**Seminar 08A**

**Leading Transformational Change:**

**Applied Change Management in Higher Education**

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**Seminar Description**

Participants will engage in discussion and the development of an individualized plan for effectively leading change within their organization. They will review Kotter's eight-stage process for creating change, collaborate on how each stage applies to higher education, and apply the concepts in creating a plan to address a self-identified issue.

**Outcomes**

* Recognize Kotter's eight-stage process for creating major change
* Identify ways to apply Kotter's process to effect meaningful change within an institution
* Develop a concrete, individual plan that could be used to facilitate or lead change that addresses a specific issue within your organization or institution

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**AGENDA / OUTLINE**

* **Welcome / Introduction**
* **(Transformational) Change Defined**
* **Developing a Plan for Change**
* **Kotter’s Steps 1 through 4**
* **Break**
* **Kotter’s Steps 5 through 8**
* **Final Thoughts**

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**Leading Transformational Change:**

**Applied Change Management in Higher Education**

**A Plan for Change**

***Template***

***Utilizing Kotter’s Eight-Stage Process***

# A Plan for Change

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| High Level Description of the Desired Change: | *{Example: Introduce and implement a formal project management approach to all IT projects.}* |
| Developed by: | *{Example: C. I. Officer of A University}* |
| Date: |  |

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| **Revision History** | | |
| **Date** | **Author** | **Description** |
| [date of revision] | [author of the revision] | [description of the revision] |
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### Description of the Change

Provide a more detailed description of the change you are planning to implement and why it is important.

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| *{Example: Currently there is no formal project management approach to IT projects. This change would create a culture of project management, where all units embrace a formal approach to all IT projects. This would include projects done wholly within the IT organization and those done in cooperation with functional units. Positive outcomes include increased agreement amongst all stakeholders regarding project outcomes, timelines, milestones, and potential risks, as well as increased transparency, higher on-time and within-budget completion of projects, and identification of recurring issues that threaten project success in order that such issues could be addressed.}* |

### Kotter’s Stage 1 – Establishing a Sense of Urgency

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| Strategy Define key strategies that can be applied to establish a sense of urgency with key stakeholders. | Barriers Identify any barriers that could prevent a sense of urgency being established. | Mitigation What approach will you take to eliminate or mitigate the barriers? |
| *{ex: provide estimate of indirect costs related to over-runs of non-managed projects}* | *{ex: difficult to estimate costs; belief that cost of change is greater than cost of inefficient projects, etc.}* | *{ex: identify opportunity cost for monies spent on over-runs}* |
| 1. |  |  |
| 2. |  |  |
| 3. |  |  |

Identify several strategies that can be used to create a sense of urgency to stakeholders – those affected by or involved with – the proposed change.

What are the consequences of not making this change?

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### Kotter’s Stage 2 – Creating a Guiding Coalition

Who within the institution can help successfully plan, manage and implement the proposed change? Which individuals, university offices, or departments, etc?

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| Coalition Team Member(s) Identify key individuals and departments that are necessary to successfully implement the proposed change. | How will this team member contribute to successfully planning and implementing the proposed change? What role will the individual or departments play in helping to lead the change process and ensure success? |
| *{ex: administrative leadership: provost, director of budget; VP for student life; IT leadership and staff}* | *{ex: provost: establishing expectations that all projects will be managed with a formal approach; Director of Budget: actively participating in formal project documentation, setting expectation for budget development staff to participate, …}* |
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### Kotter’s Stage 3 – Developing a Vision and a Strategy

What does success look like? Describe your vision of success in several key words or statements.

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| Vision What will the future look like after the successful implementation of the change? |
| *{Ex: i.*  *Formal project documentation and stakeholder involvement in all IT projects (including formal acknowledgement / approval through all stages}*  ii.. Functional users are comfortable initiating formal project documentation when new projects are identified and requested by non-IT groups.  iii.. Increased completion of projects within budget and within identified timelines. Monetary savings resulting from efficiencies can be repurposed.  iv.. Increased transparency regarding status of projects; greater understanding about resource constraints and how such constraints affect project timelines; informed discussions with all stakeholders about project priorities. |
| 1. |
| 2. |

What are some associated strategies necessary to successfully achieve the above vision?

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| Strategies What strategies need to be developed or might be used to achieve each respective vision statement? |
| *{Example: i. Educate IT and non-IT staff regarding formal project management.*  *ii. Demonstrate process and subsequent benefits of formal project management on one or more small, non-complex projects.*  *iii. Secure support for resources required to implement project management – personnel, software, etc.}* |
| 1. |
| 2. |

### Kotter’s Stage 4 – Communicating the Change Vision

Communication is essential to the successful adoption of change. Identify key communication strategies to ensure that all stakeholders are well informed and encouraged to buy in and engage in the change effort.

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| Communication Strategies What information must be communicated to ensure the community is well informed on the change effort and associated impacts. If possible, identify expected timing for each strategy. | Audience For each communication strategy, identify the anticipated audience |
| *{Example: i. excitement about the new approach to project management; importance; benefits;*  *ii. goals of implementing formal project management; less frequently*  *iii. progress in implementation – pilot projects, successes* | *i. ITstaff; external stakeholders .*  *ii. Institutional leadership / administration .*  *iii. entire institution* |
| 1. |  |
| 2. |  |
| 3. |  |

### Kotter’s Stage 5 – Empowering Employees for Broad-Based Action

Identify organizational structure, system and process barriers that could impede the adoption of the proposed change. Also, identify strategies that will support the empowerment of employees and set the institution up for successful change implementation.

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| Structural and System Barriers What structural and process barriers exist that will impede successful adoption of the proposed change. |
| *{Example: old habits; perceived overhead of paperwork not worth benefit; perceived inconvenience of new processes/paperwork.* |
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| Structure Adjustment, Training and Systems Refinement Strategies What organizational structure, systems and training strategies can be applied to empower employees and support the adoption of the proposed change? |
| *{Ex: Provide project management training for all members of the institution and at both introductory levels of understanding as well as more advanced methods. Encourage the utilization of a project management approach across the institution, regardless of type of project, originating unit, or organizational level.}* |
| 1. |
| 2. |
| 3. |

### Kotter’s Stage 6 – Generating Short Term Wins

Short term wins help to maintain the momentum and motivation required to successfully implement change. What are some short term wins that can easily be aggregated to achieve further change?

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| Short Term Wins and Milestones What short term wins can be achieved as part of this change effort? What are the anticipated effects of these short term wins? |
| *{Ex: Select 2 or 3 highly visible, short-term projects to which PM techniques can be easily applied as pilot projects. Demonstrate the efficacy and benefits of formal PM, communicating the stages of the project in a highly visible way to all members of the institution.}* |
| 1. |
| 2. |
| 3. |

### Kotter’s Stage 7 – Consolidating Gains and Producing More Change

Resistance to change is often waiting to reappear, despite successes. In what ways can you leverage initial successes and “wins” to leverage additional change? How can you broaden or deepen the effects of change?

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| Future Related Change Opportunities What future change opportunities may present themselves as short and long term wins are achieved in the change effort? | Expected Impacts of Future Change Opportunities What are the possible impacts of each future change opportunity identified? |
| *{Ex: Expand the number of departments involved as stakeholders in projects managed with formal approach.}* | *{Ex: Additional positive examples of the benefits of formal PM. Broadens the impact of the change.}* |
| 1. |  |
| 2. |  |
| 3. |  |

### Kotter’s Stage 8 – Anchoring New Approaches in the Culture

Transformational change must be fully adopted by the institution and supported by the culture to ensure lasting impact. Both behavioral norms and shared values comprise an institution’s culture, and both must be changed in order ensure enduring change. What institutional norms or shared values might inhibit the establishment of the change as part of the culture? In what ways can those barriers be addressed to ensure the likelihood of long-lasting change?

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| Cultural Challenges What aspects of your institutional culture could impede lasting adoption of the proposed change? | Cultural Strategies What strategies can help address these challenges? |
| *{Example: i. Reverting to old norms (lacking formal PM processes) when time and political pressures are perceived more important than following PM processes.*  *ii. Change in administrative leadership that doesn’t understand or value formal PM.* | *{Example: i. Continually work to encourage broad understanding and commitment to the change.*  *ii. Identify key mid-level managers that believe in process and see value so are self-motivated to stay the course.*  *iii. Ensure new hires in leadership and management positions have experience with and are committed to formal PM.* |
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| 2. |  |
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**Leading Transformational Change:**

**Applied Change Management in Higher Education**

**A Plan for Change**

***Template – Example Content***

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**Stritch Learning Environment Change Project**

# A Plan for Change

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| High Level Description of the Desired Change: | This change project is designed to study, evaluate, select, configure, integrate, promote, train, launch and support a next generation Learning Management environment for Cardinal Stritch University. Though the implementation of a new Learning Management System is a key objective, further goals and objectives are squarely centered on standardizing instructional design practices and academic technology usage across university colleges and academic programs and improve associated support services. |
| Developed by: | TJ Rains, Vice President for Information Services, CIO and CTO |
| Date: | 9/19/2014 |

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| **Revision History** | | |
| **Date** | **Author** | **Description** |
| 9/19/14 | TJ Rains | Original Draft – Example For EDUCAUSE Pre-Conference Seminar 08A – Leading Transformational Change |
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### Description of the Change

Provide a more detailed description of the change you are planning to implement and why it is important.

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| While the university’s existing Learning Management System has not officially provided a sunset date, it is likely that the vendor will not continue active development of the platform going forward. Stritch has currently extended their contract through August 26, 2014, but standard industry wisdom suggests that one year in advance of that a university should be actively deploying its successor platform to ensure successful transfer.  A growing number of university courses are hosted on the existing LMS platform with new units, programs, and courses being added continually. Maintenance of a quality, highly functional LMS is essential to the university’s future for existing courses delivered in multiple modes, and as a basis for broader innovation that may drive cutting edge educational product changes in the future.  There is an opportunity to use this project to achieve multiple objectives. These objectives include an opportunity to:   1. Engage the faculty and students in a new partnership focused on a more standardized, learner-centric, instructional design driven strategy and then to determine the best tool set to achieve that vision. 2. Make this a university-wide process that will for the first time guarantee university-wide acceptance and use of our investment. 3. Integrate the Canvas LMS with university enterprise, identity, learning, communication, support systems, and assessment platforms to create greater operating efficiency and better student learning outcomes and overall student experiences. 4. Align the selected design processes and learning management tool(s) with high level goals and initiatives. 5. Re-brand all or some of the learning products for which Stritch is known to the outside community. |

### Kotter’s Stage 1 – Establishing a Sense of Urgency

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| Strategy Define key strategies that can be applied to establish a sense of urgency with key stakeholders. | Barriers Identify any barriers that could prevent a sense of urgency being established. | Mitigation What approach will you take to eliminate or mitigate the barriers? |
| Communicate to cabinet and deans of degradation in service and support of the Blackboard Angel Edition product. Reinforce the negative impact on the ability of OIS to support further product enhancement. | Disagreement with OIS situational analysis. | Conduct a formal analysis of the current situation utilizing support and service data to prove the degradation of service.  Provide a review of current faculty and student expectations obtained through recently completed satisfaction surveys and focus group sessions. Articulate the gaps between expectations and product features/services/supports. |
| Focus communication with impacted stakeholders on the timing requirements for a LMS successful implementation. | Disagreement with OIS project schedule. | Utilize peer institution project schedule and prior experience to prove project/resource requirements. |

Identify several strategies that can be used to create a sense of urgency to stakeholders – those affected by or involved with – the proposed change.

What are the consequences of not making this change?

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| 1. Blackboard Angel Edition product/service/support will continue to degrade until we are forced to switch to a new vendor/service/product. 2. Faculty and Student satisfaction with online, blended and face to face courses will degrade. This reality would negatively impact satisfaction with programs and impact enrollment and retention. 3. Impacts on enrollment and retention will have a direct impact on perceived quality of programs, accreditation, marketability and earned revenue. 4. Loss of market share in regional online and blended markets due to degraded quality of programs and courses. |

**Kotter’s Stage 2 – Creating a Guiding Coalition**

Who within the institution can help successfully plan, manage and implement the proposed change? Which individuals, university offices, or departments, etc?

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| Coalition Team Member(s) Identify key individuals and departments that are necessary to successfully implement the proposed change. | How will this team member contribute to successfully planning and implementing the proposed change? What role will the individual or departments play in helping to lead the change process and ensure success? |
| TJ Rains, Vice President for Information Services, CIO/CTO  Tia Bojar, Executive Vice President for Information Services | Sponsor- Champion the project, provides budgetary, scope and management oversight. |
| David Weinberg-Kinsey, Director of Library and Learning Services  Bill Marcou, Director of Project and Performance Management | Project Management - Direct and track overall project to completion. Facilitate project management process throughout PM lifecycle. |
| Core Project Team   * Functional   + Hope Liu, Instructional Technologist   + Christine Dereberry, Instructional Designer   + Library and Learning Services Advisory Committee * Technical   + Sue Ingles, Director of Enterprise Systems   + Eric Abney, Database Administrator/Integration Specialist   + Steve Tracy, Director of Infrastructure Support * Support Services   + Alex Pezewski, Director of User Support Services   + Jessica Mould, Technical Support Training Coordinator | * Functional   + Manage learning teams & tasks and facilitate designated design review activities.   + Develop designated documentation, testing, & analysis.   + Primary representatives for collaborative platform review process and prioritization of adjoining elements of the Stritch Learning Environment. * Technical   + Leadership and facilitation of enterprise integration development and support.   + Leadership for any hosting, backup, network and security requirements. * Support Services   + Design new support service adjustments necessary to successfully support new LMS. |
| Early Adopter faculty and academic unit representatives | Provide needs assessment, survey, and test data.  Initial users/developers/evaluators of recommended platform  Early adoption, testing and feedback to core project team. |

### Kotter’s Stage 3 – Developing a Vision and a Strategy

What does success look like? Describe your vision of success in several key words or statements.

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| Vision What will the future look like after the successful implementation of the change? |
| 1. Long term success will defined by:    1. System usage is significantly increased moving towards minimally defined usage across the community.    2. System supports all defined learning methodologies and activities.    3. System integration improved to point where all core learning activities are blended and seamless to faculty and students.    4. System provides reliable and complete reporting data for program monitoring, institutional decision-making, and compliance requirements.    5. System is reliably operated and supported for easy access and use.    6. System encourages use of an approved set of useful and related learning applications.    7. System increases the productivity of faculty in facilitating and managing instruction.    8. Support services delivered in a way that supports active adoption by faculty, instructional design staff and students.    9. Universal use standards are developed and enforced across University colleges and programs.    10. Service governance structure is established at point of project closeout to ensure continuous development and improvement of product, associated services and supports.    11. Recurring training program is developed and delivered as part of Library and Learning Services standard service offerings. Training program is informed and validated by service governance body.    12. At the conclusion of the change project, Learning Services organizational structure must be analyzed to determine appropriate reporting lines to ensure services are well aligned to faculty development and professional expectations/requirements. |

What are some associated strategies necessary to successfully achieve the above vision?

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| Strategies What strategies need to be developed or might be used to achieve each respective vision statement? |
| 1. Collaboratively develop a project management plan and schedule to ensure that each of the identified vision elements is successfully carried out to fruition. 2. Hold all identified project team members accountable to specified project schedule tasks and responsibilities. 3. Actively manage the project schedule:    1. Track project tasks to completion    2. Identify risks and realized issues throughout the project lifecycle 4. Adjust plan and schedule accordingly. 5. Establish a project steering committee to ensure high priority is maintained throughout the project lifecycle. Meet monthly. 6. Establish a recurring project update meeting with project management staff and sponsors to ensure that the schedule is being managed appropriately and milestones are being met. 7. Maintain a strong relationship with Faculty Council to ensure open communication occurs and updates delivered on a routine basis. 8. At the conclusion of the project, work collaboratively with Faculty Council and College Deans to define appropriate governance structure for continued system/process maintenance. 9. Identify key performance metrics (pre/baseline and post/impact) to validate successful adoption adjustments. |

### Kotter’s Stage 4 – Communicating the Change Vision

Communication is essential to the successful adoption of change. Identify key communication strategies to ensure that all stakeholders are well informed and encouraged to buy in and engage in the change effort.

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| Communication Strategies What information must be communicated to ensure the community is well informed on the change effort and associated impacts. If possible, identify expected timing for each strategy. | Audience For each communication strategy, identify the anticipated audience |
| Project Charter - Distribute Plan to alert stakeholders of project scope and to gain buy in. | CIO, PMO, Sponsors |
| Project Kick Off Meeting - Communicate plans and stakeholder roles/responsibilities. Encourage continued open communication among all stakeholders. | All Core Team Members |
| Status Reports – Monthly updates on project progress | All stakeholders, PMO and University community at large |
| Team Meetings - To review detailed plans (tasks, assignments, and action items). | Core team and any sub-teams assigned to key project tasks |
| Sponsor Meetings - Update Sponsor(s) on status and discuss critical issues. Seek approval for changes to Project Plan and Schedule. | Sponsor(s) and Project Manager |
| Project Closure/Lessons Learned - Identify improvement plans, lessons learned, what worked and what could have gone better. Review accomplishments. | Project Manager, key stakeholders, and sponsor(s) and PMO |
| University Promotion - To energize and engage the university community on project progress and on developing standards.   * Broadcast e-mail, MyStritch, Troubadour update, University & Learning Services website | Faculty, staff, students and University Leadership |

### Kotter’s Stage 5 – Empowering Employees for Broad-Based Action

Identify organizational structure, system and process barriers that could impede the adoption of the proposed change. Also, identify strategies that will support the empowerment of employees and set the institution up for successful change implementation.

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| Structural and System Barriers What structural and process barriers exist that will impede successful adoption of the proposed change. |
| Cardinal Stritch University is comprised of four semi-autonomous colleges with limited centralized functions and services in the area of instructional design and faculty development. This organizational reality poses significant barriers in establishing institution-wide standards and development plans. It also adds significant complexity to the system configuration and testing processes. |
| Cardinal Stritch University’s College of Business and Management outsources instructional design and course development activities to a third party partner, Synergis Education. Services are delivered based upon an agreed upon methodology and business process. |
| Cardinal Stritch University has a significant adjunct faculty population in the College of Education and Leadership and the College of Business and Management. Adjunct faculty are seldom on campus and will require significant development to ensure proper usage and adoption. |

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| Structure Adjustment, Training and Systems Refinement Strategies What organizational structure, systems and training strategies can be applied to empower employees and support the adoption of the proposed change? |
| Establish a project steering committee consisting of academic deans and representative leadership from each college to help set direction and standards for adoption. The focus of this committee is to come to a University consensus on standards and faculty development strategies for execution. |
| In order to maintain consistency in instructional design practice, a formal amendment to the Synergis Education contract must be established and enforced. This amendment must be collaboratively defined by project leadership, College of Business and Management representation and Synergis Education. Clear roles, responsibilities and service level expectations must be set and agreed upon by all parties. |
| Develop a faculty development plan that specifically addresses the realities of adjunct faculty management. Work collaboratively with adjunct faculty representation to ensure that the plan meets expectations and needs of this diverse population. |

### Kotter’s Stage 6 – Generating Short Term Wins

Short term wins help to maintain the momentum and motivation required to successfully implement change. What are some short term wins that can easily be aggregated to achieve further change?

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| Short Term Wins and Milestones What short term wins can be achieved as part of this change effort? What are the anticipated effects of these short term wins? |
| 1. Establish a team of college instructional design resources to serve as key project representatives to help guide the development of the LMS platform and universal use requirements. Align this group with the operations of the project team and steering committee. 2. Develop system integrations with one-mantra… simplify the faculty and student experience.    1. ERP/LMS Integration – Grade Entry and Attendance Tracking. 3. Establish a formal early adopter program for faculty (Cross-College Program).    1. Provide focused training on defined standards aligned with system functions.    2. Provide financial incentive for faculty participation.    3. Constantly communicate the experiences of the early adopter community to the faculty at large to generate organic/viral adoption.    4. Early launch of the new LMS for courses taught by early adopter faculty. 4. Establish a launch training program to be delivered by college early adopter population to reinforce the universal use standards and system functionality applicable to effective teaching and learning for face-to-face, blended and online programming. |

### Kotter’s Stage 7 – Consolidating Gains and Producing More Change

Resistance to change is often waiting to reappear, despite successes. In what ways can you leverage initial successes and “wins” to leverage additional change? How can you broaden or deepen the effects of change?

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| Future Related Change Opportunities What future change opportunities may present themselves as short and long term wins are achieved in the change effort? | Expected Impacts of Future Change Opportunities What are the possible impacts of each future change opportunity identified? |
| Addition of governance accepted LTI integrations for third party tools supporting.   * Vendor provided content/course materials * Materials sharing via college/program oriented groups. * Lecture capture content – Internally generated. * Engagement supporting tools for the online experience. | Improved engagement in face-to-face, blended and online courses.  Improved faculty adoption of tools to support improvements in teaching and learning. |
| Implementation of systemic lecture capture architecture for all classrooms. Integrate into LMS. | Capture reusable academic resources for incorporation into future programs and courses. |

### Kotter’s Stage 8 – Anchoring New Approaches in the Culture

Transformational change must be fully adopted by the institution and supported by the culture to ensure lasting impact. Both behavioral norms and shared values comprise an institution’s culture, and both must be changed in order ensure enduring change. What institutional norms or shared values might inhibit the establishment of the change as part of the culture? In what ways can those barriers be addressed to ensure the likelihood of long-lasting change?

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| Cultural Challenges What aspects of your institutional culture could impede lasting adoption of the proposed change? | Cultural Strategies What strategies can help address these challenges? |
| Cardinal Stritch University has a fairly risk averse culture with tendencies to fall back on tried-and-true approaches to education delivery. While this reality has helped the University maintain consistency in student experience for the face-to-face delivery modality, blended and online modes have suffered. In order to compete in the regional and national blended and online space, we must become more willing to experiment, standardize and implement changes to instructional design and delivery approaches. | Develop recurring training program in the areas of academic technology, instructional design and innovation to support faculty development and growth.  Build a faculty success center to support the operations of the training program and consulting services supporting for faculty innovation in teaching and learning. |
| Cardinal Stritch University has had significant difficulties in maintaining effective governance for academic technology and instructional design standards. | Establish a formal governance system to maintain instructional design standards and academic technology system configuration and new product implementation. |

**REFERENCES**

* Bridges, W. (2009). *Managing Transitions*. Nicholas Brealey, Boston, Massachusetts.
* Kotter, J. P. (2012). *Leading Change*. Harvard Business Review Press, Boston, Massachusetts.