequently comes down to a cost or FTE issue.

It comes down to the Project Leader. If they believe there is value in adding a CM component they will make sure that it is included. Otherwise the expectation is that it will be managed at the Supervisor / Director level which can be hit or miss.

CM is really a part of every project. A project usually aims to change something, so in my opinion, it goes without saying. The amount of change management required, however, varies from project to project. I personally do not believe it is based on any of the three factors questioned above, although they might have some influence.

Change management is a part of every project almost by definition. It may be a simple effort since all parties agree or it could be major effort because there is major opposition and the old behavior will be difficult to change. An example is the Printer Initiative. It had failed twice. On the third project we recognized that change management was the most difficult part of the project so we formally recognized the change management in the project plan and provided resources to make it happen.

We encourage all project managers and sponsors to consider the change management aspects of their projects. In general, the larger the project, the more likely it is to have project resources dedicated to CM. Project size needn't be a factor of budget alone; a better measure is how many people are affected by the change, or would have to make a personal change (for example, in how they get work done) in order for the change to occur and for the campus to achieve a return on investment from the change. For projects that only affect a single unit, or a team within a unit, the burden of considering the human impact of the change would fall to the local management of the group.

- 2.) Why do some Project Leaders implement Change Management as part of their projects and why do some choose not to?

In my experience here at OP, I think this is in large part due to a lack of general understanding of what change management is and the impact it has on a project. Most all projects have some level of change that impacts a unit, a team, a department and/or the organization and I think trying to define the current vs future state can be difficult at the onset of a project.

There is often no budget to bring in extra help to manage change and it is then shifted to people already involved in the project.

Experience. I think PMs that ignore CM do so at their own peril. Sometimes it is not a huge effort, merely good communication. Other times CM can be the main focus of the project.

I think it comes back to the level of resistance that you face.

In the past, project management as a discipline was more focused on getting things done on time and on budget than on considering how the people involved would adopt the change. Often, a PM will try to place the actual adoption of a change in behavior outside the scope of the project since the PM can influence but not control adoption. Let's say a new system gets implemented on time, but not enough people are able to use it effectively. The PM declares success on the system launch but the actual ROI hasn't been achieved. Project management and change management grew up as separate but related disciplines that favor different working styles and focus. A change manager has to consider organizational culture, OD, communications, and psychological factors that sometimes get short shrift in project management courses and books. Generally, it takes a few failures before project leaders begin to appreciate the degree to which the cooperation of the affected community affects the project outcomes and the ROI on the intended change.

- 3.) Who is called on to plan and implement CM when it is decided that CM will be part of the project?

That is a good question but I believe here at OP the PMO is a good resource to start the discussion.

Program Management specialists (OP) or HR specialists can be called in. It is often also handled by Project Managers in the group who are involved with the project.

We do have CM specialists in OP. Again, it depends on the scope of the work as to who will get involved and how.

Typically, it is the project lead or project manager but in some cases you have one person who is responsible for this effort. I think on UCPath there are many people (central and at the campuses) who have the primary responsibility of change management. Many projects don't have the budget or scope to focus one person exclusively on change management, then it would be on a team member to lead the effort.

That depends on the project. Sometimes it is the PM; sometimes there's a dedicated CM; often, CM falls to a communications person in which case the focus of the effort is likely to be on the development of web sites, newsletters, etc. Since ultimately all change is *local (even individual)*, what is often needed is an "engagement lead" in every affected department and/or working group.

- 4.) Is there a standardized method of CM that is employed for projects?

Because project complexity varies dramatically "a standardized method" is again a difficult answer—rarely a one size fits all situation. But there are some basic change impact assessment tools that can be used once the scope of a project is clearly understood.

It is scaled to need but there is no standardization for the process at UC.

There is some standard approach to CM, however, each project must determine the amount of CM that will be required.

There are many methodologies. I lean towards Jaffe and Scott. I tend to use a modified version of their approach but the principles are the same. I also like the approach laid out by

Heath brothers in "Switch". A simpler version is John Kotter and told in his book "Our Iceberg is Melting"

The campus has leveraged a wide array of CM tools and techniques from Prosci to materials from Bain Consulting to a range of other methods. For IT projects at Berkeley, I've been working with Jon Conhaim to get CM issues included in the project charter as part of an IT project management policy. In addition, a community of interest, led by Isaac Mankita and including several people (including me), is working to define a simple CM toolkit and common language that could be used on projects across campus, and which could be used by those for whom CM is not their primary job. In addition, as part of the Management Development Program, we offer a change management approach which I'm advocating we adopt as our common approach.

5.) What resources are used for implementing Change Management?

A few come to mind: Change Impact assessment, Stakeholder analysis, Communications plan

It depends on what is needed and can be afforded – consultants, HR specialists, Communications specialists. More often than not these jobs get assigned to project participants.

It is my belief that CM is primarily good communication. Communication means both expressing and listening. Often times CM is thought of as "dictating the change", or "here's how this new system will work". What's missing in this scenario? You didn't obtain any feedback from stakeholders. You may not know how stakeholders feel about the change. Brute force can work, but I think it hardly ever is truly effective. So getting a clear understanding of the landscape is a big part of the CM plan, particularly when the change is big, or viewed as unpleasant (or threatening).

The primary resource is people. The typically work effort is focused on identifying stakeholders, building a communications plan and building engagement. Some examples – kick off meeting, Task Force, Work Groups are good for engaging key stakeholders; regular check in/updates at key organization meeting; newsletters, web sites; Link articles, brown bags, suggestion box; open house, and webinars are all ways to reach larger stakeholder groups.

Resources might include a change manager, a training lead, a communications lead, and local implementation leaders in the affected departments, schools and colleges. Several of our projects over the last 4 or 5 years have leveraged networks of location implementation leads.

6.) Do you view CM as essential to any successful change? What factors does its success depend on?

The key question typically on everyone's mind: What's in it for me? Change management is the process of dealing with this question at all levels of the organization. The biggest factor is communicating the change, seek support at all levels of the organization and provide a

clear path of action: 1) explain purpose of change; 2) paint picture of change; 3) Lay out a plan for change; and 4) provide a part

It depends on what is needed and can be afforded – consultants, HR specialists, Communications specialists. More often than not these jobs get assigned to project participants.

Absolutely. How well is the change understood and accepted. For example, IF stakeholders use the system because they have no other choice, they will eventually find workarounds more suitable to them.

CM is needed to get to the desired state. Getting, keeping and publicizing top management support.

- 7.) In your experience is CM at UC handled well, as good or less well than other organizations you've worked with?

I cannot speak for the system. At OP on a scale of 1 to 10, with 10 being great, I would place OP around a 3-4 in general. I think the assumption is that there is little to no impact in most projects.

Because of our inclusive nature and shared governance model it could be said that CM is handled better at the UC than in the private sector where the bottom line dictates change and no one questions that or needs to dress it up. At the UC we at the very least pay lip service to CM even if the message is sometimes unpalatable to staff.

That is a REALLY broad statement, and of course the answer is sometimes. I think our recent UC Path launch experience shows us that CM can be handled well, BUT this was about the third or fourth attempt. The communications plan for the OP rollout was immense. Earlier versions appeared to have no CM at all (but I was not close enough to know). The very way the project was initially handled indicated to me that there was little to no CM planning. The project team was dictating to all the campuses what they had to do, without much apparent collaboration.

I think we are getting better at it. A couple years back it seemed like everyone was shocked that so much change was happening. I am hearing less of that now and I think people are realizing that it is the new norm. Just a questionnaire like this indicates that people are more open to change.

I've now worked at UC for 30 years at 3 locations (San Diego, Berkeley, and UCOP) so I can't say much about current practices in other organizations. I believe that at San Diego, administrative changes in the 90's went well because we included representatives from all affected areas in planning and implementing the change; we *co-created* change. At Berkeley, where I've now been 15 years, we've had a mixed record (including on my own projects) but as a campus and as individuals I believe we are getting better and better at knowing how to make effective, sustainable change. This doesn't mean that all our projects have been successful or that there isn't room for improvement. But I believe we ARE improving. There is a much broader appreciation of the need for CM—and a rising level of competence at executing the CM aspects of projects.

- 8.) A third of staff survey respondents viewed Change Management at UC unfavorably. How can this be explained based on your understanding of how CM works at UC?

I think not all projects are handled the same and it is a natural outcome that there is no formal change management here at UCOP.

Inconsistent application of CM, no standardized processes, the success or failure depends on who is implementing it.

Again, when CM is really done well, it doesn't seem like much of a change. People are brought along gradually so that they feel part of the change. Change is never easy, but it can be greatly enhanced with CM. At UC, CM usage runs the gamut, from intense to non-existent, hence the unfavorable view. Intense here means a great effort, not pounding into stakeholders.

It would be interesting to see how many people viewed Change management unfavorably 5 years ago. I would say that it was higher than that in the not so recent past. I was surprised that it was so low. There is a group that views change as a threat to their job and their organization.

The early stages of all human transitions are characterized by denial, fighting, opting out, bargaining, and grieving, mostly from a fear of loss. At any given time, several changes may be in play in any organization. (I would argue that the Berkeley campus in particular is going through unprecedented changes, reflecting the accelerating rate of change in the wider world. UC may also attract a workforce that's looking for greater stability than they might find in the private sector.) If a sufficient number of people are early on the "change curve" on one or more changes, even if the changes are well planned and executed, a large number of people could express dissatisfaction on how the changes are going. This parallels the finding that, at any given time, a high percentage of the American workforce is experiencing some level of disengagement. It may be better to ask how each individual change in the organization is going for them, and to ask again months and years after the change has taken place. It can take months or years for people to grow comfortable with any particular change.

- 9.) If there were an essential resource or resources that could be made available to staff that would have them view CM at the University more favorably what would it be?

If you are speaking about OP, again I think the PMO is a good place to start that discussion. *It is not possible to satisfy everyone despite whatever outlay of resources can be made. It is not likely that everyone will accept the change at the same level. Regardless of that it seems that the key to making a change more favorable is to communicate well before, during and after the planned change.*

Instill in Project Managers that CM is a part of every project, sometimes a small part, and sometimes VERY large. The PMO has CM specialists who could be consulted to help PMs define the right amount of CM to implement to make a project successful. They could also

provide resources and templates to give the PM the opportunity to incorporate CM themselves when a “CM lite” situation arises.

Education and training.

Nothing substitutes for the active engagement of affected people, for “co-creation” of solutions, and for support from leaders at every level. The magic is not in the method as most CM approaches arise out of a few shared principles and findings about human systems.

- 10.) Give examples of organizational change that were handled well at UC and then also give examples of instances where it was handled poorly and your recommendations of how it could have been improved.

At OP, I think IT’S did a good job on the phone system roll out for the most part. Plenty of early communication about the transition; offering hands-on training and desk reference collateral (although the collateral content could have been improved).

I think the transition to exempt employees transitioning to bi-weekly pay was handled very poorly. There was not enough due diligence on the change impact; not enough advance communication to bring people along and build support and ask questions. And when it came time for training on TRS they offered only a few opportunities for hands on to learn the system with only a week or two notice to book.

Here at OP I also think that thinking the Link is the best way to reach employees is very short sighted. A large percentage of the population does not read this newsletter yet it seems to be the first go-to when a communication to the organization is required.

UC Path – struggled at first but has been better about managing change. CFO/COO Re-org – parts of it handled well by participants who understood the significance.

As stated earlier, I think the UCPath rollout to UCOP was a good example of how CM can greatly enhance the viability of a project. An example of a poor use (actually, a non-use from my perspective) was when a software program was developed in-house to provide the RASC with a tool to make their jobs easier. However, apparently not a lot of effort went into finding out what is was that the users wanted, and while they were trained, they were not communicated to successfully. Ultimately, the project team finished the installation and training, but 10 years later, no one in the RASC was using the new tool.

Handled Well - UCOP Budget Development System – Moving employees from Excel Based approach to a On line application

Handled Well -UCOP Printer Initiative – Moving employees off of department owned printers/copiers to central printers/copiers.

Handled Not So Well - The Branding Project – It was top down focused and did not get buy in. Handled Not So Well/Well – UC Path – Started off poorly; do a lot better now. Getting short term wins.

One example of good change management from Berkeley would be our conversion from home-grown email to Gmail (known as “bMail” at Berkeley). We worked closely with local IT support in each of the larger departments, schools and colleges (especially those who managed their own email systems) on the timing and communications around the change. We rolled out the change over a period of several months, taking a few departments at a

time. We had special communications approaches for students (where we worked closely with student leaders), with retirees (coordinated through our retiree center) and for faculty and staff. The transition went fairly smoothly and affected about 60,000 accounts. IST, our central IT department, continues to provide change management support on the Google and Box products years after the transition. I hesitate to label any of our change initiatives as “handled poorly” but let me mention a few that were rough and why they were so.

In the case of an upgrade to BFS, the Berkeley Financial System, leadership made a decision to eliminate certain local modifications to this Oracle-PeopleSoft app in the hopes of reducing the total cost of ownership and making future upgrades easier. In a few cases, the campus had become quite reliant on some of the local mods which were eliminated. A case in point was what we called “five-field validation,” a set of edits which looked at five associated chart string entries to verify that the chart string was valid and current before saving the record. Eliminating this “consistency edit” led to a high rate of errors on chart string entries into HCM (our HR system, which feeds PPS), which resulted in expenses hitting a suspense account with a resulting high rate of rework in the form of Payroll Expense Transfers (PETs). The overall cost in errors and rework may have outweighed the savings in system simplification. User needs were not sufficiently considered when the “total cost of ownership” was assessed. It has taken a few years of lobbying on the part of staff, but “five-field validation” is coming back to BFS and HCM. Had there been a fuller understanding of the impact of this change at the outset, the campus might not have made it in the first place. Our implementation of Campus Shared Services has been rougher than one might have hoped, for a variety of reasons, including not having enough appreciation of how big a change this actually was for a campus like Berkeley which had developed a highly distributed model of operating. Some communications dishonored both staff remaining in the schools and colleges as well as those going to the service center. A decision that “transactional work” could be done at a remote worksite, away from those being served, has proved more challenging than anticipated because a good deal of “customer intimacy” has been lost. Core administrative systems were not adjusted from their distributed configuration to one that would better match a service center model. The service center failed to establish consistent business practices, attempting to accommodate all customer units by accepting their existing, divergent business practices, resulting in few economies of scale for the service center. The campus had an existing regional service center in one of the colleges which, after a period of ramp-up, was working well; but, rather than adopt and adapt this model, the campus chose to go for a redesigned approach and attempted to launch the center before appropriate systems and business processes were in place. We are still living our way out of some of these decisions. As we do, both service and morale suffer. Here, looking for and leveraging what the book *Switch* calls “bright spots” might have served the campus better, building up from what had been shown to work.