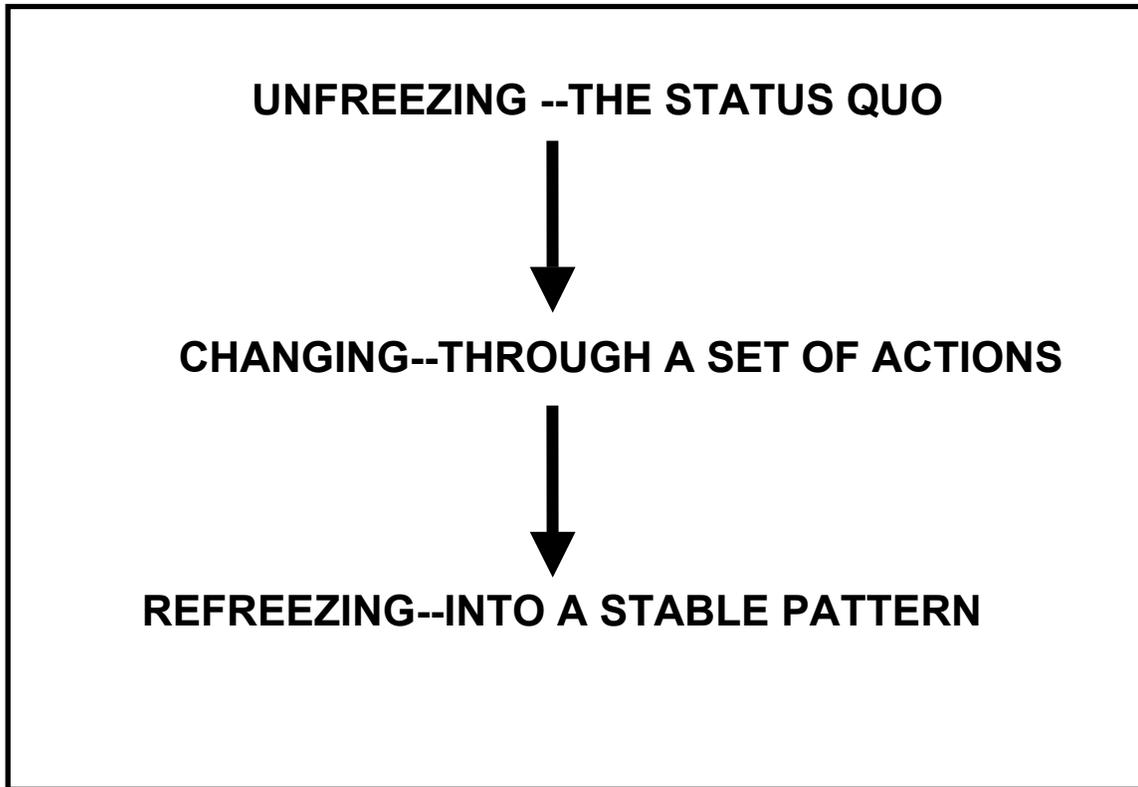


THE CHANGE PROCESS



THE CHANGE PROCESS

UNFREEZING:

Change may be initiated by a crisis in the organization, new demands placed on the organization, or innovation proposed by someone in the organization. The old ways are opened to questions, and the climate for change exists.

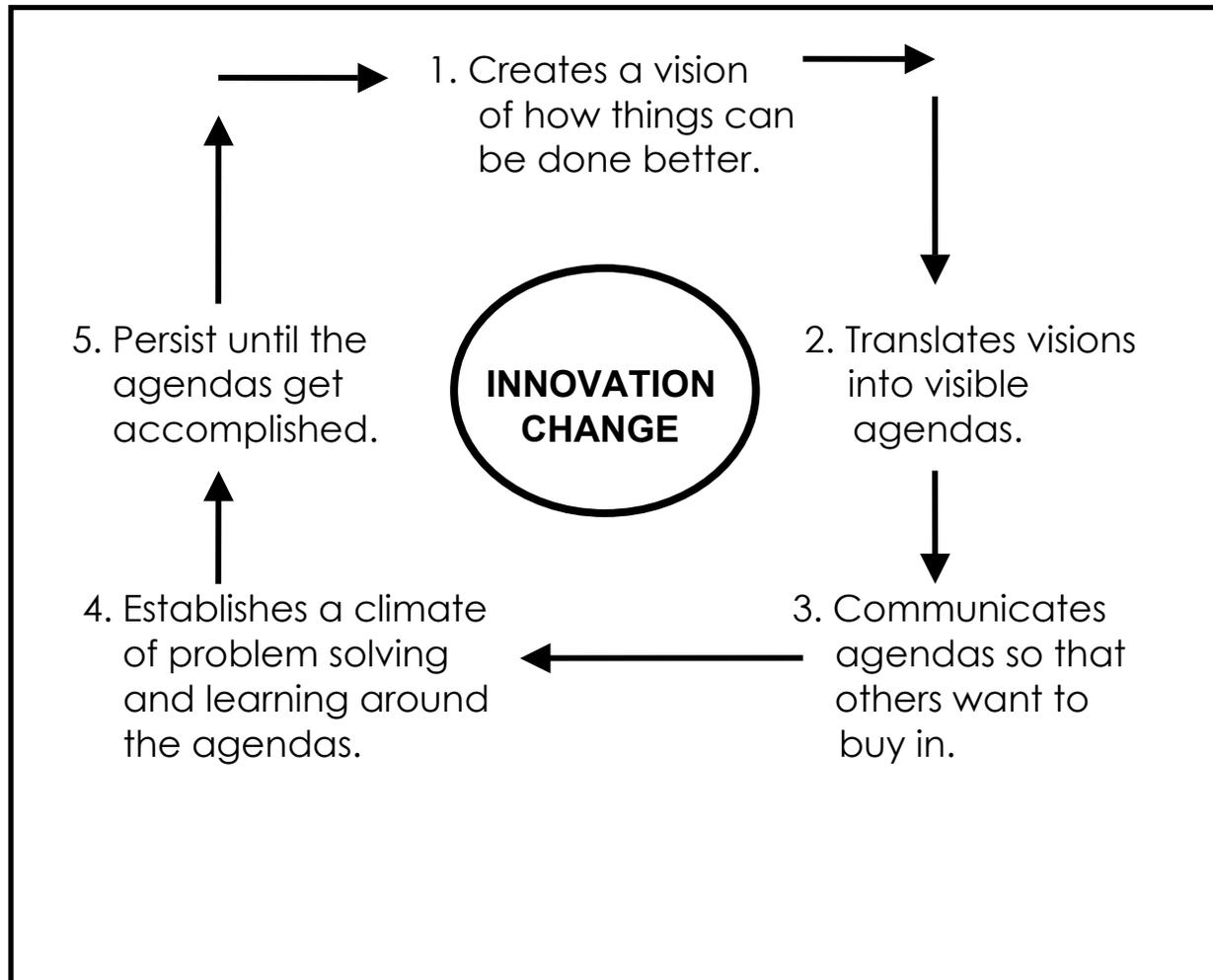
CHANGING:

Change occurs through a random process of looking for new solutions, or a planned approach to solving a problem. There is uncertainty, confusion, searching and probably conflict.

REFREEZING:

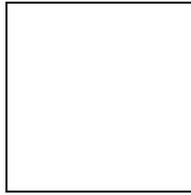
Change slows, as new ways replace the old ones and become standard practice. members accept the new situation.

THE SUPERVISOR AS CHANGE AGENT



Many supervisors feel powerless in their role during change, being squeezed between pressures from above and below. There are some things you can do to lead your group into the future. For instance you can empower your team to make changes themselves by focusing on the following:

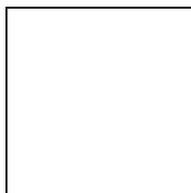
- **Focus on the process** – Surface tough issues; pay attention to how things get done, manage context.
- **Problem-solving orientation** – Don't blame. Fix systems not people.
- **Learning environment** – Lots of information and listening.
- **Shared responsibility** – Accountability and mutual contacts.



THE SEVEN DYNAMICS OF CHANGE

The Seven Dynamics of Change are listed below. Think about how the dynamics apply to a change situation at work.

- Dynamic 1:** People will feel awkward, ill-at-ease and self-conscious.
- Dynamic 2:** People will think about what they have to give up.
- Dynamic 3:** People will feel alone even if everyone else is going through the change.
- Dynamic 4:** People can handle only so much change.
- Dynamic 5:** People are at different levels of readiness for change.
- Dynamic 6:** People will be concerned that they don't have enough resources (time, money, skills, etc.).
- Dynamic 7:** If you take the pressure off, people will revert back to old behavior.



REACTIONS TO CHANGE

IDENTITY, COMMITMENT

COOPERATION

SUPPORT

ACCEPTANCE

NEUTRALITY

INDIFFERENCE

APATHY

FOOT DRAGGING

COMPLAINTS

ATTACK, SABOTAGE

REASONS FOR RESISTANCE

- The proposed change appears to violate values/ethics
- Inertia already exists in the system
- The proposed changes represent uncertainty
- A misunderstanding of proposed changes is evident
- There is a fear of loss
- There is a threat to the security of organizational members
- Personal antagonism exists among group members
- There is a lack of confidence in the change sponsor(s)
- There is a lack of confidence in the change agent(s)
- There is a lack of participation among team members
- There is a failure to see the need for change
- The timing is very poor
- There is a disruption of social relationships

- The proposed change could upset power balances
- Informal organizational pressure against the change is possible
- There is a belief that the change is a form of criticism about the way things have been done
- There is a perception that benefits may result if there is a strong resistance to change

Handout #7

CHANGE AND LOSS

Change occurs when something ends and something new or different starts. The period between these two points is *transition*. This is where people have to learn to let go of the old and embrace the new. Usually it means moving from the familiar to the unknown. Even when change is positive, this psychological process affects us. Most of us have a strong response to any change. One of the strongest can be a feeling of loss, along with the struggle to accept a new direction. Change can produce physical symptoms such as sweating, sleep loss and/or emotional distress which, will affect the quality of work.

The most common error in managing change is underestimating the affect it has on people. Many supervisors think that if they just tell their employees to change, they will. They do not realize how upsetting it is to give up work patterns that are familiar. Always remember how much will be disrupted and understand that people need time to adjust.

Even when change is positive it is not uncommon for a person to feel an ending, or loss, associated with it. Supervisors often have a hard time understanding the loss associated with change . If you don't manage loss, you can't lead people in a new direction.

Types of Loss

When a major shift or change occurs within an organization, employees normally experience several types of loss including the loss of:

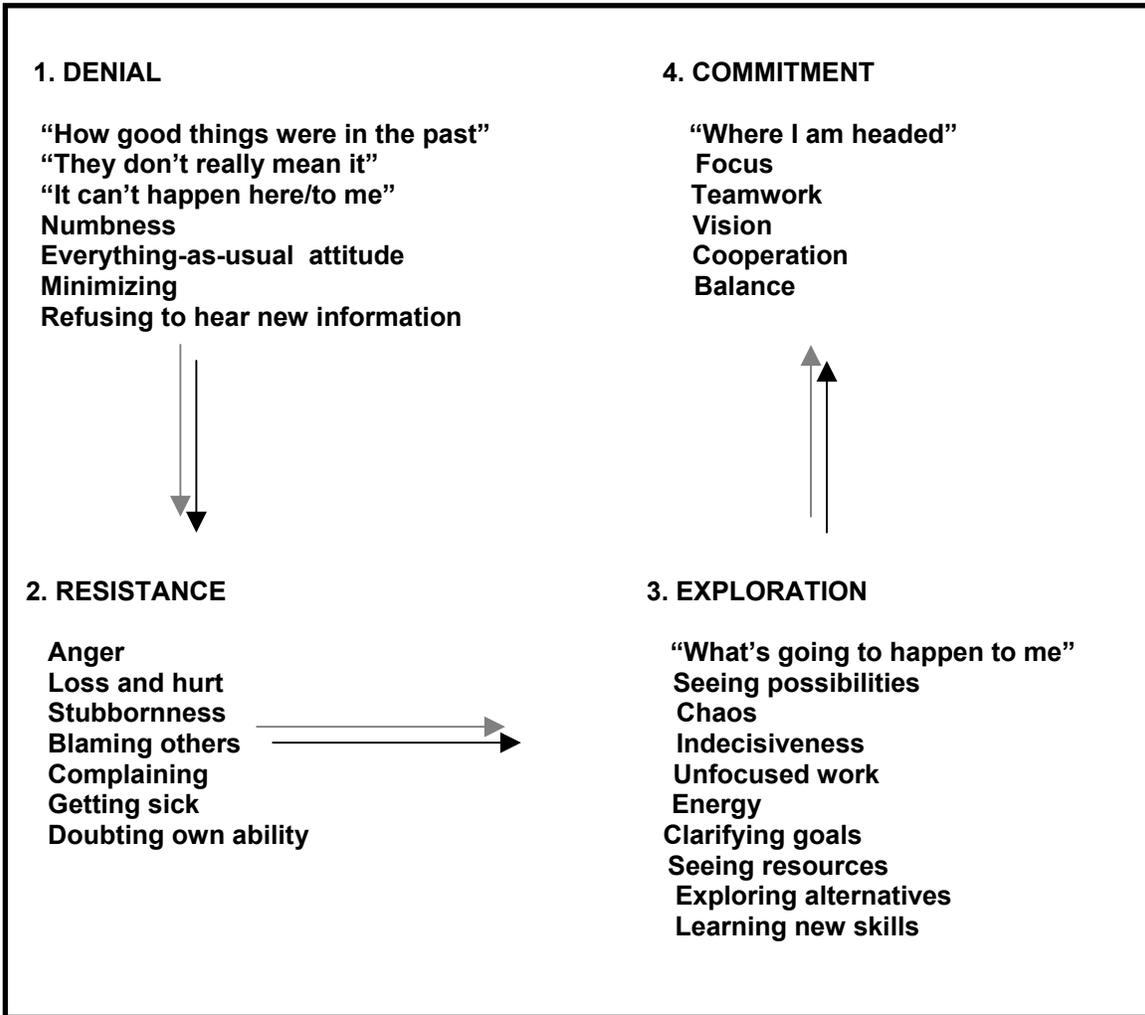
- **Security**-Employees no longer feel in control or know what the future holds, or where they stand in the organization.
- **Competence**-Workers no longer feel that they know what to do or how to manage. People sometimes become embarrassed when they are faced with new tasks because they don't know how to do them. It is hard to admit you don't know how to do something.
- **Relationships**- The familiar contact with people like old clients, co-workers or supervisors can disappear. People often lose their sense of belonging to a team, a group or an organization.
- **Sense of Direction**-Employees lose an understanding of where they are going and why they are going there. Meaning and mission often become unclear.

- **Territory-** There is an uncertain feeling about the area that used to belong to them. This can be work space or job assignments. Territory includes psychological space as well as physical space.

Each of the losses described has a cost. Any type of loss, even of a work space or familiar technology, can trigger an emotional response that resembles grief. You must help your employees move past their loss to accept and move forward in the new direction.

It is important to understand that people are not weak or old-fashioned if they experience loss caused by change. This is a normal part of transition. In fact, people who do not display any feeling of loss often save it up and become overcome by a seemingly small transition. It is healthier to express and acknowledge loss when it occurs so those involved can move through the transition process more quickly. One job of the supervisor is to acknowledge that a loss has occurred, not pretend it is business as usual. Unacknowledged loss will usually lead to resistance and disruption down the road.

SIGNS FOR THE FOUR PHASES OF TRANSITION



There are some helpful management strategies for each phase of transition.

At any point during the change process, your team will probably not be in one phase, but shifting back and forth between phases. As a supervisor, you need to know what phase your general group is in, as well as the phase each individual is experiencing. To help your team move through the curve toward commitment:

SIGNS FOR EACH PHASE

Some examples are listed below of what you will observe in each phase. This will help you diagnose where team members stand.

DENIAL

It is common to observe: withdrawal, "business as usual," focus on the past. There is activity, but not much gets done.

RESISTANCE

You will see: anger, blame, anxiety, depression and even retirement on the job. "What's the difference? This organization doesn't care anymore."

EXPLORATION

You will recognize: over preparation, confusion, chaos, energy. "Let's try this and this and what about this. ..." Lots of energy and new ideas but a lack of focus.

COMMITMENT

Occurs when employees begin working together. There is cooperation and a better focus. "How can we work on this?" Those who are committed are looking for the next challenge.

ACTIONS FOR EACH PHASE

-DURING DENIAL

Confront individuals with information. Let them know that the change will happen. Explain what to expect and suggest actions they can take to adjust to the change. Give them time to let things sink in, and then schedule a planning session to talk things over.

-DURING RESISTANCE

Listen, acknowledge feelings, respond empathetically and encourage support. Don't try to talk people out of their feelings or tell them to change or pull together. If you accept their response, they will continue to tell you how they are feeling. This will help you respond to some of their concerns.

-DURING EXPLORATION

Focus on priorities and provide any needed training. Follow up on projects underway. Set short-term goals. Conduct brainstorming, visioning and planning sessions.

-DURING COMMITMENT

Set long-term goals. Concentrate on team building. Create a mission statement. Validate and reward those responding to the change. Look ahead.

Handout #9

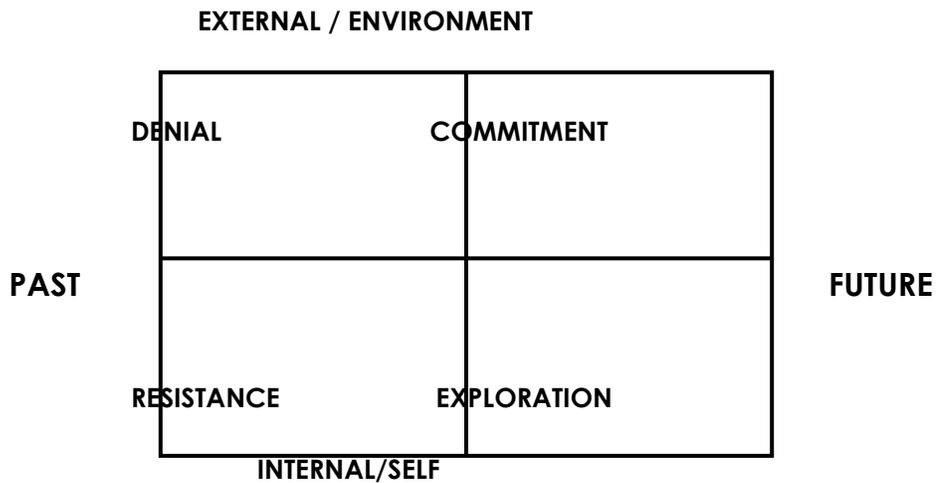
ASSESSING AN ACTUAL CHANGE

List the key members of your group and based on the indicators mentioned earlier, determine where each staff member is:

NAME **SIGNS OBSERVED** **PHASE**

- 1.
- 2.
- 3.
- 4.
- 5.

Next, graph your members on the change grid below. Place their initials approximately where they fall in the grid.



Finally, from your analysis, what approaches do you need to use as a supervisor to bring your group to the next level?

Who are the leaders that can help others move along?

Who are stragglers in your group that need special help?

WHERE IS YOUR GROUP?

Think about how your work group would respond to change during each phase.

During Denial- I believe my group would react by:

During Resistance- I believe the behavior of my group would be:

During Exploration- I feel my group would:

During Commitment- My group would probably:

WHERE ARE YOU?

Think about how you would respond to change during each phase. Make some notes:

During Denial- I believe I would react by: _____

During Resistance- I believe my behavior would be: _____

During Exploration- I feel I would: _____

During Commitment- I would probably: _____

ASSUMPTIONS ABOUT CHANGE

- Organizations change because individuals change.
- Individuals have predictable concerns with change.
- If leaders can anticipate and respond to these concerns, they can lower, and in many cases, resolve them.
- If concerns are not addressed, energy is blocked or misdirected, and the change may never get implemented.

Six Stages of Concern About Change

Stages of Concern	Questions Employees Are Asking
<p>1. Information Concerns: Don't want to be sold; want to be told. Wants to understand the change.</p>	What is the change? Why is it needed? What's wrong with the way things are now? How much and how fast does the organization need to change?
<p>2. Personal Concerns: Folks are uncertain; They wonder if they have the skills and resources to implement it; As change proceeds, existing commitments may be threatened.</p>	How will the change impact me personally? What's in it for me? Will I win or lose? Will I look good? How will I find the time to implement it? Will I have to learn new skills? Can I do it?
<p>3. Implementation Concerns: Focused on the nitty gritty; on the details. Efficiency, scheduling and planning time are the main issues; Want to know how to make the best use of information & resources</p>	Is this the right time to do it? What do I do first? Second? Third? How do I manage all the details? What happens if it doesn't work? How long will it take? Is what we are experiencing typical? How will the organization's structure and systems change?
<p>4. Impact Concerns: Concerned about the relevance and payoff of the change; focus is on evaluation; Employees sell themselves on the benefits.</p>	Is the effort worth it? Is the change making a difference? Are we making progress? Are things getting better or worse?
<p>5. Collaboration Concerns: Focused on coordination and cooperation with others; Desire is to get everyone on board, because they believe in the benefits of the change.</p>	Who else should be involved? Are the right people involved? How can we involve others in what we are doing? How do we spread the word?
<p>6. Refinement Concerns: Focus is on continuous improvement</p>	How can we make the change even better? Can we improve on our original idea?

STRATEGIES FOR ACCEPTANCE

- Explain why
- If there are risks, acknowledge them
- Show what you have done to minimize the risks
- Name the benefits that could result
- Seek questions and answer them
- Invite participation
- Avoid surprise
- Acknowledge the difficult areas
- Set standards
- Give a date for completion
- Tell what you want to accomplish
- What are the penalties for failure?
- What are the rewards for success?
- Contact informal leaders
- Praise
- Repeat

COMMUNICATING ABOUT CHANGE

Following are some tips for informing your group about change. Place a check mark beside those you currently use. Place an "X" next to those you intend to use during the next change.

___ Explain the Reasons for the Change

Tell people clearly why the change is necessary , and give them as much data as possible. Keep them informed of any new developments.

___ Talk to People in Person

A memo or newsletter is not the most effective way to inform people about important changes. Written announcements don't allow people to express their feelings directly. Written documents are often used to avoid dealing with people's responses. In the long run, this can only backfire. Memos and newsletters are good as a follow-up after a one-on-one meeting, because people can be in denial and have a hard time *hearing* information that disturbs their security .

___ Tell People the Truth

The more informed people are, the less anxious they will be. Unanswered questions are fuel for the rumor mill. If you don't know tell them so. You don't have to know all the answers. A believable leader doesn't know everything, especially in times of change. Solicit questions and try to find answers to the missing information. Schedule another meeting when you learn more and share that information as it becomes available.

___ Express Your Feelings

Don't exclude information about your feelings. People want to know your reactions. They will feel acknowledged and understood and will be more open if your feelings are expressed. When appropriate, tell them how the change affects you personally. Self-disclosure from a leader is a very powerful strategy because you often reflect what they are thinking.

___ Take First Steps

Encourage people to immediately take a step toward the new direction or the new skill.

COMMUNICATING AS A SUPERVISOR

As a supervisor, you are often caught in the middle. You may have a lot, some or virtually no input in a change, yet you have a responsibility to make it work in your unit. You have your own feelings about it, but you are responsible for taking the organization's position.

The way you bring the message about a change to your team has much to do with the eventual outcome. How you make your announcement, what you say and how you negotiate with your team members will make the difference. The change announcement is most often made during the Denial phase, and sometimes doesn't sink in. When the message is accepted, your group may shift from Denial to Resistance very quickly. You need to learn how to manage these intense responses from your team.

SETTING A CLIMATE OF COMMUNICATION

In times of change, maintaining open communication can help prevent rumors, anxiety and mistakes. Often supervisors avoid delivering unsettling news by claiming they are "too busy and pressured" to take time to meet with their people. Studies have shown that if you don't make time early on in the process, you will spend more time later cleaning up the problems.

During change, two-way communication is essential. Every issue must be covered. Different communication forms are recommended. Use hotlines, open forums, newsletters, informal discussions--whatever works for you. Repeat the message using various methods of communication regularly.

ANNOUNCING THE CHANGE

A meeting to announce a change is the best way to inform your group. Meetings are also basic tools for planning, implementing and monitoring change. They reinforce the idea that people can work together to make things happen as a team. Meetings can let everyone know what is happening and offer opportunities for feedback. During change, you should schedule frequent meetings to ensure that communication is clear and open.

Like any important supervisory activity, it is important for you to do your homework before conducting a change meeting. Review the information to be communicated. Fill out a "Change Announcement Worksheet" and write notes to ensure that all key information is presented. Think about the best way to introduce the change and the most logical way to present the details. Following is a general format for a change meeting. Make sure you are ready to follow these steps:

- Review the need for change and how it came about.
- Describe the change in detail.
- Explain how the change will affect your group.

- Ask for questions about the change. Invite participation.
- Listen to feelings and respond appropriately.
- Share your personal feelings (if appropriate).
- Ask for help and support in making the change work.

LEADING A CHANGE DISCUSSION

The only way to get people on board and through the transition is to hold a series of change meetings with all the people on your team.

- Talk to people in person.
- Tell people the truth.
- Express your feelings.
- Involve everyone in planning.
- Tell them the history of the change. D Break it into steps.
- Take time. Be patient.

EXAMINE HOW YOU WERE INFORMED

Examine some of the ways people hear about change using yourself as an example.

Think about changes you have experienced at work.

- How did you first hear about the change? How were you informed?

- How did you first hear about the change? How were you informed?

- How would you have preferred to be to be informed? How could the announcement have been improved?

CHANGE ANNOUNCEMENT WORKSHEET

When preparing to announce a change, fill out this worksheet before you hold the change meeting.

➤ **What Is the Change? (Be specific.)** _____

➤ **What Is the Reason?** _____

➤ **Likely Impact?** _____

➤ **Benefits?** _____

➤ **Drawbacks?** _____

➤ **Details Known** _____

➤ **Details Not Known?** _____

COMMUNICATING CLEARLY ABOUT CHANGE

During change a supervisor often assumes that others will understand what to do. Because of increased pressure there is sometimes a tendency to shorten directions or reduce communications. This is bad because more information is needed during change, not less.

Every person needs to assess how he or she will relate to the change. Whether it is a new work unit, a new task or a new technology, people will need to learn how to work together differently. You will need to understand how relationships within your unit will change, what you expect from each other and how you will work together. Sometimes you may have to do this several times.

During change things are always shifting. Because communication is key to change management, it is important for you to make your communication complete and clear.

Following is a four-part formula that will help you communicate clearly. It is:

Behavior + Feelings + Effects + Needs = Clear Communication

Let's look at the parts in more detail:

➤ **Behavior/Situation:**

What has happened? What is the change that needs to be responded to?

"Since we've started using the new computers, absenteeism has increased significantly. Let's discuss the situation to see if we can discover the reasons."

➤ **Feelings:**

What are your feelings about the change? Are you confused, hopeful or upset?

"I'm personally a little frustrated about aspects of the change, and want to learn your feelings about it."

➤ **Effects:**

What effect will the change have on you? The work group? The project?

"The effect of the change has been to put us behind schedule for April."

➤ **Needs/Wants**

What outcome would you like to see? What do you want the other person to do?

"What I'd like is to see if we can figure out what is happening and what we can do about it."

Think of the change you're facing. Is there one person you need to inform about a particular response or difficulty you are having? What message(s) do you need to deliver? Write one out below using the formula:

Behavior + Feelings + Effects + Needs

Feelings are the hardest to communicate because they can pack an emotional punch and sometimes an intense response. Verbalizing your feelings can cause your listener to withdraw or become defensive. But that doesn't have to happen. Choosing appropriate words can help. It is usually best to select the least dramatic word that still communicates how you feel.

Think of feeling words as being worth different amounts:

"25 cent words" are very strong. Examples could be: appalled, aghast, disastrous, deceptive, etc. These words should be used with great care.

"10 cent words" lie in the medium range. Examples include: concerned, distressed, upset, frustrated, etc.

"5 cent words" are usually best. Examples are: confused, curious, interested, etc. These are the least likely to encourage a defensive reaction.

COMMUNICATION GUIDELINES

The Importance of Listening

One of the most important elements of communication is listening. People who feel listened to are less resistant and often move through a change more easily. Active listening is the best technique to help individuals understand their feelings and move more quickly to action.

Some supervisors frustrate their teams by spending the whole meeting talking. They are so busy announcing, explaining, exhorting and persuading they don't leave time for feedback. Perhaps they fear hearing responses. The secret of being a successful change leader is not only talking openly and directly, but also listening carefully to what is said (and sometimes what is not said). Listening will provide you with messages, meanings and feelings that your team experiences.

Renegotiating Expectations

During rapid change there is a need to become effective at renegotiating expectations. The ability to lead individuals and groups through this process is a mark of a change leader.

- Create a safe climate between the people involved.
- Practice clear communication. Say what's on your mind.
- Allow for discovery of the other person's perspective. Listen to learn.
- Don't blame; seek win/win solutions.
- Discover new ways.

Techniques to use when people don't respond or become angry:

Postpone	<i>"You don't seem ready to talk, so perhaps we can meet later today."</i>
Open Ended Question	<i>"What do you think of this change?"</i>
Repeat	<i>"Now that I've explained the change, what do you think?"</i>
Self-disclosure	<i>"The first time I heard about this I was very concerned. What about you?"</i>
Other People's Reactions	<i>"When the other department went through this list, their 9 people were upset. How did you feel?"</i>
Broken Record	<i>Repeat again</i>

PLANNING FOR CHANGE

The following steps will help you successfully introduce and implement a change in your group. You and your team will need to do your homework to complete each stage. Depending on circumstances, you may not go through each stage in perfect order, but at least you should be aware of them. Otherwise you risk being inadequately prepared for implementing the change successfully.

- I. Preparation:** Anticipating key elements
- II. Planning:** Getting people together to plan the response
- III. Transition Structures:** Establishing special ways of working together and temporary organizational structures
- IV. Implementation:** Activating a flexible response and learning cycle
- V. Reward:** Acknowledging the people who made it work

I. PREPARATION:

Before the change, whenever possible, follow these steps:

- **Prepare your employees.** Let them know what is happening ahead of time. Telling them too far ahead of time is not always better (for example, telling people 8 months before a change only leaves time for anxiety to build up).
- **Describe the change as completely as you can.** How do you see the change affecting individual employees and the work group as a whole? Identify who will be most affected and approach them first.
- **Research what happened during the last change.** Does your group have a positive history of their ability to manage change, or was the last change traumatic? Learn from past experience and let this background influence your current actions.
- **Assess the organizational readiness of your team.** Are they ready to undertake a change? An organization or group that isn't mentally and emotionally prepared will tend to stay in denial, rather than accept the change and move on.
- **Don't make additional changes that aren't critical.** People need all the stability they can get during change. Don't change the payroll dates, the working hours or cafeteria procedures when you are making large-scale organizational changes. Change the most important things one at a time.

II. PLANNING:

Think it through. During this stage:

- **Make contingency plans.** Think of options to the proposed change. If things go one way, what will you do? What about the other way? Anticipate the unforeseen, the unexpected and any setbacks.
- **Allow for the impact of change on personal performance and productivity.** Don't expect people to get up to speed in an instant. It will frustrate whatever sense of achievement they are experiencing.
- **Encourage employee input.** Discuss at each stage of the way and ask for suggestions.

- **Anticipate the skills and knowledge that will be needed to master the change.** Do your people have them? Have you prepared training plans?
- **Set a time table and objectives so you can measure your progress.**

TRANSITION STRUCTURES:

Special activities for a special time. After Step II planning:

- **Create a transition management group to oversee the change.** Develop temporary lines of authority. This group is responsible for taking the pulse of the group and helping identify possible roadblocks. Depending on the size of the group, a supervisor might use one person for this.
- **Develop temporary policies and procedures during the change.** Demonstrate flexibility to try new things. Loosen control and procedures.
- **Create new communication channels.** Remind people why the change makes sense. Use hot lines, electronic mailboxes, newsletters, general meetings, training sessions, posters, etc., so people will receive information fast. The cost of gossip is high; prevent it through clear, accurate communication.
- **Meet frequently to monitor the unforeseen, to give feedback or to check on what is happening.** Make feedback a daily event.

IMPLEMENTATION

Take clear, flexible action to accomplish these goals:

- **Provide appropriate training in new skills and coaching in new values and behaviors.**
- **Encourage self-management.** Inform each person that he or she is accountable for some aspect of the change.
- **Give more feedback than usual to ensure that people always know where they stand.**
- **Allow for resistance.** Help people let go of the "old." Prepare to help those having special difficulty making the adjustment.
- **Give people a chance to step back and take a look at what is going on.** Keep asking, "Is the change working the way we want it to?"

- **Encourage people to think and act creatively.**
- **Look for any opportunity created by the change.**
- **Allow for withdrawal and return of people who are temporarily resistant.**
Don't cross off people as irretrievable.
- **Collaborate.** Build bridges from your work group to other work groups.
Look for opportunities to interface your activities.
- **Monitor the change process.** Conduct surveys to find out how employees are responding to the change.

REWARD:

- **Share the gains:**
- **Create incentives for special effort.** Celebrate those who lead the change. Give recognition to groups or individuals who have come through the change smoothly.
- **Celebrate by creating public displays that acknowledge groups and individuals who have helped make things happen.**

AN ACTION PLAN FOR SUCCESS

1. Describe the change as completely as you can. State specifically how it will impact your employees, department/work unit and organization. Note "human factors" that will be affected by the change.

2. What is your vision of the best possible outcome?

3. What are the strengths of your group/work unit in undertaking this change?

4. What are the obstacles the change will bring to prevent you from reaching your goal?

5. List the Action Steps for:

Communication _____

Dealing with Resistance _____

Involvement _____

Leadership _____

6. What is your timetable for making this change?

Start _____

Finish _____

7. What new skills, knowledge and attitudes are needed to make this change?

Skills _____

Knowledge _____

Attitudes _____

8. How will you acknowledge, recognize and celebrate this change?

9. How will you create incentives to move toward change?

10. How will you reward yourselves for having led this change?

PREPARING FOR CHANGE

In getting ready to implement a change, it is useful to think through in advance how easy or difficult it will be to get people to accept it. Know your change, and anticipate questions, objections and concerns that your staff may have. Use these questions to assess how difficult gaining acceptance will be.

1. What is the cost of implementing this change (including costs in time, money, social status, etc.)?
2. What are the potential benefits, in both the short-and long run, for the organization and for individuals?
3. How will the change make life easier for people in the organization?
4. How much risk or uncertainty is involved?
5. Whom can you count on for support and opposition inside and outside the organization?
6. How easy is it to communicate what the change is all about?
7. How compatible is this change with the goals, values, and structure of the organization?
8. How complex are the changes that are involved?
9. Where did this idea come from? (It will help if someone else is already doing it or it was proposed by someone respected by people in the organization.)
10. Can the change be tried out on a small scale first?
11. Can the change be modified without losing effectiveness?

CHANGE ANALYSIS WORKSHEET

With regard to the possible or coming change:

1. Upon whom will it have the most impact?

--

What is that impact?

2. For whom will it be the most difficult?

--

What are those difficulties?

3. For whom will it present the most exciting challenges?

What are those challenges?

4. For whom will it have the most benefits?

What are those benefits?

5. Who or what is most likely to attempt to block this change?

6. Who or what is most likely to attempt to sabotage the change when it is implemented?

7. What can I do to help those for whom the change will be the most difficult?

8. What are the possible rewards for helping the change to go smoothly?

STRATEGY FOR IMPLEMENTATION

Based on your knowledge of your change effort and your organization, what is your strategy for getting your change accepted?

1. **WHO** needs to be involved?
2. **WHAT** will they need to do? **WHAT** initial steps must be taken?
3. **WHEN** will each activity be done?
4. **WHERE** will this take place? (levels of the organization, etc.)
5. **HOW** will you do it?

EVALUATION OF IMPLEMENTATION STRATEGY

Monitor your progress as you carry out this implementation strategy. Be prepared to modify your initial approach if necessary.

1. **Was** your plan accepted?
2. **What** problems did you encounter?
3. **How** did you modify your strategy?
4. **What** techniques were most effective for you?

Handout #24

ROLE OF PARTICIPATION

People will more readily accept change if they are involved in the process. Involvement means that they will have a role in defining how to meet a goal, or respond to a new situation. This is the keynote of participatory management.

Participation and collaboration can take many forms, including: *Quality Circles, Task Forces, Focus Groups, Opinion Surveys, Suggestion Systems, Brainstorming Meetings, etc.*

As a supervisor you want to use as many of the above options as you can to directly involve your employees in the change process. Remember the following steps for increasing collaboration:

- Create a "Safe Zone" for free discussion
- Press for honest opinions
- Set a time limit for the process
- Invite differences of opinion
- Don't judge, criticize or blame
- Share your dilemmas;
- Ask for help from the team

SETTING THE STAGE FOR INVOLVEMENT

Before beginning to involve your employees in the change process, it is important that you check your intention. Are you, involving them because you want to honestly learn how they feel, or are you doing it simply to protect yourself from criticism? Many supervisors have tried involvement and failed because their intention was to protect themselves, not to learn.

Despite the advantages of collaboration and a participatory management style, there are times in which group decisions and planning are not the best approach. Check the following list to learn when not to use collaboration:

- When time is of the essence
- When one person has the expertise and a great track record.
- When key people will not be affected
- When you can't afford to make a mistake

SETTING GOALS TOGETHER

You can help your employees through change by ensuring you involve them in the setting of goals for their work. Participative goal and objective setting requires open communication in a problem-solving environment. It is a give-and-take process. A supervisor who thinks it is his or her sole responsibility to plan, organize, schedule and evaluate work will not be as successful as the one who involves employees in goal setting. In times of change, goals and objectives can change frequently and should be reevaluated often. Let's consider each step individually:

I. Assess Current Situation-what is happening now? Does the new work following the change match the current objectives? How have expectations changed since they were last reviewed? Ask open-ended questions to find out how each employee feels about what is going on relative to new work expectations.

As a manager you may want to become an active listener. Let your employees tell you what is going on. Ask for their ideas on how to best accomplish new responsibilities by asking employees, "*If you had to do this, how would you go about it?*" You can't make improvements unless you know what is going on.

II. Listen and Rephrase-to establish trust.

It is impossible to listen and talk at the same time. Listen for the main idea and take notes to ensure that you recall what the other person said. Allow enough time for each employee to tell his or her own story completely.

Listen for emotion (what are they feeling/experiencing at this time?). Face the employee with uncrossed arms and legs and lean slightly forward establishing solid, intermittent eye contact. Use affirmative head nods; occasionally say "uh huh," "go on," or "Yes" to encourage the employee. Ask open-ended questions (using how, what, where, when, why) and then repeat or restate what you think the other person said. Ask a question to confirm your understanding.

III. Clarify Objectives-what is it that you want and need to achieve?

Work together toward a clear idea of what is wanted. Ask the employees to write out their objectives. Then meet to discuss and revise them. Working together will motivate an employee to do well and will establish a focus for performance.

IV. Identify Problems-define and analyze the problems.

In the process of setting goals there will be some areas where you and your employees might not agree. During periods of change it is common to either have too many objectives (the result of combining jobs without cutting out objectives) or trying to do work that fits both the "old" and "new" way of doing things. As a supervisor, your job is to help prioritize objectives in order to avoid a situation where the employees are overwhelmed. Too many objectives will create anxiety and lead to poor performance .

V. Brainstorm Solutions-to generate ideas.

During change it's common for jobs to change character. Previous job descriptions are often not accurate, and employees may feel upset if they are being asked to do things that are "not their job." To help employees understand their new roles you need to think about:

- What has been tried before?
- What have other people done in similar situations?
- What have you tried before, that may not have worked then, that might work now?

VI. Provide Feedback-to promote motivation.

Feedback is essential to employees during change. They need to know how they are doing. They need encouragement and support. Many supervisors don't do a good job of providing feedback when things are normal. The following are some reasons used for not giving feedback.

- They already know what I think.
- I'm the boss; they just need to follow my instructions.
- I have too many other things to do.
- If anything new happens, I'll tell those who need to know.
- They're professionals-they shouldn't need their hands held.

When feedback is poor, employees are more likely to be anxious, have low job satisfaction or quit. People who hear nothing usually fear the worst.

SETTING A PLAN OF ACTION FOR INVOLVEMENT

An action plan can be accomplished in a brainstorming meeting, or series of meetings, where employees feel welcome to suggest ideas about how to accomplish goals based on the group's shared vision. Sometimes, when a new technology or significantly different organization is initiated, many corresponding changes may be required.

Exploration is a period of time where your team makes" an extra effort to think about new ways of doing things. A team, when working well, can often think of

more and better ways to achieve results. Draw on the energy of the group to think about how to make positive things happen.

Planning sessions may seem to be inefficient. But you will find planning well worth the time. People want to participate and become involved. Often they will spend time on their own resolving specific challenges.

After a period of brainstorming, you should lead your group to some decisions. This means setting specific goals and obtaining agreement on a plan to meet them. Making decisions as a team helps everyone commit to them.

Once you have committed to new goals, you should take time to recognize contributions each individual has made.

CONTROLLING CHANGE

In the space provided, think about a recent or current change in your organization and describe which aspects of the change are “givens”, which are “Negotiables”, and which are “controllable.”

GIVENS

Aspects of the change we have no control over.

NEGOTIABLES

Aspects of the change that we can influence or discuss.

CONTROLLABLE

Aspects of the change my team can control.

INCREASING TEAM INVOLVEMENT

The primary complaint of supervisors during workplace change is the difficulty they experience getting their people motivated. Employees in the early phases of change are often unmotivated. They are negative or disinterested in work that needs to be done. Their attention is elsewhere. Their problem is normally not a lack of motivation, but rather that they are dealing with other issues.

Motivation is often thought of as a series of devices supervisors use to get people to do things. The implication is that if the tricks weren't employed, employees wouldn't want to do the task.

New thinking indicates that people do not have to be tricked or forced to work. In fact, studies show that most people want to do a good job. A majority of workers responded to a recent survey indicating they are not asked or expected to do all that they could in their job. They wish they could contribute even more!

Getting people motivated is not making people do things. It is uncovering the *want to* factor, which is simply learning what they want to do. People get excited about change when they see a part for them in it. They respond with enthusiasm when they feel they have a role in helping define how their work group will be involved in the change.

Furthermore, 51 percent of the time individual decisions are less accurate than some group method. As interaction increases, so does the chance of a better decision. A good leader will offer opportunities for team members to be apart of making change work. This involves asking people for their ideas on how to do it best. Getting through change demands collaboration :

DIRECTIVE STYLE

Low Participation
Low Commitment
Leader is Responsible for Results

COLLABORATIVE STYLE

High Participation
High Commitment
Standard is Responsible for Results

GAP ANALYSIS

Gap Analysis is the process of defining the difference between two states, identifying the steps to get from, "the way things are" to "the way we want things to be".

Instructions: Complete the following Gap Analysis for a current change you are facing.

THE WAY THINGS ARE ←	THE WAY I WANT THINGS TO BE	STEPS TO GET THERE →
1.		
2.		
3.		
4.		
5.		

PART II. CHANGE ANALYSIS

1. If I consider the present status of the situation as a balance of opposing forces, the following would be on my list of forces **DRIVING** toward change: *(Fill in the space to the right of the letters. Leave spaces to the left blank.)*

	A	
	B	
	C	
	D	
	E	
	F	
	G	
	H	

2. The following would be on my list of forces **RESTRAINING** change:

	A	
	B	
	C	
	D	
	E	
	F	
	G	
	H	

3. In the spaces to the left of the letters in item 1, rate the driving forces from 1 to 5.

RATING KEY:

- 1 = It has almost nothing to do with the drive toward change in the situation.
- 2 = It has relatively little to do with the drive for change in the situation.
- 3 = It is of moderate importance in the drive toward change in the situation.
- 4 = It is an important factor in the drive toward change in the situation.
- 5 = It is a major factor in the drive toward change in the situation.

4. In the spaces to left of the letters in Item 2, rate the forces restraining change, using the number scale in item 3.

GOAL PLANNING SHEET

Desired Goal: _____ Overall Target Date: _____

Obstacles and Roadblocks Anticipated	Solutions and Plans for Overcoming Obstacles Roadblocks	Target Date	Expected Benefits	Progress To Date
1.				
2.				
3.				
4.				
5.				

REVIEWING LIABILITIES AND RESOURCES

When you are in the midst of change, it is important to take stock of what you have to offer. It is also important to ascertain what you need to learn. Take a moment to inventory your strengths, skills and resources. Include personal as well as professional qualities, experiences, and achievements.

STRENGTHS:

SKILLS:

RESOURCES:

WHERE DO YOU NEED TO LEARN AND GROW:

HOW PERFORMANCE IS AFFECTED THROUGH CHANGE

There will be mistakes made during changes. How you respond to them will be important in maintaining employee involvement. Each mistake represents a potential for learning. It is your job to focus employees on the learning aspect of the mistake. Ask what they will do in the future to prevent the mistake from happening again. Provide positive reinforcement to their ideas and give them your support to try again.

One way to reduce damage from mistakes is to have regular cycles of report and feedback. This is especially important during changes when the pre-established ways of working are often off the mark.

Change in the workplace will affect your employees' job performance. Performance will usually be affected in direct proportion to the magnitude of the change. If the change is significant, it is safe to assume that job activities will not be accomplished at a normal rate. Factor this slowdown in your production expectations and scheduling.

Before, during and after change there are specific things employees want from their jobs. Make sure you provide as many of the following as possible:

- Work that is interesting and/or meaningful .
- A clear statement of the results you expect
- Appropriate and on-time feedback on those results.
- A reward system for achieving results

During change you have an excellent opportunity to rethink job descriptions and assignments to make them more meaningful. Job enrichment can be nothing more than taking a current job and involving the employee to make it more meaningful. This may involve adding responsibilities, varying or rotating tasks or getting the job done in new ways.

THE CHANGE PROCESS

● UNFREEZING: The Status Quo

Change may be initiated by a crisis in the organization; new demands placed on the organization; or innovation proposed by someone in the organization. The old ways are opened to questions, and the climate for change exists.

● CHANGING: Through a Set of Actions

Change occurs through a random process of looking for new solutions, or a planned approach to solving a problem. There is uncertainty, confusion, searching and probably conflict.

● REFREEZING: Into a Stable Pattern

Change slows, as new ways replace the old ones and become standard practice as staff members accept the new situation and act in new ways.

Change Agent/Leader Role

- Creates a vision of how things can be done better.
- Translates visions into visible agendas.
- Communicates agendas.
- Establishes a climate of problem-solving and learning.
- Persist until the agendas get accomplished.

STCP

4

EMPOWER TEAMS

Empower your team by -

- Focusing on the process
- Developing a problem-solving orientation
- Creating a learning environment
- Sharing responsibility

STCP

5

7 DYNAMICS OF CHANGE

People will -

1. Feel awkward, ill-at-ease, and self-conscious.
2. Think about what they have to give up.
3. Feel alone even if everyone else is going through the change.

STCP

6

7 DYNAMICS OF CHANGE

People-

4. Can handle only so much change
5. Are at different readiness levels for change.
6. Will be concerned that they don't have enough resources
7. Will revert back to old behavior if you take the pressure off.

STCP

7

REACTIONS TO CHANGE

- Identity, Commitment
- Cooperation
- Support
- Acceptance
- Neutrality
- Indifference
- Apathy
- Foot-dragging, complaints
- Attack, Sabotage

STCP

8

REASONS FOR RESISTANCE

- The proposed change appears to violate values/ethics
- Inertia already exists in the system
- A misunderstanding of proposed changes is evident
- There is a fear of loss
- Personal antagonism exists among group members

STCP

9

- There is a lack of confidence in the change sponsor(s)
- There is a lack of confidence in the change agent(s)
- There is a lack of participation among team members
- There is failure to see the need for change

- The timing is very poor
- Informal organizational pressure against the change is possible
- There is a belief that the change is a form of criticism about the way things have been done
- There is a perception that benefits may result if there is a strong resistance to change

UNDERSTANDING LOSS

TYPES OF LOSS:

1. SECURITY
2. COMPETENCE
3. RELATIONSHIPS
4. SENSE OF DIRECTION
5. TERRITORY

4 PHASES OF TRANSITION

It is common to observe the following behaviors:

1. **DENIAL:** withdrawal, “business as usual” attitude, focus on the past. There is activity, but not much gets done.
2. **RESISTANCE:** Anger, blame, anxiety, depression and even “retirement-on-the-job”. Workers may exhibit a “What’s the difference: This organization doesn’t care anymore” attitude.

3. **EXPLORATION:** Over-preparation, confusion, chaos, energy. Lots of energy and new ideas but a lack of focus. The attitude is – “Let’s try this and this and what about this...”
4. **COMMITMENT:** Employees begin working together. There is cooperation and a better focus. Those who are committed are looking for the next challenge. The attitude is “How can we work on this?”

ASSUMPTIONS ABOUT CHANGE

- Organizations change because individuals change.
- Individuals have predictable concerns with change.
- If leaders can anticipate and respond to these concerns, they can lower and in many cases, resolve them.
- If concerns are not addressed, energy is blocked or misdirected, the change may not get implemented or is implemented in disruptive ways.

SIX STAGES OF CONCERN ABOUT CHANGE

- ⊗ Information Concerns: What is the change?
- ⊗ Personal Concerns: How will the change impact me?
- ⊗ Implementation Concerns: What? How? and When?
- ⊗ Impact Concerns: Will the change make a difference? If so, how?
- ⊗ Collaboration Concerns: Who will be involved?
- ⊗ Refinement Concerns: How can we make the change even better?

STRATEGIES FOR ACCEPTANCE

- | | |
|--|--|
| <ul style="list-style-type: none">● Explain why● If there are risks, acknowledge them● Show what you have done to minimize the risks● Name the benefits that could result | <ul style="list-style-type: none">● Seek questions and answer them● Invite participation● Avoid surprise● Acknowledge the difficult areas |
|--|--|

- | | |
|--|---|
| <ul style="list-style-type: none">● Set standards● Give a date for completion● Tell what you want to accomplish.● Explain the penalties for failure | <ul style="list-style-type: none">● Explain the rewards for success● Contact informal leaders.● Praise.● Repeat. |
|--|---|

COMMUNICATING ABOUT CHANGE

1. **Explain the reasons for the change.**
Keep workers as informed as possible.
2. **Talk to people in person.**
Allow people to express their feelings directly. Avoid memos, newsletters and E-mail to inform people of important changes.
3. **Tell people the truth.**
The more informed people are the less anxious they will be. If you don't know tell them so. Solicit questions to identify information gaps.

4. **Express your feelings.**
Don't exclude information about your feelings. They will feel acknowledged and understood and will be more open if your feelings are expressed.
5. **Take first steps.**
Encourage people to immediately take a step toward the new direction or skill

ANNOUNCING THE CHANGE

- Review the need for change and how it came about.
- Describe the change in detail.
- Explain how the change will affect your group.
- Invite participation. Ask for questions about the change

- Listen to feelings and respond appropriately.
- Share your personal feelings (if appropriate).
- Ask for help and support in making the change work.
- Involve everyone in planning.

- Tell them the history of the change.
- Break it into steps.
- Be patient.

COMMUNICATING CLEARLY
COMMUNICATING CLEARLY

**BEHAVIORS + FEELINGS + EFFECTS + NEEDS =
CLEAR COMMUNICATION**

CLEAR COMMUNICATION

- **Behavior/Situation:** What has happened? What is the change that needs to be responded to?
- **Feelings:** What are your feelings about the change: Are you confused, hopeful or upset?
- **Effects:** What effect will the change have on you? The work group? The project?
- **Needs/Wants:** What outcome would you like to see? What do you want the other person to do?

COMMUNICATION GUIDELINES

- Create a safe climate between the people involved.
- Practice clear communication.
- Allow for discovery of the other person's perspective.
- Don't blame.
- Discover new ways.

WHEN PEOPLE ARE UNRESPONSIVE

- Postpone: "It appears as if you are not ready to participate in a discussion, so perhaps we can meet later today."
- Open Ended Questions: "What do you think of this change?"
- Repeat: "Now that I have explained the change, what do you think?"
- Self Disclosure: "The first time I heard about this I was very concerned. What about you?"

- **Other People's Reactions:** "When the other department went through this, their 9 people were upset. How did you feel?"
- **Broken Record:** Repeat again.

PLANNING FOR CHANGE

- i. **Preparation:** Anticipating key elements.
- ii. **Planning:** Getting people together to plan the response.
- iii. **Transition Structures:** Establishing special ways of working together and temporary organizational structures.
- iv. **Implementation:** Activating a flexible response and learning cycle.
- v. **Reward:** Acknowledging the people who made it work.

PREPARATION

- Prepare your employees. Let them know what is happening ahead of time.
- Describe the change as completely as you can.
- Research what happened during the last change.
- Assess the organizational readiness of your team
- Don't make additional changes that aren't critical.

PLANNING

- Make contingency plans. Anticipate the unforeseen, the unexpected and any setbacks.
- Allow for the impact of change on personal performance and productivity.
- Encourage employee input. Ask for suggestions.
- Anticipate the skills and knowledge that will be needed to make the change.
- Set a time table and objectives so you can measure your progress.

TRANSITION STRUCTURES

- Create a transition management group to oversee the change. This group is responsible for taking the pulse of the group and helping identify possible roadblocks.
- Develop temporary policies and procedures during the change.
- Create new communication channels. Prevent gossip through clear, accurate communication.
- Meet frequently to monitor the unforeseen, to give feedback or to check on what is happening.

IMPLEMENTATION

- Provide appropriate training in new skills and coaching in new values and behaviors.
- Encourage self-management. Inform each person that he or she is accountable for some aspect of the change.
- Give more feedback than usual to ensure that people always know where they stand.
- Allow for resistance. Help people “let go of the old”.

- Give people a chance to step back and take a look at what is going on.
- Encourage people to think and act creatively.
- Look for any opportunity created by the change.
- Allow for withdrawal and return of people who are temporarily resistant.

- Collaborate. Build bridges between your work group and other work groups.
- Monitor the change process. Conduct surveys to find out how employees are responding to the change.

REWARD

- Create incentives for special effort. Give recognition to groups or individuals who have come through the change smoothly.
- Celebrate by creating public displays that acknowledge groups and individuals who have helped make things happen.

PREPARING TO IMPLEMENT CHANGE

1. What is the cost of implementation?
2. What are the potential benefits, in both the short-and long run?
3. How will the change make life easier for people?
4. How much risk or uncertainty is involved?

5. Whom can you count on for support and opposition inside and outside the organization?
6. How easy is it to communicate what the change is all about?
7. How compatible is this change with the goals, values, and structure of the organization?

8. How complex are the changes that are involved?
9. Where did this idea come from?
10. Can the change be tried out on a small scale first?
11. Can the change be modified without losing effectiveness?

STRATEGY FOR IMPLEMENTATION

- WHO needs to be involved?
- WHAT will they need to do? What initial steps must be taken?
- WHEN will each activity be done?
- WHERE will this take place?
- HOW will you do it?

MONITORING PROGRESS

- Was the plan accepted?
- What problems were encountered?
- How was it necessary to modify the strategy?
- What techniques were most effective?

INCREASING COLLABORATION

- Create a "safe zone" for free discussion.
- Press for honest opinions.
- Set a time limit for the process.
- Invite differences of opinion
- Don't judge, criticize or blame.
- Share your dilemmas.
- Ask for help form the team.

CONTROLLING CHANGE

- **GIVENS** – Aspects of the change team has no control over.
- **NEGOTIABLES** – Aspects of the change that team can influence or discuss.
- **CONTROLLABLE** – Aspects of the change the team can control.

PERFORMANCE & CHANGE

- Ask what they will do in the future to prevent the mistake from recurring.
- Provide positive reinforcement.
- Give staff your support and encourage them to try again despite setbacks.

EMPLOYEES WANT

- Work that is interesting and/or meaningful.
- A clear statement of the results expected.
- Appropriate and on-time feedback on those results.
- A reward system for achieving results.
