LEADING EDUCATIONAL CHANGE
ACKNOWLEDGEMENTS

This course is one part of the M Ed Leadership programme which is a joint product of the members of the Virtual University of the Small States of the Commonwealth (VUSSC). The course has been developed and put together by a team of people from four member states of VUSSC namely Botswana, Maldives, St. Lucia and Tonga. Special thanks go to Dr. Roger Powley and Mr. John Lesperance who guided the team, especially the team leader, during the development of this course. This course would never have been completed had it not been for the support and encouragement of Dr. Powley and Mr. Lesperance.
**Course Overview**

**Introduction**

The Leading Educational Change course will prepare educational leaders to effectively facilitate and guide the change effort in their organizations. Educational leaders must exercise the strategic art of leadership in response to changing educational needs facing communities today and in the future. This course will prepare educational leaders to properly and in a timely manner assess their impact of change on their vision and seek to respond effectively to these changes. This course is part of a post-graduate programme, and as such, learners are encouraged to read widely as the course only introduces them to Educational Change. Examples used in this course are just a few of the many that could have been used. So you, the learner, are encouraged to read especially the suggested books and web links.

**Course Goals**

Upon completion of the change course, you will be able to:

1. Explore the issues and challenges of change within the education system.
2. Select an appropriate change theory or model to guide the movement towards a vision.
3. Apply an appropriate theoretical model to planning transformational change initiatives.
4. Build and manage institutional capacity to facilitate and nurture educational change.
5. Recognise and respond appropriately to the challenges that educational leaders face in their institutions.
6. Appreciate knowledge generation as a valued outcome of change.

**Course Structure**

The course is divided into five units as follows;

- Unit 1 - Working In an Ever Changing Environment
- Unit 2 - Theories and Models of Change
- Unit 3 - Planning and Managing Change
- Unit 4 - Aligning Resources for Change
- Unit 5 - Surviving Change
SUGGESTED READINGS

Below is a list of suggested readings that may be available through your library services. Your instructor should select at least two references (one on leadership and one on change) from the list below and assign chapters or articles to read that support the objectives of this course.


ASSIGNMENTS AND PROJECTS

There will be a series of assignments and other activities that will come with the course. These are meant mainly to guide you through concepts in this course and ask you to demonstrate that you can indeed apply the concepts at your workplace or institution. A summary of this work is included at the beginning of each unit. A sample of the major assignment in this course is found at the very end of the module, after completing Unit 5. Your institution / tutor will help you through this material and may assist with further readings if necessary.

ASSESSMENT METHODS

Assessment takes form of responding to in-text activities, as well as written assignments and journal entries as determined from time-time by the institution. To capture the output from the reflective questions and activities you are asked to keep a personal journal. At the end of the course the personal journal will be submitted to your tutor or instructor for feedback and grading. Your journal entries should be one and a half to two pages; font 12, Times Roman; spacing 1.5. Your assignment should be between two and three pages. Your major assignment will be at the end of the course, after Unit 5. Remember that both the journal entries and assignment marks contribute to your overall final grade. Please take note that your tutors can modify your assessment items to suit your context if they so wish.

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<tr>
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<th>Weight age</th>
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<tr>
<td>1 Critique a research paper on the application of a change model or theory using the provided guidelines</td>
<td>1000 words</td>
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<tr>
<td>2 Written Assignments (5)</td>
<td>30 minutes</td>
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<td>3 Final Project, including presentation</td>
<td>4000 words</td>
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<td>4 Reflective Journal</td>
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<td>5 Discussion/contribution</td>
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COURSE SCHEDULE

A course schedule with due dates and additional readings will be supplied to you by your institution.
STUDENT SUPPORT

ACADEMIC SUPPORT

A detailed information on the type of academic support learners may need will be provided by the offering institution. This will include the following;

- How to contact a tutor/facilitator (Phone number, email, office hours, etc.).
- Description of any resources that learners may need to procure to complete the course (e.g. lab kits, etc.).
- How to access the library (either in person, by email or online).

HOW TO SUBMIT ASSIGNMENTS

A schedule will be provided to guide you on when and how you will submit your assignments. Your assignments will mainly be the “bridge” between yourself and your tutor or instructor. It is through the feedback on your assignments that you will appreciate what you still need to study more, and where your challenges are, regarding your studies. As such, you need to submit your assignments on time, and read comments from your tutors or facilitators very carefully. Submitting your assignments late will lead you to losing some marks.

TECHNICAL SUPPORT

The submission of assignments will be determined by the institution. However, where learners need to use the electronic mail to submit assignments, they need to be provided with contact details of a technical person they can contact if experiencing any difficulties or challenges.
UNIT INTRODUCTION

Welcome to Unit 1 of the Leading Educational Change Module. You have completed your earlier Module(s) and I must congratulate you for coming this far. This shows commitment to your studies. Unit 1 will focus on Working in an Ever Changing Environment. It mainly introduces you to change in education and kind of summarises all the other Units that will follow. You have to make note of what you will learn in this unit as it will be a building block of what will be discussed especially in Units 2 and 3. In other words, all the units in this Module will be closely related. So to understand a unit, you need to fully comprehend one preceding it. In Unit 1 you will learn about the change process, especially regarding educational change. You will be introduced to change agents and change champions. You will also learn about the reasons why change takes place as well as some of the factors influencing it.

UNIT OBJECTIVES

Upon completion of this unit you should be able to;

- Define the change process
- Explain what change agents and champions are
- Explain reasons for change
- Discuss factors influencing change.

Educational change management as a term came popular in the 20th century. This was due to a number of factors but mainly the demands that were made on schools for pupil achievement and schools were expected to improve and reform or change. The expectations were coupled with calls for accountability by schools. Educational change is a broad term that refers to “both shifting paradigms within education and efforts to reform within education. The former is often a part of the latter, since most change within the field of education is initiated for the improvement of the institution.” (down loaded from http://www.strategies-for-managing-change.com/john-kotter.html)

Change is a continual process, that involves confusion and difficulty, for it is vital for future learners. Change, in this Module, is viewed as an important process for further development of educational institutions. These are specific organisations whose sole purpose is to impart knowledge, skills and attitudes to learners to achieve predetermined educational objectives on goals.

To successfully complete this course the following resources are highly recommended for your further reading;
SUGGESTED READINGS

Your instructor should select and assign the readings you are to complete as part of this unit. Below is a suggested list of books and articles that support the objectives of this unit.


UNIT ASSIGNMENTS

As indicated at the start of the course, you will be exposed to some form of assessment at the end of each Unit. This assessment can be in form of an assignment or journal entry and contributes towards your final grade. For this Unit you will have a journal entry as your form of assessment. Please attend to this and do as you would be instructed. You have to submit this at the end of your course, ie, at the end of Unit 5 of Leading Educational Change.
the Leading Education Change Course. You need to have your journal entries correctly labelled and dated.
TOPIC 1.1 - NATURE OF CHANGE

INTRODUCTION
Change is inevitable, and as such everyone should be ready to experience it at some point in their life. It is important for institutions to keep up with the changes that come their way. This is critical in education as all people involved in education have to acquire new knowledge and skills all the time. This can never be done all at once, hence instituting change is a process.

Educational institutions have to experience change as well as to provide relevant education. Education, which is defined by COL (2010) as a “total process of human learning by which knowledge is imparted, faculties trained and skills developed” helps society pass its major characteristics to the next generation.

OBJECTIVES
Upon completion of this topic you should be able to:

1. define change
2. differentiate between different types of change
3. explain the different causes of change
4. discuss factors necessary for a smooth change initiative.

CHANGE PROCESS
Change can be;

- Evolutionary
- Spontaneous, and
- Planned.

Evolutionary Change
This is change that is slow and gradual as the process involves slow progression from one form to another. Can you visualise any examples as you read this definition? I guess what immediately comes to your mind is the evolution of man that I believe many of you are familiar with. Do you know the theory of the evolution of man? If you have not heard about the theory on the evolution of man, read about it – you can surf your internet to learn more about evolution of man. The theory has it that man evolved or changed over time to be the creature we are today. Like this man who has evolved to be who we are today, some institutions have developed and grown from very small establishments to become large companies that we know today.
**Spontaneous Change**

This change is unplanned and happens very quickly. This type of change is usually triggered by an event that had happened unexpectedly, such as a strike or an uprising. Do you have any examples of institutions that developed or changed spontaneously? If so share how they developed with your peers and tutor.

**Planned Change**

Most institutions plan their change initiatives and the initiatives are usually geared towards specific targets that have to be achieved. This type of change is done deliberately to meet certain organisational objectives.

As mentioned earlier on, change can either be planned or unplanned depending on factors leading to this change. Change can also be a result of both internal and external factors.

Think of the internal and external factors that can cause change and complete the table below;

**Some Possible Causes of Change**

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<th>Internal Factors</th>
<th>External Factors</th>
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You may have identified a number of factors that may possibly lead to, or cause change. These may include the following; poor discipline, new management, poor results, negative attitudes, government legislation etc.

The change process is always adopted differently by different people. Adoption of innovation or change can be seen as a process that goes through five stages of;

1. **Installation /Awareness**: this signifies initial implantation of the idea in the mind of the potential adopter.

2. **Trial**: this is the mental exercise in terms of assessing feasibility of the change initiative, as well as preparation for adoption and possible adverse consequences.

3. **Adoption**: this is where the actual translation of ideas is done.
4. **Evaluation:** this is the assessment of the process efficiency and impact to the innovation. Evaluation in this case is not summative. The basic intention is that of corrective to final adoption.

5. **Internalisation:** this is making innovation an integral part of the system.

**EDUCATIONAL CHANGE**

Kanter (1984) in Armstrong (2004) views change as “the process of analysing the past to elicit the present actions required for the future.” Change involves moving from a present state, through a transitional state, to a future desired state. Change starts with an awareness of the need for this change. Then an analysis that can guide the direction of change will need to be undertaken. Then possible ways on how to improve the change can be identified.

In introducing an educational change initiative some factors need to be considered to facilitate smooth change. Even after introduction of these factors, they need to be considered to facilitate smooth internalisation of the initiative. These factors also need to be continuously communicated to avoid any possibility of distortion. These factors include;

1. **Participation** – people at all levels should be involved in implementing change. Team work should also be encouraged at all levels.

2. **Perception of the leader** – the leader should be clear about the objectives and methods of change. He/she should be committed to its implementation, otherwise if the leader is not committed other employees will not take the change initiative seriously.

3. **Benefit analyses** – employees should always look into costs whenever the change is going to be implemented on a large scale. They may fear that their welfare may be compromised by the change. This, therefore, calls for employees to be made aware of all factors as necessary to support the change initiative without fear.

4. **Top level management** – top level management has to make sure that everybody in the organisation is ready for the change before they can implement it. If the top management adopts the “know all” kind of attitude, they will face stiff resistance from employees. They thus need to engage employees and encourage them to buy-in the change before they can adopt it.

5. **Trust** – trust needs to be built regarding security of jobs and other welfare related benefits before change can be implemented. This will reduce unnecessary resistance and fear in the minds of the employees. To successfully introduce any envisaged change, it is important that both the leadership and employees trust each other. This trust and relationship between the two needs to be nurtured for people to own the change initiative.
6. **Involvement of unions** – unions can be very powerful forces when it comes to implementing change without employees trust and buy-in. For change to be implemented smoothly, unions need to be involved at all critical decision making phases. Unions can even help an institution when involved by encouraging its members to support the change initiative.

7. **Early success** – early success will start to show at different stages depending on the magnitude of the initiative. Early success tends to show much faster if the change initiative is implemented in phases or stages. It is, however, important to have flexible phases that can help take everybody along rather than rush for early success while the rest of the employees have remained behind.

Fullan proposed four broad phases in the change process. These, he said, are initiation, implementation, continuation and outcome.

1. **Initiation** – This is the initial or very first phase of the change process. Factors that affect this phase include the following:
   a. Existence and quality of innovation.
   b. Access to innovations.
   c. Advocacy from central administration.
   d. Teacher advocacy.
   e. External change agents.

2. **Implementation** - Fullan & Stiegelbauer (1991) identified three areas of major factors affecting change implementation as follows;
   a. Local factors affecting implementation.
   b. External factors affecting implementation.
   c. Issues to consider before embracing or rejecting a change effort.

These can be summarized in the table below:

<table>
<thead>
<tr>
<th>Characteristics of change</th>
<th>Internal factors</th>
<th>External factors</th>
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<tr>
<td>Need for change</td>
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<tr>
<td>Clarity about goals and needs</td>
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<td>Complexity/ extent to change required to those responsible</td>
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Complete the table above by filling in the internal and external factors that may affect implementation of educational change in your institution. Then discuss them with your classmates or peers.

**Continuation** – This refers to when a decision is taken about institutionalising a change initiative. Continuation is normally based on the reaction to the change, which can either be positive or negative. Continuation depends on a number of factors such as when:

1. The targets are embedded or built into the existing structure.
2. The change has generated critical support and commitment.
3. The change has established continuing support.

**Outcome** – this will mainly be the desired results of the continued implementation of the initiative. Depending on the type of change, this might be a completely whole new innovation or an improvement on the existing innovation.

Leading educational change requires leadership which has emotional intelligence as its core value when driving the change. This leadership should be able to stay on top of issues as educational change needs a strategy in place for it to be successful. To ensure that one puts in place a strategy that will lead to the success of the change initiative, they have to consider a number of strategies, or analyse different strategies that can actually work for them. Strategy analysis includes the following:

**Risk Assessment** – change initiatives have different change management risks. Organisations with histories and cultures that resist change face high change management risk. In developing the change strategy, these risk factors therefore need to be taken into cognisance.

**Anticipated Resistance** – there is a need to identify where resistance can be expected while creating a change management strategy. How could different groups be impacted, and how could the risk of resistance be resolved?

**Special Tactics** – identify any strategy or tactics that could be used for the particular change initiative. These tactics or strategies will need to be revised and updated as and when necessary during or throughout the change implementation process.

**SUMMARY**
In this topic you studied about the nature of change; what change is and some of the different causes of change. You studied that there can be both internal and external factors that can cause change. Finally you learnt about the different ways on how
people adopt to change. In the next part of the Unit you will learn about the change agent.
**TOPIC 1.2 - THE CHANGE AGENT**

**INTRODUCTION**
A change agent is usually an individual who is responsible for taking a leadership role in managing the process of change. The agent works very closely with the leadership of the institution or organisation undergoing change. These people are also known as the “change champions” or “change leadership” as they will be the ones advocating for the change. The change leadership will most of the time comprise of the organisation’s management or leadership and these are the people who will directly engage with the employees, or alternatively make necessary arrangements for the change agent to meet with the employees if the change agent is from outside the institution.

**OBJECTIVES**
Upon completion of this topic you should be able to:

1. explain what a change agent is
2. discuss the different roles of a change agent
3. discuss the different skills of a change agent
4. discuss issues and challenges that require change

**WHAT IS A CHANGE AGENT?**
A change agent, together with his team, the champions, influences innovations and spearheads the desired change. This person introduces and implements the desired change in the institution. A change agent may also be associated with the following:

- Should have a broad knowledge of the institution and power to legitimise decisions
- Should encourage harmony and trust during the change initiative
- Outsiders may be faced with a challenge of being biased and not looking at problems objectively
- Clients may be more open and even more so to an external consultant, but the person may lack the necessary understanding of the institution, its people and even culture he/she may need to facilitate the change.

Rogers (1996) defined a change agent as “… an individual who influences clients’ innovation – decisions in a direction desirable by a change agency.” From [http://www.personal.psu.edu/users/](http://www.personal.psu.edu/users/), downloaded on 7th February 2013. According to Fullan (1999) every stakeholder in the educational change is a change agent.

Change champions should be mainly concerned with influencing positive changes within the organisation. For these people to be able to influence others they need to be seen as part of the organisations working team and not workers enemies.
**ROLES OF A CHANGE AGENT**

A change agent has many roles that include the following;

- Analyses the situation and justifies the need for change.
- Establishes a relationship with the institution or staff (employees).
- Identifies and lists challenges faced by the organisation.
- Helps employees or institutions appreciate the need for change.
- Stabilises the organisation during the change initiative and prevents any possible discontinuance.
- Facilitates good relations with clients or the institution.

An effective change agent should have the following characteristics;

- Should be an extrovert
- Possess considerable interpersonal skills
- Have the ability to conceptualise and clearly present ideas
- Be a good organiser.

**MANAGING THE CHANGE PROCESS**

For the change agent to effectively manage the change processes he/she should be able to possess the following features;

- **Empathy** – this is the skill to understand feelings and thoughts of other people. Empathy can then lead to improved communication and understanding between the change agent and other employees.

- **Linkage** – this is the degree of collaboration between the change agent and other employees, and the extent to which they are linked to one another as equal participants in the change process.

- **Proximity** – the change is likely to be more successful when the change agent is accessible and easily reached by employers.

- **Structuring** – this is the ability to clearly plan and organise activities in line with the change effort.

- **Openness** – this refers to the degree to which the change agent is both receptive and responsive to different viewpoints, needs and even feelings.

- **Energy** – this is the extent to which the agent puts her/his efforts to drive the change initiative.
Synergy – this refers to the positively reinforcing effects that each of the factors mentioned above have upon one another.

SKILLS OF A CHANGE AGENT
A change agent needs to have skills that can be classified under three main categories. These categories are:

- Cognitive skills
- Action skills
- Communication skills.

Cognitive Skills - Cognitive skills of a change agent include the following;

1. Self-understanding; The agent needs to be able to analyse and understand the need for change before he/she can desire to bring a change to an institution.

2. Conceptualisation – the change agent should be able to;
   - Determine the possible magnitude of change.
   - Foresee inter-relationships and see what the change can possibly present in the future.
   - Clearly define objectives of the intended change
   - Plan and revisit her/his plans as and when necessary
   - Expect barriers and/or resistance to change and be able to devise means of overcoming both
   - Expect some favour for the intended changes among the employees or institutions.

3. Evaluation - The change agent should possess skills that could enable him/her to assess or evaluate the change initiative. The agent should be able to assess the nature, expectations and internal dynamics of the institution to advise efficiently. They should be able to identify the best methodology to employ to get feedback from clients when needed.

ACTION SKILLS
In a change initiative a change agent has a number of roles to play; he/she is the consultant, counsellor, facilitator or trainer and many others.

Change Agent as the Counsellor

The agent is required to possess certain skills to be able to achieve this role. He/she is expected to;
• “console” a client with hurt feelings resulting from the consultancy

• help clients examine their expectations and motivations

• deal with different myths, values etc., especially those that can work against the initiative

• clarify the relations between her/him as a change agent, and the client or institution.

Change Agent as the Facilitator

As a facilitator a change agent needs to be cognisant of the following;

• Raise the level of realistic aspirations with clients. This will be seen as a reinforcement to the clients

• Develop awareness of the potential of the initiative

• Create a sense of willingness and responsibility for learners to be encouraged to participate in the initiative

• To help clients to develop a realistic change plan and encourage them to exercise patience in achieving the plan

• Develop awareness of possible partners during the change initiative.

Change Agent as a Consultant

The change agent here has the following roles to play;

• The consultant has to provide the clients with an outline of activities that would facilitate the change plan

• Put in place appropriate strategies to arrive at a consensus

• Examine decisions and weigh their advantages and disadvantages

• Evaluate progress made at each of the different stages of implementation, and be informed of what is yet to be achieved, against the time line

• Create and maintain team spirit and good sense of humour to enable the clients to remain positive and encouraged during the change initiative.

Change Agent as a Communicator

The change agent can also play the communicator role. As a communicator this person is concerned mainly with sharing relevant and accurate information with the employees or clients. As such, the person needs to have the necessary skills to be able to persuade the employees, when necessary, to realise the importance of the change initiative. The
communicator should be able to positively influence especially the leadership on different issues relating to the change initiative.

To successfully communicate that which is necessary and has to be communicated, the communicator needs to satisfy a number of factors that include the following;

- He or she has to be very clear about the goals and objectives of her/his communication plan.
- Align her/his communication plan with the clients’ needs, attitudes and beliefs.
- The communicator should be very persuasive to minimise any possibilities of rejection.
- Constantly get feedback from clients to establish the effectiveness of her/his communication plan.
- Make strategic use of informal communication networks. This also helps alleviate possibilities of resistance.

**ISSUES AND CHALLENGES REQUIRING CHANGE**

Various institutions show different orientations towards change. A number of factors contribute to the kind of change initiative an organisation wishes to implement. There are institutions that are more likely to change than others, and there are a number of differences between the two, as discussed below;

1. Organisations that are more likely to change have the following features;
   - computer technology which is likely to further improve and impact on the institution
   - unstable environment
   - open system with high interaction with the outside world
   - purpose related relations
   - highly empathetic members who see themselves in differing roles
   - proactive attitude and highly positive orientation towards change
   - high technological inputs and higher degree of integration and openness.

2. Organisations less likely to change may show or have the following features;
   - Simpler technology
   - Highly valued personal relationships between staff
   - A closed system with minimum interaction with outside world
- Stereotype roles with less rigid behaviours. Employees often end up doing just “that” role and nothing else

- A much more stable external environment which one can easily control

- Lack of favourable orientation.

**SUMMARY**

This part brings you to the end of topic 1.2, which was about the change agent. In this topic you learnt about the characteristics and some of the roles of a change agent. You also learnt about how the change agent needs to effectively manage the change process. You have appreciated that in change leadership, a change agent can be a facilitator, a consultant and even a communicator, to highlight just a few roles he or she can play in the change process. Finally you studied about the different issues and challenges requiring change.

In the next topic you will learn of change as a process that needs continuous improvement.
TOPIC 1.3 - CHANGE AS A PROCESS FOR CONTINUOUS IMPROVEMENT

INTRODUCTION
This is the last topic of Unit 1, and here you will study about change as a process for continuous improvement. You will learn about the process of change and you should then be able to apply, in whatever form, to your context. You will also learn about the different factors that influence change. It is important for you to know these factors so that you can be able to notice them whenever they prevail in your institution or organisation.

OBJECTIVES
Upon completion of this topic you should be able to:

1. explain change as a process
2. contextualise change to your institution
3. describe different factors that influence change.

CHANGE AS A PROCESS
We have already looked at some of the reasons for change earlier in the unit. However, in an organisation change may also manifest itself through a number of ways, (ie) change can be through a major initiative or can be part of the on going way the organisation functions. Some types of change may present with it many months of hard-work, big budgets and many other related complicated situations. Other change types can be on going or continuous improvements which are not “that felt” in the organisation. Institutions have to undergo some sort of change to both improve and grow. Even if change can present small results, it is still change.

Some institutions always have signs that they are either highly, or not so much oriented to change.

Now pause here and do the reflective activity that follows;

Reflective Activity 1 B
List some of the main features that you think make an organisation or institution highly oriented to change.

Suggested Feedback to Reflective Activity 1 B

1. Technology applications that need constant update for improvement.
2. Less stable external and internal environment.
3. Openness and flexibility in interacting with other institutions.
4. Pro-active and positive orientation towards change. etc
Contextualising Change

To be competitive, institutions need to change to suit their clients’ needs. Institutions or organisations are nothing but people who make up such organisations or institutions. Knowledge of an individual institution, therefore, is nothing but knowledge of its people. Change should not be undertaken for the sake of it. It needs to be undertaken to suit the organisation’s mandate.

Though innovation can happen by chance, most of the time it happens as it is planned, implemented and sustained. It is important to note that innovation, irrespective of magnitude, involves uncertainties and risks, hence there needs to be a leadership to facilitate and spearhead the envisaged change. With change, people should be willing to listen to each other, irrespective of posts. This, at times might lead to mutual frustration which can be avoided by being honest and truthful to each other.

Organisations are changing all the time for them to remain relevant to the world. Institutions need to change so that they are not overtaken by events and global trends. As an employee you need to move with the change. The organisation cannot change if you, the employee, still wants to maintain the status quo. You cannot, as part of the institution, be a spectator of change that is happening in your institution. Organisational renewal brings with it process of adjustment and transformation that can place people at an advantage. Individuals have to take the lead in re-positioning themselves for them to remain relevant in the institution even after the change initiative.

With change comes something new, something that had not existed before. How things are done differently depends entirely on one’s perceptions of their strengths and weaknesses, as well a opportunities and threats that may come with the change. An essential tool for managing change and organisation renewal is the SWOT (Strengths, Weaknesses, Opportunities and Threats) analysis.

SWOT Analysis

The SWOT analysis can go a long way in assisting organisations undergoing change face new challenges, meet new needs or even mobilise resources. This is an analysis tool that can be used in planning for change and evaluates the institution’s strengths, weaknesses, opportunities and threats. This tool can assist an institution identify where its strength is, where it is weak and needs to improve, the opportunities it can tap on and even the threats the institution needs to guard out for. The leadership, together with the change agent needs to seriously consider undertaking the SWOT analysis to be informed about their actions to appreciate areas where they may gain better returns. SWOT analysis can also guide the institution identify its own weaknesses. This will help the leadership appreciate the threats the institution may face.

Learner, have you ever heard about the SWOT analysis tool? Please read more about it as it is very important in change management. A lot has been written about it, so you may just google the internet and get some relevant texts to learn more about it.
FACTORS INFLUENCING CHANGE

A need for change normally occurs naturally as a response to some issues. Educational change can be affected deliberately through planned intervention. It is important to note that factors influencing change can be both at individual and organisational level. These can also be both internal and external.

**Individual factors** influencing change include;
- Low self-esteem
- Loss of interest
- Conservative attitude
- Lack of motivation
- Fear of failure
- Close mindedness.

**Internal Factors**

Internal factors include;
- Directive and autocratic leadership
- Vested interest
- Peer criticism

**External Factors**

External factors may include;
- Threat to balance the system
- Lack of openness.

These are just examples and you can also come up with your own examples of factors that you know have an influence on change.

**SUMMARY**

Topic 1.3 looked at the process of change. It also looked at the features that make institutions or organisations vulnerable to change. These factors include technology that needs improvement, unstable environment and others. You then learnt that for institutions to remain relevant to their clients’ needs they need to be competitive. As such, change has to respond to some need, and these needs vary from one institution to the other.
Now go over the Unit Summary that follows and your Journal Entry. Remember that your Journal Entry should be between one and a half and two typed pages; font 12, Times Roman with a spacing of 1.5.

UNIT SUMMARY

You have just finished studying Unit 1 of the Leading Educational Change Module. In this unit you studied about the change process. You learnt that change is an inevitable process which should be experienced by organisations for them to grow and remain relevant. You also learnt that change can either be evolutionary, spontaneous or planned. In this unit you again learnt about the change agents and champions. These are the people who drive and lead the advocacy of the change initiative. You again learnt about factors that can influence change, which we learnt can be either external, internal or both.

From this unit we have learnt that;

1. Change is the mark of growth in most institutions. Any change, irrespective of magnitude, affects employees.

2. Change is the only constant process which exists in organisations, and an effective organisation is one that takes deliberate steps to manage change smoothly.

Do the assignment below. Remember that you should submit it on the day indicated on your course delivery schedule and it should be between two and three pages, typed, with font 12, Times Roman and spacing of 1.5.

Assignment

(a) “Change is a very difficult process”. Do you agree with the above statement. Explain your answer in relation to a change process you have been a part of, or you have heard about.

(b) What are some of the challenges that an organisation can face that may need change? Who do you think should be the change agent during the change initiative. Explain your choice.

REFERENCES


UNIT 2 – THEORIES AND MODELS OF CHANGE

UNIT INTRODUCTION

This is unit 2 of the Leading Educational Change Module. The Unit will mainly focus on the theories and models of change. The unit will, as such, begin with brief definitions and explanations to theories and models. General change theories and models will be discussed and you will be expected to relate them to your own organisation. This unit will link the various concepts of the theories and models to facilitate easier understanding on your part. However, as a post graduate student, you will be expected to read broadly on the theories and models related to educational change and make reference to them in your writings. Readings can be from related journal articles, books and any other resource you may consider helpful. A reference list to assist you in this endeavour will be provided.

As you go through this unit, you will be requested to link what you will learn with what you have already learnt from earlier unit(s). As such, keep in mind all what you will be learning. In addition, you are expected to be able to link the change and training in your organisation to some of the theories and models you will learn in this unit.

UNIT OBJECTIVES

Upon completion of this unit you will be able to:

1. Differentiate between theories and models
2. Discuss the different theories and models of change
3. Compare the various change theories and models with one another in terms of their strengths, weaknesses and appropriateness for your organisation
4. Apply any one change theory and model to your own organisation

SUGGESTED READINGS

Your instructor should select and assign the readings your are to complete as part of this unit. Below is a suggested list of books and articles that support the objectives of this unit.


UNIT ASSIGNMENTS

At the end of this unit you will be assessed on the theories and models of change. You will have a journal entry at the end of the unit as your assessment for the Unit. As you attend to the assessment, please note that you need to read broadly and use relevant examples where necessary. Remember that at the end of the course you need to submit the Journal Entry to your tutor for marking and grading. Remember to have the entry correctly labelled and dated.
TOPIC 2.1 - THEORIES OF CHANGE

INTRODUCTION

When people talk of change in organisations, they actually refer to the change of people in the organisation. This is what will bring change to the organisation. As such, there are theories and models that can be put in place to facilitate change in people’s behaviour, attitudes and values, hence organisational change. Some of the theories and models that facilitate change are discussed in this unit. The discussions are just brief introductions to the change theories and models. As post graduate students, you are expected to read broadly on these theories and models, and see how they relate or contribute to change in your respective organisations.

OBJECTIVES

Upon completion of this topic you should be able to:

1. discuss the different change theories
2. interpret the different change theories and apply them to your own situation(s)
3. explain factors that influence rejection or / and adoption of change
4. interpret the different change curves.

ROGERS’ DIFFUSION THEORY OF CHANGE

Wikipedia link defines the Diffusion of Innovation as a theory that seeks to explain how, why and at what rate new ideas and technology spread through different cultures. Rogers (1962, 1983) and Barbara (2002) in Branson (2010) defined diffusion as the process by which innovation is communicated through certain channels over time among the members of a social system.

![Figure 1: The diffusion of innovations according to Rogers](image_url)
With successive groups of consumers adopting the new technology (in solid black), its market share (black dotted) will eventually reach the saturation level.

According to Rogers, four main elements influence the spread of a new idea, hence its rate of adoption. These four elements are as follows;

1. The innovation
2. Communication channels
3. Time
4. A social system.

From the four elements one can deduce that they view diffusion as the process by which an innovation is communicated through certain channels over time among the members of a social system. Individuals will then progress through five stages to adopt the change process: knowledge, persuasion, decision, implementation and confirmation.

The five stages of adoption process are;

1. **Knowledge**: An individual is exposed to an innovation but lacks information about it. During this stage of the process the individual has not been inspired to find out more information about innovation.

2. **Persuasion**: The individual here is interested in the innovation and actively seeks information or more details about the innovation in question.

3. **Decision**: The individual here weighs the advantages and disadvantages of using innovation. The individual can then decide whether to adopt or reject the innovation.

4. **Implementation**: The individual at this stage employs innovation to a varying degree on the situation. Here the individual determines the usefulness of innovation and if need be, may search for more information about it.

5. **Confirmation**: The individual here finalises his or her decision to continue using the innovation and may use the innovation to its fullest potential.

![5 stages in Decision Innovation Process](image)
Figure 2:

People adopt to innovations at different times. Some adopt fast while others are slow adopters.

Rogers’ five factors that influence the individual’s decision to either reject or adopt an innovation are as follows;

**Factor 1: Relative advantage** – How is an innovation better when compared to the previous generation?

**Factor 2: Compatibility** – This refers to the level of compatibility that an innovation has to be assimilated into an individual’s life.

**Factor 3: Complexity or simplicity** – An individual is unlikely to adopt an innovation that is too difficult to use. As such, innovations should be simple to enable easy adoption.

**Factor 4: Triability** – How easily can one experiment with the new innovation if adopted is a crucial factor. If the user has a hard time using and trying an innovation, then this individual will be less likely to adopt it.

**Factor 5: Observability** – This refers to the extent to which an innovation will drive communication among the individual’s peers and personal networks and will in turn create more positive and negative reactions.

**Categories of Innovation**

Rogers identified five adopter categories (Figure 1) of innovation as follows:

**Category 1: Innovators** – These are adventurous people who are normally the first individuals to adopt an innovation. Innovators are always willing to take risks, usually younger in age, have high social class, have great financial lucidity, highly social and have closest contact to scientific sources and interaction with other innovators. This is also a highly risk tolerant group. Because they are risk takers, this group would usually adopt technologies which may ultimately fail, but their financial resources will normally absorb these failures.

**Category 2: Early adopters** – This group consists of knowers who are well respectable. These are the second fastest category of individuals who adopt an innovation. These people have the highest degree of opinion leadership, among other adopter categories. This category has people who are younger in age, with a higher social status, more financial lucidity, advanced education, socially forward than late adopters, more discrete in adoption choices than innovators and realise that prudent choice of adoption will help them maintain central communication position.

**Category 3: Early majority** – Individuals here have an innovation after a varying degree of time. Their time of adoption is significantly longer than the innovators and early adopters. These people tend to;

- Be slower in the adoption process
• Have above average social status
• Be in contact with early adopters
• Seldom hold positions of opinion leadership in a system.

**Category 4: Late majority** – These are sceptical individuals who will adopt an innovation after the average member of society. These individuals;

• Approach an innovation with a high degree of scepticism and after the majority of society has adopted the innovation
• Generally sceptical about an innovation
• Have below average social status
• Have very little financial lucidity
• In contact with others in late and early majority
• Very little opinion leadership.

**Category 5: Laggards** – Individuals in this category are traditionalists who are often the last to adopt an innovation. These individuals show characteristics that include the following:

• Show little to no opinion leadership
• Have an aversion to change agents
• Tend to be advanced in age
• Focused on “traditions”
• Likely to have the lowest social status
• Have the lowest financial fluidity
• Mostly oldest of all other adopters
• In contact with only family and close friends
• Have very little to no opinion leadership.

There are two types of innovation decisions used by organisations to adopt innovation. These are;

(i) **Collective innovation decisions** – these occur when the adoption of an innovation has been made by a consensus among members of an organisation.
(ii) Authority innovation decisions – these occur when the adoption of an innovation has been made by very few individuals with high positions of power within an organisation.

In both decisions, champions are people in high positions of power. Leaders are usually opinion leaders in a social system, and have some influence over other individuals. These leaders can spread either negative or positive information about an innovation.

**KURT LEWIN’S UNFREEZE-CHANGE-FREEZE THEORY**

Kurt Lewin, a social psychologist, equated the process of change as moving from one state to another. Lewin argues that if change is undertaken too fast, without due regard to people involved, it tends to destabilise the equilibrium and may lead to resistance.

The world we are leaving in is always changing – and this change is always very fast. Organisations should also change fast to thrive, otherwise they may be left behind and struggle to survive in this ever changing world.

Kurt Lewin’s Unfreeze, Change and Freeze or Re-freeze Theory was presented in 1947, but still remains relevant to date.

Lewin proposed a 3-stage process to explain his theory as follows;

1. Unfreezing old attitudes (motivation to change).
2. Introducing the change (communicate new ways).
3. Re-freezing (freeze) attitudes around the new approach (sense of stability returns to the organisation).

**Stage 1:** - “Unfreezing” is the process of preparing for change, which may involve the following:

- Greater dialogue with employees.
- Leadership guidance on the reasons for change.
- A simple, compelling case as to why change is needed.
- Why the “status quo” is not a satisfactory situation in the long longer term.

At this stage the leadership has to help as many people as possible to understand the realities of the situation and the need for change, even if the people themselves do not support the change.

This stage is about getting ready for the anticipated change. It involves understanding that change is necessary, and getting ready to move away from your current comfort zone. Here we prepare ourselves and all other concerned people, before the change we want. The more people feel that change is necessary, the more motivated they get. Change is usually inevitable if forces or factors for change out weigh forces or factors against change.
Stage 2: - “Change, or transition” – once the people understand the change, then the change process can begin. This, however, does not mean that resistance has ended. People will be waiting for answers and signals from key leaders, and will need information on how the change will affect them. The leadership at this point should be open, honest and never attempt to hide bad news.

When information is dispensed to people, they tend to embrace change much faster than when information is withheld. Change is not an event but a process. As such people will need time to hear about this change for them to fully understand it. Transition is the shift made in reaction to change. At this stage the institution or people make the necessary or needed change. During this stage people are learning about the changes and need to be given time to understand and work with them. Support, which can be in form of training, coaching etc, is very important here. Lots and lots of mistakes will accompany this change, but people have to be assisted by the leadership to correct their mistakes. During this stage of change, it is critical to always keep communication lines open and the leadership should ensure that people do not lose sight of where this change is leading them.

Stage 3: - “Re-freezing / Freezing” – change has taken place at this stage, and the “new way” becomes regular behaviour and practice. The leadership needs to nurture this stage, and should lead by example. The leadership should create an environment that constantly and openly reinforces the new behaviours, hence the desired change.

This stage is about establishing stability once changes have been undertaken. The changes are accepted by the institution and become the new norm. People at this stage establish new relationships that come with the change and become comfortable with their routines.

Lewin’s concern was mainly on re-enforcing the change and ensuring that the desired change is accepted and maintained into the future. Otherwise people can easily backslide and do what they are used to doing.

Understanding Lewin’s Theory

Lewins’s Theory can be demonstrated by using an ice cube;

- Unfreeze the ice cube – at this stage the leadership prepares the organisation to accept that yes, change is necessary. The leadership will then have to break down the existing status quo to come up with new ways of doing things. The leadership has to explain to the people why the envisaged change is necessary. The organisation should be prepared for this change.

- Ice changes into a solution (liquid) - now it’s up to you as the leadership to introduce the change you wish to see – people here begin to resolve their uncertainty and look for new ways of doing things. People start to believe and act in ways that support the new dispensation – this should be championed by the leadership (s-curve). To completely embrace the change, people need to understand that the envisaged change will benefit them. Those who have been
benefitting from the status quo will feel a bit uncomfortable to embrace the change. It is up to the leadership to assure them that the change is done for the benefit of the institution and not to disadvantage anybody. People will need time to appreciate the change, and should be kept informed at all times.

- **Put the unfrozen water into a cone-shaped glass, then re-freeze**, you will get the ice cone you want, that is the change that you wished to see. You got the cone shaped ice, and that is the change you wished for. When changes are taking shape and people have embraced the new ways of working, the organisation should be ready to re-freeze. The signs of a re-freeze include a stable organisational chart, consistent job descriptions etc. This stage will then help employees to internalise and institutionalise the changes. This will mean that the changes are there at all times and are incorporated into the organisations daily businesses. The employers will then feel confident and comfortable with the new ways of working. People should be all taken on board to re-freeze because if some are left behind, they may never appreciate and own the change initiative. The success of this change should be celebrated by the entire organisation as this will help people find closure.

**MICHAEL FULLAN – IMPLEMENTATION DIP THEORY**

Fullan and Stiegelbauer (1991) proposed 4 broad phases in the change process. These phases are:

1. Initiation
2. Implementation
3. Continuation
4. Outcome.

**Initiation** – Factors affecting the initiation phase include:

- Existence and quality of innovations.
- Access to innovations.
- Advocacy from central administration.
- Teacher advocacy.
- External change agents.

**Implementation** – three main factors affecting implementation, according to Fullan and Stiegelbauer (1991) are:

- Characteristics of change.
- Local characteristics.
External factors (i.e.) government and others.

Characteristics of change will include:

- Need for change
- Clarity about goals and needs
- Complexity: the extent of change required to those responsible for implementation
- Quality and practicality of the program.

Local factors will include:

- The school district
- Board of community / governors
- Principal
- Teachers.

External factors will include the government and other agencies.

Continuation – this is a decision about institutionalisation of an innovation based on the reaction to the change, be it negative or positive. Continuation depends on whether or not the change;

- Gets embedded / build into the structure (through policy / budget or the table).
- Has generated a critical mass of administrators or teachers who are skilled and committed.
- Has established procedures for continuing assistance.

Outcome - There are perspectives needed to support the achievement of positive or successful change outcome. These perspectives include the following:

Active initiation and participation - Change does not end in recognising or initial context with the innovation, but starts with the contact and evolves along with the continuous interaction with it and the environmental changes that it brings forth.

- Pressure, support and negotiation.
- Changes in skills, thinking and committed actions.
- Overriding problem of ownership.

Fullan (1993) in Branson (2010) presents eight basic lessons about thinking about change as follows:
1. You cannot mandate what matters; complexity of change in skills, thinking and committed actions in educational enterprise.

2. Change is a journey and entails uncertainty with positive and negative forces of change.

3. You will always encounter problems which are the route to deeper change and deeper satisfaction. Conflict is essential to any successful change effort.

4. Vision and strategic planning.

5. Individualism and collectivism must have equal power.

6. Neither centralisation nor decentralisation works: the centre and local units need each other. Successful changes require a pro-active two-way relationship of pressure, support and continuous negotiation.

7. Connection with the wider environment is critical for successful change and should recognise a broader context, to which change asserts its constant action.

8. Every body is a change agent. It is individuals taking action to alter their environments so that there can be change.

**Elements of Change**

As you have studied in Unit 1, for successful change to occur, certain elements should be available such as:

1. The ability to work with polar opposites (i.e.) problems versus creative solution, vision versus fixed direction, individual versus groups.

2. Dynamic interdependency of state accountability and local autonomy.

3. Combination of individuals and societal agencies.

4. Internal connection within oneself and within one’s organisation and external connections to others and to the environment.

It is critical to always guide the change process as it can be very complex. Lessons that can guide change, according to Fullan (1993) in Branson (2010) include the following:

- Moral purpose is complex and problematic.
- Theories of education and theories of change need each other.
- Conflict and adversity are our friends.
- Understanding the meaning of operating on the edge of chaos.
- Emotional intelligence is anxiety provoking and anxiety containing.
- Collaborative cultures are anxiety provoking and anxiety containing.
- Attack in coherence connectedness and knowledge creation are critical.
- There is no single solution. Craft your own theories and actions by being a critical consumer.

Leaders should not expect instant success with change. The Theory of Implementation Dip explains that with change, people master the change initiatives slowly. Fullan (1993) in Branson (2010) argues that with change, there should be a period where individuals have given up ineffective practices but have not yet mastered the new strategies. This is normal in all change initiatives and this can go down – including low outputs and demoralised staff. During this time the leadership should exercise persistence, patience and should maintain vision for the change.

Both internal and external stakeholders are important during this time of implementation. They assess the situation and provide feedback. They are also expected to support honest assessment of implementation activities. The implementation dip is characterised by frustrated people. The stage itself can not only be frustrating, it can also be exhausting and filled with uncertainties. People are forced to give up what they know best, struggle to master new skills and knowledge, try to manage new practices, and ultimately shift their belief structure so that the envisioned changes become a part of their everyday behaviour. Once the mastery of the new roles and behaviour is achieved, people now move from the implementation dip to institutionalisation and renewal.

Questions from implementation dip may include the following:

1. How will I need to change?
2. What will I need to do differently?
3. How will the new changes affect me?
4. What do I need to make it work?
5. Who can help? etc.

Five major implementation factors identified by Fullan (1989) in Branson (2010) include;

**Orchestration** – This will have key questions such as the following:
- Is there clear leadership to bring together the various people and activities into a coherent whole?
- Is there someone in charge?
- Does the leadership consciously make connections between this change and the ultimate outcomes? etc

**Shared responsibility / control** – this is absolutely necessary for the success of any implementation plan. Ownership has to take precedence in the process of change. If the
process is perceived to be owned by one or a few, resistance is likely from other affected individuals. All key partners are critical for a smooth transition to effective implementation.

**Pressure and Support** – pressure without support can lead to conflict, so pressure and support are both essential at this stage. Expectations, (ie) time lines for completion of tasks are important to assure continued progress. One has to know the kind of support necessary, as well as the resources available to fully support the change initiative, etc.

**Technical assistance** – One of the critical factors is whether the technical assistance will be provided as and when necessary. One also needs to appreciate the type of assistance and or training needed to implement change.

**Rewards** – Leadership should carefully incorporate early rewards into their planning. Factors here include the types of appropriate forms of recognition, as well as indirect ways of recognising improvement. Rewards and acknowledgement contribute to a climate that supports growth and encourages persistence rather than emphasising deficiencies.

![Figure 3: Implementation Dip Curve](image)

Features of the implementation dip include some features of the Sigmoid Curve such as:

- Rumours and speculation
- Uncertainty
- Shock / numbness
- Seek solutions
- Training
- Practice
- Coaching
- Pressure
- Support
- Celebration
- Adjust policy
- Change

This is summarised in the curve that follows as Figure 4:

![Sigmoid curve diagram](chart1.png)

**Charles Handy's S-Curve - Growth and Innovation Theory**

Handy uses the idea of life cycles following the shape of an S-shaped curve, the **sigmoid curve**. This curve is characterised by an initial dip, followed by growth and decline as shown in Figure 5 below:

![Sigmoid curve diagram](chart2.png)

**Above:** Sigmoid curve

To minimise the impact of the eventual decline, handy suggests that the next S-curve be started before the first curve reaches its peak, (i.e.) when growth is still ongoing as shown below as Figure 6:
In other words, the S-curve does not wait for the total collapse of the organisation to introduce change. Change takes place gradually while things are still going well. It should therefore, be in order, that the human nature starts the second curve on the declining part of the curve, not the rising part. Handy has written extensively on the Sigmoid Curve, commonly known as the S-curve, and what it means for the different organisations. The curve basically explains that all organisations have life cycles that are fairly predictable and can be expressed in terms of S-shaped curves, like a productive life-cycle. These curves basically show how organisations form, grow and eventually reach a peak, before starting to decline. The time for growth, maturity and decline may vary between organisations.

The S-curve helps one understand how people will react to change. This is good in that the leadership will then prepare for interventions to assist the people in their organisation. Change can be traumatic, may involve loss of power and other changes may even mean loss of employment.

The S-curve can be presented into four phases or stages as follows:

**Stage 1:** People are in shock or are in denial, and need time to adjust. People need information to understand what is happening. This stage is very critical for communication. The leader has to provide a relevant and limited amount of information as lots of information may overwhelm people. As a leader you need to make sure that people get information when they need it.

**Stage 2:** Reaction of people to change will start to show here. Others may feel angry, others may feel fear etc. Others may even resist the change. This is a “danger zone” for the organisation as people may feel they need to express their feelings and concerns. This stage needs to be very well managed to avoid any crises or chaos. As a leader one has to do all in her or his power to provide the necessary information and support to the affected staff.
**Stage 3:** People start to accept the change, but still need to explore further what this change means. At this stage people have to be trained to be prepared for the change. Productivity may not be at its highest here.

**Stage 4:** At this point people start to embrace the change and the organisation starts to become productive and efficient. Success can now be celebrated.

<table>
<thead>
<tr>
<th>Stage</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
</tr>
</thead>
<tbody>
<tr>
<td>State</td>
<td>Status quo</td>
<td>Disruption</td>
<td>Exploration</td>
<td>Rebuilding</td>
</tr>
<tr>
<td>Reaction</td>
<td>Shock, denial</td>
<td>Anger, fear</td>
<td>Acceptance</td>
<td>Commitment</td>
</tr>
</tbody>
</table>

**Table 1 Above:** The table summarising the S-curve

From the Sigmoid curve we get to learn that things like change start slowly, and that through change, organisations may rise and fall. However, we appreciate that there should be constant growth in any organisation, and this is represented by the new sigmoid curve before the first one completely declines as shown in Figures 6 & 7.

The S-curve is all about change and the nature of this change. At the beginning of the curve, things begin to take off. The area between point take off and that of high performance is a period of accelerated growth and production, which will lead to success of the institution. However, after this point of high performance many organisations experience a fall in production, and begin to decline (Figure 7) below. This is a critical point for the leadership to introduce more changes to sustain performance and production since if this is not done, the organisation will then depreciate, and experience complete decline in the performance or production in the organisation. The leaders intervention should mark the start of the second curve before the first curve takes the nose dive.

![Figure 7 – The S-Curve](image-url)
Reflective Activity 2 A

Who do you think should take the initiative to start the second curve before the complete decline of the first one? Explain why you think so?

- Leaders, together with other employees need to take the initiative. All people have to share the understanding of the need to change and ownership of the continued success

- As a leader, one can learn a lot from the S-curve. One may learn that he or she has to nurture their success, performance and productivity, and work hard for the institution to stay where it is, (ie) as a high performing and productive institution

- The S-curve is important in an organisation’s performance over time, including even their personal performance and individual career progression. As such, all parties should ensure to keep it high to reflect a high performing institution.

JOHN MAYER’S INSTITUTIONAL CHANGE THEORY

The Institutional Change Theory was developed by John Meyer in the 1970’s. This theory is based on the relationship between schools or educational institutions and their cultural environments. The society’s cultural norms shape organisational structure by encouraging schools to conform to the accepted rules and regulations of an institution.

Scott (2003), as cited by Huerta and Zuckerman (2009) describes institutional theory as the influence that an organisation’s cultural environment has on organisational structure and behaviour, and seeks to understand ways in which cultural rules from the environment shape or constrain organisational action.

Jepperson (1991) in Branson (2010) defines institutions as any social pattern characterised by standard sequences and interactions. Ostrom (1990:51) in Branson (2010) defines institutions as the set of working rules that are used to determine who is eligible to make decisions in some arena, what actions are allowed or constrained, what aggregation rules will be used, what procedures must be followed, what information must or must not be provided, and what payoffs will be assigned to individuals dependent on their actions.

Assumptions derived from the Institutional Change Theory

A number of scholars have explored hypothesis on the institutional change theory, and these hypothesis include the following:

1. **Bi-directionality** – culture influences behaviour in institutions, yet the opposite is true.

2. **Culture over power** – the main issue to date is emphasis on cultural factors rather than interest and power as had the “old institutionalism”.
3. **Situationality** – institutionalism holds that behaviour must be predicted on the basis of a particular situation in which actors are embedded, not by generalised explanations such as those found in rational actor theories.

**SUMMARY**

In topic 2.1 you studied about the different theories of change. There are many theories associated with change, but in this topic you looked at just a few. You are strongly advised to read extensively on other change theories. In your study of this topic you were also encouraged to always connect or link the theories you were learning about to your own experience or situations you have heard about.

Since you now know of some of the change theories, you will move on and learn about the change models.
TOPIC 2.2 - MODELS OF CHANGE

OBJECTIVES
Upon completion of this topic you should be able to:

1. discuss the different change models
2. interpret the different change models and apply them to your own situation(s)
3. discuss the different change facilitator styles

JOHN KOTTERS 8 STAGE PROCESS MODEL
John Kotter outlined eight (8) steps or stages that organisations need to successfully implement change. These steps are:

1. Establishing a sense of urgency – create enough people to give way to change.
2. Creating the guiding coalition.
3. Developing an appropriate vision and strategy.
4. Communicating the change vision.
5. Empowering broad based action.
7. Consolidating gains and producing more change.
8. Anchoring new approaches in the culture (i.e.) make the change stick in the organisational culture.

Kotter believes that these 8 stages are critical for organisations to evolve if they are to be successful and sustained (Reeves, 2009).

EXPLANATION OF KOTTER’S MODEL

Stage 1: Establish a sense of urgency
As a leader you have to articulate a strong rationale for change. You need to dialogue with your team especially regarding your competitors. A leader here has to eliminate a sense of urgency that may cause fear of losing jobs and holding endless meetings. This is negative to change in any organisation. The leader has to examine market and competitive realities. The leadership has to identify and discuss crises, potential crises and even major opportunities.

Institutions need to take the holistic approach required to see change through. Establishing a sense of urgency is necessary to gaining the cooperation necessary to drive a significant change effort. Good leaders should be able to inspire their people to greatness. Good leaders should:
• bring the outside in
• behave with urgency everyday
• find opportunity in crisis
• deal with negatives.

Creating urgency may help spark the needed motivation to facilitate change.

Stage 2: Form a Powerful Coalition

The leadership here needs to put together a strong team with enough power and influence in the organisation to lead the change effort. The leadership has to work very closely with this team. Working as a team will help create more momentum and enthusiasm in the organisation. This team, or coalition, will need to pull together to ensure the success of the change initiative. The coalition should provide both the necessary plans and vision, and should empower, rather than control people.

Create a vision and strategy - Create a compelling vision of the future to guide the direction of the change, and a strategy(ies) towards achieving this vision. Members of the coalition or team should be in a position to defend both the vision and the strategies that will deliver the vision. The vision should:

• Simplify the many detailed decisions.
• Motivate people to take action in the right direction.
• Help coordinate actions of different people in a remarkably fast and efficient way.

The vision should provide guidance, be more focused, flexible and easy to communicate. It must inspire the people and be communicable. This, therefore, leads to the six key characteristics of effective visions which are as follows:

• Imaginable – convey a clear picture of what the future will look like
• Desirable – appeal to the long term interest of employees, customers, shareholders and other stakeholders
• Feasible – contain realistic and attainable goals
• Focused – are clear enough to provide guidance in decision making
• Flexible – allow individual initiative and alternative responses in the light of changing conditions
• Communicable – easy to communicate and can be explained quickly.
Communicate the vision

The leadership has to use every available opportunity to communicate the change vision, and should role model new behaviours. As a leader one has to use all at their disposal to be in touch with the employees. You need to constantly communicate the new vision and key strategies supporting it. This will keep the vision fresh in people’s minds. The leadership driving the change initiative should get in the habit of having frequent and informal face to face contact with people, either by the leader or any member or members of the coalition or team. Email is not an appropriate communication vehicle – except in support of an earlier face to face contact. Both the leader and the coalition or team need to “walk the talk” by always being visible and at all times to be available and accessible to the people.

As a leader one has to be open and honest, and efficiently address the emotions of your people’s fears and concerns regarding the change. A single memo by the CEO on the transformation is never enough. The vision needs to be communicated in every activity. The vision should be referred to in emails, meetings, in presentations – anywhere and everywhere. Executives should use every effective communication channel possible to share and promote the vision.

Empower others

The leader(s) should eliminate all obstacles to change. He or she should change the systems if need be, and any structures that may undermine and hinder the change vision. At this stage the change initiative goes beyond planning and talking and into practical action. As a leader one needs to put supportive structures in place and empower and encourage people to take risks in order to realise the vision. The change leader has to identify and remove obstacles to change, be they processes or structures. You may need to address resistant individuals and /or groups, and help them to re-orient themselves to the requirements of the new realities. The leadership needs to honestly dialogue with managers who inhibit the change. If honest communication is repressed, the change process will be unnecessarily stalled.

Plan and create short term wins

The leadership of the change initiative needs to plan visible quick wins. During this time recognise and reward employees involved. Prove to your people that indeed success breeds more success. Ensure that people taste early victory and they will move along with the envisaged change. These early successes will help you as a leader counter critics and negative influences who may derail people. As a leader, it is upon you to create opportunities for these early wins. There should be a plan for visible performance improvements and the leadership has to create those improvements. Employees involved in these improvements need to be recognised and rewarded.

Short term wins should be seen as due to peoples’ sacrifices. The short term wins will help build momentum that will turn neutral people into supporters and reluctant
supporters into active helpers of this change initiative. Lack of short term wins will give critics and negative thinkers an opportunity to hurt your progress.

**Consolidate Improvements**

The change leadership should use credibility and merit to change policies that do not fit into the vision. The change coalition and team needs to promote employees who implement the organisational vision. The leadership can celebrate the success of the change initiative, but should not dwell on their early win forever. The leadership needs to increase activity and bring more people in the coalition. They need to ensure continuous improvements and successes, but also looking into what can be further improved. The leadership needs to hire, promote and develop employees who can implement the vision. The leaders have to re-invigorate the process with new projects, themes and change agents.

Leaders should, however, always be alert of resistance which may emerge when least expected. Instead of declaring victory, the leadership should launch more projects to drive the change deeper into the organisation, and to ensure that all new practices are firmly grounded in the organisation’s culture.

**Institutionalise changes / make it stick**

At this stage the change leader needs to continually articulate linkages between the way of working and cooperate success. The leader needs to bring together new corporate styles and culture into the organisation’s entire leadership development as well as succession planning. At this stage the change leader, together with her or his coalition or change team need to talk about progress at every opportunity. You need to tell success stories and be prepared to repeat other success stories you hear. As a change leader, one has to do all they can to ensure that change is seen in all aspects of the organisation.

**Kotter’s Model Unpacked**

- People need to see the need to change first, before they can influence change
- For change to succeed people should want it, hence stage 1 (sense of urgency)
- Greatest challenges facing leadership in a change process is getting people to change their behaviour and attitude.

**Lessons Learnt from Kotter’s Model**

Great change leaders are great at telling visual stories with high emotional impact. The American human rights activist, Martin Luther King Jr. illustrated his picture of a new America with a very high emotional impact.

*(Listen to a video of Martin Luther King Jr. on his “I Have a dream change initiative” – [www.americanrhetoric.com/speeches.mlkihaveadream](http://www.americanrhetoric.com/speeches.mlkihaveadream]*)
The leader’s example is a powerful method communicating feelings and facilitating change. Leaders should be careful never to be part of the problem they are trying to solve. They should not de-touch themselves from the impact of their own performance before judging other people’s performance.

Organising needs heroes and champions at every level. The people in your organisation need to pull together and provide a change leadership. A cumulative of small efforts and actions is a significant factor that can enable organisations to change. Motivate people to change by making them champions in this change, appreciate even the smallest effort made towards the realisation of the envisaged change.

In his book, Leading Change, Kotter introduces the 8 steps change process, and each stage acknowledges a key principle of people’s response and approach to change. According to Kotter, for change to happen, majority of people, 75% to be precise, in the institution should support it.

**HALL AND HORD’S LEVEL OF USE MODEL**

Hall and Hord identified, verified and operationally defined eight different levels of use of a new innovation as shown in table 2 as follows:

<table>
<thead>
<tr>
<th>Level of Use (LoU)</th>
<th>Behaviours Associated with Level of Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 - No use</td>
<td>No interest shown in the innovation; no action taken.</td>
</tr>
<tr>
<td>1 - Orientation</td>
<td>Begins to gather information about the innovation.</td>
</tr>
<tr>
<td>2 - Preparation</td>
<td>Begins to plan ways to implement the innovation</td>
</tr>
<tr>
<td>3 - Early Use</td>
<td>Concerned about mechanics of implementation.</td>
</tr>
<tr>
<td>4 a - Routine</td>
<td>Comfortable with innovation and implements it as taught.</td>
</tr>
<tr>
<td>4 b - Refinement</td>
<td>Begins to explore ways for continuous improvement.</td>
</tr>
<tr>
<td>5 - Integration</td>
<td>Integrates innovation with other initiatives; does not view it as an add-on, collaborates with others.</td>
</tr>
<tr>
<td>6 - Renewal</td>
<td>Explores new and different ways to implement innovation.</td>
</tr>
</tbody>
</table>

**CHANGE ASSUMPTIONS**

1. Change is a process, not an event.

2. Individuals have to change before the organisation can change. People need to change to bring change in an institution.

3. Change is a highly personal experience.

4. Change entails developmental growth in competence and confidence.

5. Innovations are changed during implementation.
Change should be supported by a team that will provide the following to employees:

- Sanctioning
- Providing continued back up
- Providing resources
- Providing technical coaching
- Monitoring
- Following up.

**Change Facilitator Styles**

There are 3 main change facilitator styles as discussed below:

**Initiator** - The initiator pushes employees to support change and move forward. This is somebody who makes things happen. An initiator has the following characteristics:

- Has a clear and strongly held vision.
- Listens and then decides.
- Well informed about issues.
- Achievement and student success.
- High expectations.
- Aggressively seeks resources.
- Creative use of policies.
- Back their teachers.
- There is a personal side.

**Manager** - The manager takes time assessing the situation, and then decides if they should run with it and be a part of. This individual helps change happen. Managers have the following characteristics:

- Efficient.
- Controlling budgets and resources are primary considerations.
- Rules, procedures and policies frame their view.
- Try to attend all meetings and events.
- Protect staff.
Changes are cushioned at the beginning.

Once start, implement quickly.

Implementation are to acceptable level.

**Responder** - The responder most of the time has other people leading, and delays in decision making. This individual *lets* change happen. Most responders show the following characteristics:

- Oriented.
- Have few ideas about future directions.
- Concerned about others’ perceptions.
- Allow others to take the lead.
- Delay in making decisions.
- Most influenced by last person.
- Affective influence.
- Down play size / significance of innovations.
- Sees teachers as strong.
- Friendly.

When learning to use a new innovation, users move along a spectrum that ranges from “no use” to “full use”. Outcomes of any change initiative can be related to this model. For example as shown below on **Table 3**:

<table>
<thead>
<tr>
<th>Level of Use (LoU)</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 - No use</td>
<td>User has little or no knowledge of innovation, no involvement with the innovation, and is doing nothing toward being involved.</td>
</tr>
<tr>
<td>1 - Orientation</td>
<td>User has recently acquired or is acquiring information about the innovation and / or has recently explored or is exploring its value orientation and its demands upon user and user system.</td>
</tr>
<tr>
<td>2 - Preparation</td>
<td>User is preparing for the first use of the innovation.</td>
</tr>
<tr>
<td>Level of Use (LoU)</td>
<td>Description</td>
</tr>
<tr>
<td>------------------</td>
<td>-------------</td>
</tr>
<tr>
<td>3 - Early Use</td>
<td>User focuses more effort on the short-term, day (today) use of the innovation with little time for reflection. Changes are made to meet user needs as opposed to clients’ needs. Low, basic level of use.</td>
</tr>
<tr>
<td>4 a - Routine</td>
<td>Use of innovation is stabilised. Few, if any, changes, are made in ongoing use. Little preparation or thought is being given to improving innovation use or its consequences.</td>
</tr>
<tr>
<td>4 b - Refinement</td>
<td>User varies use of innovation to increase the impact on clients within immediate sphere of influence. Variations are based on knowledge of both short and long term consequences for clients.</td>
</tr>
<tr>
<td>5 - Integration</td>
<td>User combines own efforts to use the innovation with related activities of colleagues to achieve a collective impact on clients within their common sphere of influence.</td>
</tr>
<tr>
<td>6 - Renewal</td>
<td>User re-evaluates the quality of use of innovation, seeks major modifications of alternatives to present innovation to achieve increased impact on clients, examines new developments in the field, and explores new goals for self and the system.</td>
</tr>
</tbody>
</table>

The Hall and Hord’s Level of Use Model is closely linked to the Concerns Based Adoption Model, and applies to anyone experiencing change; be it policy makers, teachers or any other cadre. The model holds that people considering and experiencing change evolve in the kinds of questions they ask and in their use of whatever the change is. Questions may include the following:

- What is it?
- How will it affect me? etc.

**Level of use of innovation: Typical Behaviours – Table 4**

<table>
<thead>
<tr>
<th>Level of Use (LoU)</th>
<th>Behavioural Indicators of Use</th>
</tr>
</thead>
<tbody>
<tr>
<td>0 - No use</td>
<td>The user has no interest, is taking no action.</td>
</tr>
<tr>
<td>1 - Orientation</td>
<td>The user is taking the initiative to learn more about the innovation.</td>
</tr>
<tr>
<td>2 - Preparation</td>
<td>The user has definite plans to begin using innovation.</td>
</tr>
<tr>
<td>Level of Use (LoU)</td>
<td>Behavioural Indicators of Use</td>
</tr>
<tr>
<td>-------------------</td>
<td>--------------------------------</td>
</tr>
<tr>
<td>3 - Early Use</td>
<td>The user is making changes to better organise use of the innovation.</td>
</tr>
<tr>
<td>4 a- Routine</td>
<td>The user is making few or no changes and has an established pattern of use.</td>
</tr>
<tr>
<td>4 b - Refinement</td>
<td>The user is making changes to increase outcomes.</td>
</tr>
<tr>
<td>5 - Integration</td>
<td>The user is making deliberate efforts to coordinate with others in using the innovation.</td>
</tr>
<tr>
<td>6 - Renewal</td>
<td>The user is seeking more effective alternatives to the established use of the innovation.</td>
</tr>
</tbody>
</table>

The main issue with the Hall and Hord’s Model is that it tries to find out how people affected by change both feel and think.

**STEVEN COVEY’S SEVEN HABITS MODEL**

In his “Seven Habits of Highly Effective People” Covey presents an approach to being effective in attaining goals by aligning oneself to what he calls “true north principles of a character ethic that he presents as universal and tireless”.

Covey’s habits are represented by imperatives as follows:

**Independence or Self-Mastery**

Covey’s first three habits surround moving from dependence to independence (i.e. Self mastery).

*Habit 1: Be Proactive*

The initiative in life by realising that your decisions, and how they align with life’s principles, are the primary determining factor for effectiveness in your life. Take responsibility for your choices and the subsequent consequences that follow.

*Habit 2: Begin with the end in mind*

Self discover and clarify your deeply important character values and life goals. Envision the ideal characteristics for each of your various roles and relationships in life.
**Habit 3: Put first things first**

Plan, prioritise and execute your week’s tasks based on importance rather than urgency. Evaluate whether your efforts exemplify your desired character values, propel you toward goals and enrich the roles and relationships of habit 2.

**Interdependence**

Covey’s habits 4, 5 and 6 have to do with interdependence, i.e., working with others.

**Habit 4: Think win-win**

Genuinely strive for mutually beneficial solutions on agreements in your relationships. Value and respect by understanding that a “win” for all is ultimately a better long-term resolution than if one person in the situation had gotten his way.

**Habit 5: Seek first to understand, then to be understood**

Use empathetic listening to be genuinely influenced by a person, which compels them to reciprocate the listening and take an open mind to being influenced by you. This creates an atmosphere of caring, respect and positive problem solving.

**Habit 6: Synergise**

Combine the strengths of people through positive teamwork, so as to achieve goals no one person could have done alone. Get the best performance out of a group of people through encouraging meaningful contribution, and modeling inspirational and supportive leadership.

**Self renewal**

**Habit 7: Sharpen the saw**

Balance and renew your resources, energy and health to create a sustainable, long term effective lifestyle.

**Abundance Mentality**

The idea of abundance mentality or mind-set was coined by Covey. This is a concept in which a person believes that there are enough resources and success to share with others. This contradicts scarcity mind-set which can be destructive and breeds unnecessary competition. The scarcity mind-set is founded on the idea that if someone else wins or emerges successful in a given situation, that means you lose, not considering the possibility of all parties winning, in some way or another, in a situation. Individuals with abundance mentality are able to celebrate the success of others rather than feel threatened by it. Covey further contends that the abundance mentality arises from having a high self-worth and security, and leads to the sharing of profits, recognition and responsibility. This idea is espoused in habits 1, 2 and 3.
The Upward Spiral

The “upward spiral” model is explained in the sharpening the saw section. Covey explains that through our conscience, along with meaningful and consistent progress, the spiral will result in growth, change and constant improvement. One is always trying to integrate and master the principles of the 7 habits at progressively higher levels. The upward spiral model consists of three parts; learn, commit and do. According to Covey, one must be increasingly educating the conscience in order to grow and develop on the upward spiral. The idea of renewal by education will propel along the path of personal freedom, security, wisdom and power.

JEFF HIATT’S ADKAR MODEL OF CHANGE MANAGEMENT

The ADKAR Model of change management consists of five (5) sequential steps of action as follows:

A – Awareness of the need for change.

D – Desire to support and participate in the change.

K – Knowledge of how to change.

A – Ability to implement the change, ie, required skills and behaviours.

R – Reinforcement to sustain the change.

Understanding the ADKAR Model:

- Focuses on individual change and ensures that each person makes the transition

- Communication strategies can be focused

- It is outcome based

- Helps measure effectiveness of the change process.

The ADKAR Model helps leaders build awareness, create desire, develop knowledge, foster ability and reinforce change in their organisations. ADKAR Model helps one understand why some changes succeed while others fail. Above all, ADKAR Model can assist one bring change to their institution successfully.

The ADKAR elements of awareness, desire, knowledge, ability and reinforcement represent the basic requirements that one needs in order to achieve and sustain a change. For a change to be successful in the organisation, it has to start with one person, then increases to 5 people who will appreciate and accept the change, and the number will increase until the majority of people can associate with, and embrace the change. However, there will always be some resistance from some quarters of the organisation.
When change is introduced, the management has to ensure that certain factors that are critical in organisational change management are done, such things as:

- Communications
- Sponsorship
- Employee involvement
- Training and education
- Resistance management
- Rewards and recognition
- Coaching by managers and supervisors.

All these factors should then be able to measure the outcomes that show success of change, being the outcomes of awareness, desire, knowledge, ability and reinforcement. The ADKAR Model is therefore, seen as the link between individual performance, organisational change management and business results.

It is advisable to win support and confidence of a few people who can walk with the change initiative as these will help you, as the change leadership, to bring this change to the organisation. Awareness for change is the part that will facilitate communication with staff – something that is very important in successful change. This aspect needs not be overlooked at any point in time.

**KUBLER-ROSS’ GRIEF MODEL**

This model is also commonly known as the Kubler-Ross Model for death and bereavement counselling, personal change and trauma. The model is named after Dr. Elizabeth Kubler-Ross, the psychiatrist who pioneered methods in the support and counselling of personal trauma, grief and grieving, associated with death and dying. The model is associated with 5 stages of grief.

The 5 stages of the grief model are:

- Denial
- Anger
- Bargaining
- Depression
- Acceptance
Interpretation of Kubler Ross’ 5 stages – Shown as Table 5 below:

<table>
<thead>
<tr>
<th>Stage</th>
<th>Interpretation</th>
</tr>
</thead>
<tbody>
<tr>
<td>1. Denial <em>(I feel fine, this can’t happen to me)”</em></td>
<td>This is a conscious or unconscious refusal to accept facts, information, reality etc, relating to the situation at hand. It is mostly used as a defence mechanism. Some people can become locked in this stage when dealing with a traumatic change that cannot be ignored.</td>
</tr>
<tr>
<td>2. Anger <em>(why me, life is not fair)</em></td>
<td>Anger can manifest itself in different ways. People dealing with emotional upset can be angry with themselves, and/or with others for no particular reason, especially those close to them. Knowing this can help when experiencing anger of someone who is very upset due to a change in their lives.</td>
</tr>
<tr>
<td>3. Bargaining <em>(I’ll give up my life savings if....”)</em></td>
<td>Bargaining rarely provides a sustainable solution to the change brought by the situation at hand. For instance, people can seek to negotiate a compromise, for people facing death can attempt to make peace with their God etc.</td>
</tr>
<tr>
<td>4. Depression <em>(I’m so sad, why bother with anything. I’m going to die anyway, so what’s the point?)</em></td>
<td>This is also referred to as preparatory grieving. This stage is kind of acceptance but with emotional attachment. A person here may feel sad, regretful, fearful and uncertain of the future. This stage shows that a person has at least started to accept reality.</td>
</tr>
<tr>
<td>5. Acceptance</td>
<td>Varies according to situations. However, this stage generally indicates that there is some emotional detachment and objectivity. People dying may reach this stage way ahead of those they leave behind, who will also have to deal with their grief.</td>
</tr>
</tbody>
</table>

Over the years, the Kubler-Ross grief model has proved to be very relevant to any situation that may involve change, other than death. There are reactions similar to those explained by Kubler-Ross to other situations such as joblessness, enforced relocation, crime, punishment, disability, injury, relationship breakdown, bankruptcy, financial despair, divorce, chronic illness, infertility, disease, disasters and many other situations. This therefore, makes the model relevant even in situations not related to death or grief that comes with death. The “grief cycle” can be equated to the “change model” for helping those undergoing change. The feeling of trauma and emotional shock can be evident in people confronting difficult situations and this model is more appropriate in such cases. The model provides insight and guidance for coming to terms with personal trauma and change, and for helping others with emotional adjustment and coping, whatever the cause. The model has now become synonymous with emotional response to trauma, and to grief support and counselling.
It is important, however, to note that this model does not apply to people in the same way. Some people may not always experience all the five “grief cycle” stages. In other words, people experience the different stages of this model differently. The model basically acknowledges that there is a pattern of reactive emotional responses which people feel when coming to terms with changes in their lives. This model represents the journey that people have to undertake to come to terms with changes that might have occurred in their lives. The model can be seen as being true to the saying that “time heals” and “life goes on.”

**ZALTMAN, DUNCAN & HOLBEKS ORGANISATIONAL CHANGE MODEL**

Organisational change means more than adding an extra person to the organisation. It includes the management’s decision to change organisational culture, business process, job designs of employees, responsibilities procedures etc. The change can be radical or just moderate.

**Why organisational change?**

There may be many reasons that may necessitate organisational change. These may include the following:

- To accomplish some overall goal.
- May be due to some external forces such as cuts in funding.
- Organisation may wish to evolve to a different level.
- A new CEO who comes with a whole new look of things.

An organisation evolves through these four stages:

1. Denial
2. Resistance
3. Exploration
4. Renewal.

As the organisation transits and goes through these stages, productivity can be negatively affected and the organisation can experience what is known as the “Productivity Dip”. This is the same dip we discussed under Michael Fullan’s Implementation Dip theory, which we have discussed earlier in the chapter.
Figure 8: Implementation Dip

The duration of this productivity dip is determined by how fast people accept the new change. However, the leadership needs to be always alert on the fact that acceptance is often a difficult process, and there will always be employees who will wish to slow the change process. This is what is known as Resistance to Change. The employees who resist change will wish for a status quo to prevail. Remember that you were introduced to resistance to change in Unit 1. You will study even more about resistance in Chapter 3.

Do the activity below and refresh your memory on resisting change.

Reflective Activity 2B

Why do you think some people resist change? Share your thoughts with your peers.

Resistance should always be expected whenever there is a change initiative. It may be obvious or may not be so obvious. However, the leadership should always make attempts to understand why people resist the envisaged change. The management should, therefore, try at all costs to see why there is resistance to change and solve it. It is critical to solve it as early as possible as the employees themselves are the agents for successful change in the organisation.

NB: Remember that you were introduced to resistance to change in Unit 1. You will study even more about resistance in Unit 3.

In every institution, it is generally acknowledged that when there is a change innovation:

1. 15% of the workforce is eager to accept it.
2. 15% of the workforce is completely against it.
3. 70% is sitting on the fence, waiting to see what happens.

To successfully implement organisation-wide change, the change leader has to undertake a few critical steps that include the following:

- Get senior management support as conflicting goals cannot work for you
• Identify a change champion who can articulate the reasons for, and advantages of the change

• Translate the vision of change into realistic plan and then carry out the plan

• Involve people from every area of the organisation

• Communicate endlessly to keep people informed. Educate staff so that they can understand and appreciate what the change is all about

• Get organisational support of the change

• Modify organisational structures so that they will sustain the change.

The change initiative should be well managed.

The four stages of organisational change model are:

1. **Awareness**: Problems are recognised and analysed, and solutions are suggested and evaluated.

2. **Adoption**: Policies are formulated and resources for beginning change are availed.

3. **Implementation**: The innovation is implemented, reactions take place and changes in roles occur.

4. **Institutionalisation**: The policy or program becomes an integral part of the organisation. New values and goals are now part of the institution's structure.

**SUMMARY**

You have now completed topic 2.2 which was on models of change. In this topic you studied about some of the different models associated with change. You studied about the need to have a vision and how best to communicate the vision, as an institution. A lot of the content you studied in this topic summarised the change models. Once more, you are advised to read extensively on change models as this topic looked at just a few of the many that are in existence.
UNIT SUMMARY

This part brings us to the end of the Unit 2 on Theories and Models of Change. I hope that you will continue to read extensively around the theories and models of change and relate them to your own institution. Remember that you learnt about the different theories and models and how they can be used to facilitate change in different set ups. By now you should be able to link one or two theories and models with a change initiative you have either experienced or heard about. Please note that there are many more other change theories and models, and you are free to link any other theory to your experience, even those not covered in the Unit.

ASSIGNMENT

Your assessment for this Unit is a Journal Entry. Once you have done and completed it, make sure you submit your diary to your course tutor at the end of the course for marking and grading. Remember to date and have your entry well labelled.

Now go through the activity that follows.

Journal Entry 2

Identify one change theory and one change model you have learnt in this Unit. Then discuss 2 lessons learnt from your identified theory and model. Write your responses down in your journal.

REFERENCES


UNIT INTRODUCTION
Welcome to Unit 3 of the Leading Educational Change Module. The unit is on Planning and Managing Change. This unit looks further into aspects you have been already introduced to in Units 1 and 2. Unit 3 is very closely related to Unit 2 as issues of Planning and Managing Change were discussed with the theories and models of change.

In this unit you will learn about aligning change to the change vision. You will also learn about the transformational and the operational change, as well as about characteristics of successful change initiatives. Most important to you will be the topic on resisting change. In this topic you will learn about why people resist change and what you, as a leader, has to do when you experience change resistance. The unit will also explain about the factors relevant to change, the change management plan, implementation of the change plan, evaluation of the change strategies as well as challenges needing change.

UNIT OBJECTIVES
Upon completion of this unit you should be able to:

1. align change initiatives to your institutional vision
2. explain the difference between transformational and operational change
3. discuss characteristics of successful change initiatives
4. assess enabling and inhibiting change factors
5. select a model or theory for a change initiative
6. discuss factors affecting the change management and implementation plan
7. evaluate the planned and implementation change strategies
8. discuss new and emerging challenges needing change

SUGGESTED READINGS
Your instructor should select and assign the readings your are to complete as part of this unit. Below is a suggested list of books and articles that support the objectives of this unit.


**UNIT ASSIGNMENTS**

At the end of this Unit you will get assessment items to attend to. First will be the Journal Entry. Please attend to the Journal Entry and make sure you date and number it correctly. Remember your Journal has to be submitted to your tutor upon completion of this course. You also have to do the assignment. This assignment, like your Journal Entry, has to be typed and submitted to you tutor for marking and grading. You will have assignment submission dates in your delivery schedule with all the dates for your assignment submissions. Please adhere to these dates. Remember these assignments also contribute to your final grade.
TOPIC 3.1 - CHANGE STRATEGIES

INTRODUCTION
For any change initiative to succeed, there should be change strategies put in place to facilitate the success of the initiative. A strategy can be viewed or seen as a road map or guide of what an institution plans to do and ultimately achieve. Different types of change strategies can be used to effect different change initiatives. This topic looks at the different types of change strategies as well as the two common types of change; transformational and operational changes. The topic further discusses some of the successful change management initiatives. It further looks at how people respond to change as well as resisting change. In conclusion the topic will look at overcoming resistance to change.

OBJECTIVES
Upon completion of this topic you should be able to:

1. discuss the three common types of change strategies
2. explain the difference between operational and transformational change
3. discuss some of the successful change management initiatives
4. define and discuss possible causes of resistance in change
5. discuss how one can manage and overcome resistance in a changing environment

TYPES OF CHANGE STRATEGIES
In education there are three common types of change strategies, namely:

(i) Rational – empirical strategies
(ii) Power – coercive strategies, and
(iii) Normative re-educative strategies.

Rational – empirical strategies
These strategies regard people as rational. This means that people can accept change in organisations, but to do this they need to be supported by research findings. The research should inform the institution on the benefits the institution will gain as a result of the change initiative. This strategy also provides a pathway that maps out how the change should occur, and it informs staff of the change through events such as open days and seminars or workshops. From these events, people get information and ask questions where there is lack of clarity, thus making people convinced and ready for the change initiative.

This strategy is without disadvantages because:

- Key implementers are only involved to a limited extent.
• Change may be seen as imposed from the top.

• Staff may not receive enough training to manage the envisaged change.

**Power-coercive strategies**

The power-coercive strategies are used by people with authority to influence change in their organisations. These people in authority will most of the time lead the change as change agents. The power – coercive change strategies have proved to bring results much faster than the rational-empirical strategies, as such it tends to be cheaper to implement.

The disadvantages include the fact that somebody else dictates that the change initiative should be effected, and this leads to less creativity on the side of staff. The strategy can also easily lead the staff to resist the envisaged change as they are not involved as much as they should be in the implementation of the change.

**Normative – re-education strategies**

This category is also known as the problem-solving, self-help and participative models. For somebody to be satisfied this person also has to be motivated. This being the case, change tends to take place due to change in attitudes, skills, values, relationships etc, with the staff in an organisation. The under-laying factor in these strategies is that there should be good working relations between the change agent and staff to facilitate change in an organisation. There should be a two way communication between the agent and staff. Staff here is highly involved in the change effort.

These strategies go through stages or phases before they can be concluded because of the intensive consultation. These stages or phases may include the following:

1. Search for a solution to the identified problem.

2. Brainstorming of possible solutions.

3. Choosing the best solution.

4. Carrying out trials.

5. Implementing the change initiative.

Some advantages of these strategies include the following:

• That the need for change comes from the entire staff of the organisation, leading to ownership of the initiative by all.

• Encourages growth and development of both staff and the organisation.

Pause here and do this little activity.
Reflective Activity 3 A

Reflect back and think of a change initiative that was introduced in your organisation. Where do you think the initiative belonged amongst the three types discussed? How did you personally react to the initiative? Did it give out any positive results?

Share and compare your response with those of your peers.

ALIGNING CHANGE INITIATIVE TO THE VISION

Change is not an issue if it makes sense to and is owned by those involved, rather than being arbitrarily imposed. However, for institutions to remain relevant to their role or mandate, they have to be able to cope with a number of change initiatives on an ongoing basis.

For an organisation to embrace a change effort or initiative, this change should be seen to:

- Benefit employees
- Have positive results for other units in the organisation such that it can encourage growth
- Help improve in performance
- Help harness and improve employees job skills and knowledge
- Above all, the change should be aligned to the organisational vision.

The leadership should not just decide on its vision and hope that the entire staff will like it since just because it's their vision, it does not necessarily mean that other people will like it as well. To avoid any unnecessary conflicts, therefore, change should always be aligned to the institutional vision. The institutional vision should be easily understood by all as it should be able to:

- Provide a summary of detailed decisions on the institution.
- Provide guidance.
- Help coordinate actions of different people.
- Communicate to staff.
- Appeal to staff.
- Convey a clear picture of the future.

TRANSFORMATIONAL VS OPERATIONAL CHANGE

Transformational change may be referred to as “a shift in the business culture of an organisation resulting from a change in the underlying strategy and processes that the organisation has used in the past. A transformational change is designed to be
organisation-wide and is enacted over a period of time.” (Downloaded from http://www.businessdictionary.com/definition on February 7th 2013).

Transformational change does not mean change that was very minor, or simply an extension or improvement over what has been prevailing. Transformational change refers to a total overhaul to make up. This change can be both personal and organisational. The change is bold and compelling and can come with different features such as new levels of fearlessness, higher levels of innovation and collaboration and it should excite people, (http://www.1pr.com/page/). With their excitement people should then be able to unleash their passion and creativity. At the end of the transformational change one should see a completely different organisation and set up, a complete transformation.

Achieving a complete set up or transformation requires the change leadership to alter and expand all limiting factors that may hinder the transformation. Peoples’ mindset should change. Logic should prevail and relationships should be nurtured for people to see the transformation through. Transformational change should be a complete package that will help organisations design, and implement their change programs or agendas. It should also be geared towards improving performance, building capabilities and strengthening behaviour over time.

An example of transformational change is Strategic Change which is concerned mainly with broad, long-term and organisation-wide issues. It is mainly about moving to a future state which may be defined by the vision and scope of the institution, as well as the mission and philosophy. Strategic change takes place within the context of the external competitive, economic and social environment. Successful implementation of this type of change requires thorough analysis and understanding of factors that include the organisations resources, structure and systems.

Operational Change - The second type of change is operational change. Armstrong (2004) explains that this type of change relates to new systems, procedures, structures or technology which will have an immediate effect on working arrangements within a part of the organisation. Operational change is not as intense as transformational change which can present a completely new organisation from the one that existed before. Operational change, as the name suggests, is usually on improving everyday operations of the institution, ie, upgrading IT operations, student enrolment databases etc. In other words, this only applies to an improvement or service or whatever that has been in existence, and one will not necessarily expect an entirely new product at the end of the change process.

SUCCESSFUL CHANGE MANAGEMENT INITIATIVES
For change to occur and to be successful it has to be managed very well. Some factors that can lead to successful change include the following:

- Organisational alignment – when an organisation works towards a common mission change efforts will be more successful.
• **Transparency** – the change leadership has to be transparent with all that is necessary to be shared with the organisation. This will develop trust between the staff and leadership. With this trust, employees can then support the change effort, making the change initiative much easier to implement.

• **Engage employees** – all employees, no matter their status or position in the organisation, need to be engaged. This will make them more committed to the initiative. This will make employees committed to the initiative and even own the change at the end.

• **Action orientation** – The leadership should be action oriented and be able to deliver on key priorities. The leadership should identify a number of priorities to share with the staff. The staff, once involved, will participate in these change efforts. Once the identified priorities are achieved, the leadership can then identify the next set of priorities and continue engaging the staff.

• **Accountability** – People should be given responsibilities to be accountable for during the change initiative. The staff should be encouraged to meet their targets on certain expectations they have to account for. This will encourage and motivate them to embrace the change as they will feel that they are a part of it. Change leaders have to listen for them to be able to help the staff develop a shared sense of purpose.

Every change initiative is always accompanied by relationships, whether good or bad, between the change leadership and staff. Despite this, it is important for the leadership to ensure that all staff members get all the help and support they need to facilitate the change. Through these relationships the staff can appreciate and own the change process.

Effective leadership is one that has respect and trust between the leadership and staff. This kind of leadership will more often lead to successful change initiatives. There are a number of factors that may characterize effective change leadership and these include:

• **Trust** – when employees are asked to change, their willingness will most of the time depend on how much they trust those requesting them to change. If the leadership is one that only gives directives and orders, then it cannot be trusted by the employees. Some of the employees would have been where they are for years and may be requested to abandon their comfort zones for the unknown. So for them to agree with the change initiative will all depend on how reliable the leadership has been with their promises in the past. This will greatly influence the trust employees have on the leadership.

• **Honesty** – the leadership should be very honest when communicating to employees about the envisaged change initiative. There should be a two-way dialogue. This means that people should be allowed to ask questions where they do not understand. They need to be helped to further understand that which they do no know. When the leadership is considered honest, they can
then be trusted. People should be provided with the information and change plan to appreciate. These should assist with constructive discussions. The leadership needs to share what they know with staff / employees as necessary and avoid the risk of unwanted and unnecessary leaks, which can happen with delayed news. The leadership, therefore, needs to have an effective communication plan to keep the people informed at all times.

- **Self awareness** – it is important to note that not all leaders are change champions. This is because during the change initiative some leaders may just pretend to be in support of their leaders while they actually resent the change, and can even influence employees to resist it. In the long run this may eventually come out because one has to effectively lead and own change to truly endorse it. Managers need to get involved with the change to get a first hand view of what it entails and the expected benefits.

- **Active participation** – if you are actively involved in the change initiative you become visible and it will be easy for you to embrace the change. If you embrace the change your team will easily follow. The fact that you are actively involved will give you a hands-on experience with the change and you can thus be able to set and achieve performance goals for your staff. These will in turn minimize anxiety in the future.

- **Reinforcement** – change leadership role should be accompanied by reinforcement. This follows the active monitoring of adoption and compliance. Among many things that can reflect adoption and compliance are employee opinions on what is working well for them and what is still challenging them. Then there can be a need to celebrate the contributions of staff and the demonstration of desired behaviours. Once change has been achieved the change leader still needs to continue as a change leader to monitor adoption and compliance.

- **Enabling factors** – these are factors that make it easier for people to change their behaviour and suit the desired initiative. Enabling factors are varied and can include resources, conditions of living, societal support, skills to be developed (ie) skills – a change leader may have to employ a number of skills to successfully implement a change initiative. The skills can also bring more motivating factors with them.

Peter Block, a business philosopher, has been quoted in Branson (2010) as saying that “The price of change is measured by our will and courage, our persistence, in the face of difficulty.” This talks well to the fact that despite the challenges one can experience as a leader, he or she has to forge on to make sure that the desired change initiative succeeds. And as in the words of Mahatma Gandhi, as a leader you always have to lead by example. Mahatma Ghandhi was of the view that one has to be the change they wished to see in the world and that if blood is to be spilled let it be their own.”
HOW PEOPLE RESPOND TO CHANGE

Innovations can be specific to certain institutions and not others as needs for change may vary from institution to institution. The advantage and importance of an innovation as perceived by the potential adopter over prevailing practice influences, to a great extent, the adopter’s decision.

A change initiative can bring change when it is internalized by the system. To transform an innovation or change from the stage of awareness to internalisation, the resources agencies need to provide expert support to facilitate the process of adoption. Newer people, especially those in the leadership consider the relative advantage the change initiative will bring to the institution. However, many people only look at what they will individually benefit from the initiative. If they seem to benefit very little, they may resist the change.

As mentioned in Unit 2, every change initiative is accepted at different intervals by different people. These are called adopters as they adapt to the new change. The different categories of adopters as discussed in Unit 2 are as follows:

1. **Innovators**: they actually generate or come up with the idea itself and try it out.
2. **Early adopters**: react to a new idea immediately, embrace it and adopt it.
3. **Adopters**: these people play a wait and see game before they can adopt and embrace the change. They usually watch the innovators and early adopters closely before making a decision about the change.
4. **Late adopters**: this group has people who are reluctant and much slower to embrace and adopt the change.
5. **Laggards**: these are people who completely resist the change. They are confirmed rejecters of change and innovation.

RESISTING CHANGE

Societies, systems and other establishments that have been around for some time have a tendency to resist innovations and efforts to change. Older institutions and long service staff are never easy to change. When people resist change, the leadership should not just look at them as people who are not progressive. The leadership should call these resisters and try to understand why they are resisting change. In other words, resistance helps bring to the attention of the leadership issues as well as the likely difficulties in the implementation of the change. Resistance, as such, can give warning which if needed, can lead to a better implementation of change.

Resistance helps generate alternatives. Resistance may bring to the attention of those involved in introducing change, factors that are likely to disrupt the basic group culture and core values of the group. Resistance may also point out the wrongs done in the process of introducing change. The first wrong will be for the organisation to leave outsiders drive the change initiative. Change should be driven from within for employees to own it. If the change initiative is not participatory, then resistance will be
likely to occur. Resistance may also help bring to surface certain aspects that may have been neglected by change planners.

The management should listen and acknowledge people’s misgivings about change. In fact, they should explore why there is resistance and strategies on what can be done to improve whatever people are resisting. The change leadership has to listen to people resisting change to avoid any unnecessary destruction by non-issues.

**Sources of Resistance**

There are many sources of resistance to change, and resisting change can cause the leadership some stress. Things learned first often become “resisters” for new things. People can resist when they want to maintain their old “normal” ways of doing things. They may be accustomed to their “culture” of working and decide to resist change. Whenever there is a change initiative to be introduced, the first reaction from those likely to be affected is “fear” to accept it. This is due to many factors that include false impressions set in the mind that change outcomes are not positive, and an insecure feeling that change is never good or comfortable. Resistance to change can be inevitable if people feel they are going to be disadvantaged.

If change is not suitable to norms of a particular group, or deviates from what is expected, then there is possibility of resistance. If change is not acceptable to the entire group, all people may show resistance to the initiative. At times the resistance might be fear from the other group members.

People also tend to resist change as they would have naturally become emotionally attached to the current practice of doing things – which would now be more of a culture to them. As such, it will normally take time to successfully introduce change in an organisation.


> People do not resist change per se. People resist loss. You appear dangerous to people when you question their values, beliefs or habits of a lifetime. You place yourself on the line when you tell people what they need to hear rather than what they want to hear. Although you may see with clarity and passion a promising future of progress and gain, people will see with equal passion the losses you are asking them to sustain (p14)

Resistance to a change initiative can also be caused by working together of many other factors. These factors may be caused by poor relationships or lack of communicating by the change agent and the champions, or the change leadership. This resistance may again come from those being led by the change agent and champions due to many factors that may include the following:

- **Fear of the unknown** – people can resist change when they are unsure about the effects of this change initiative.
• **Lack of information** – people should be informed for them to appreciate and embrace the planned change initiative. Lack of information may lead to resistance.

• People should be given correct and up to date information to understand the initiative.

• **Threat to status** – a change initiative may mean doing away with old things and introducing new ones. People need to be helped to understand the change, especially one which directly affects them. Re-training will, for instance, be required to ensure that people remain relevant even in the new institution. This will ensure maintenance of status and stability in the organisation.

• **Threat to power base** – change can come with reduction of one’s influence, as such people can resist it.

• **No perceived results** – change can be threat to people if benefits of the change initiative are not clear to them.

• **Low trust organisational climate** – mistrust will lead people to see any change initiative as a trap.

• **Poor relationships** – poor relationships between the change agent and champions caused by different factors may lead to people resisting change.

• **Fear of failure** – employees not try new ideas especially when they are not so sure of the outcome.

• **Fear of looking stupid** – when procedures are not shared with people they will look stupid and uninformed, hence resist change. Change leadership should therefore, explain all the procedures of implementing the envisaged change to all those affected.

• **Custom** – changes that go against the known “established” traditions and customs of the institution can be seen as threat, hence resisted.

• **Peer group norm** – people often have rules that they identify with, and once change gets in and threatens to end such rules, the group that aligns itself with the rules tend to resist change, even though some group members may see change as something good, they will just resist it to be in solidarity with their peers.

• Non-involvement of employees in designing the change.

• Non-preparation of the individuals to live up to the change situation.

• Lack of provision for equal sharing of the costs and benefits that come with the change.
• Non inclination on the part of management to positively motivate and take the employees and workers with them in implementing the change.

• Employees who are not very relevant and whose skills may have become obsolete in the new dispensation, hence decide to resist the change.

• Absence of training and re-tooling staff for new posts, making people irrelevant in the new dispensation.

• If change is likely to reduce the number of employees.

• When employees were not told of what the change is all about.

• Being used to the status quo and comfort zones.

• Peer group pressure.

• People who resist change are normally people who have become emotionally invested in their current practice, etc.

Generally, it is normal for people to resist change when initially mentioned. Over and above the factors discussed above, resistance can be expressed in many ways including:

1. Loss of motivation to work.

2. Increased errors or mistakes.

3. Increased absenteeism due to “sick leave” and other reasons not so easy to understand.

4. Having more excuses to be absent from work in order to take care of “personal and social matters” etc.

Fullan (2001) in Branson (2010) is of the view that leaders of change must learn to appreciate, if not welcome such resistance rather than striving to suppress it. He further suggests that dissent should be seen as a source of new ideas and break through where as the absence of a conflict is seen as a sign of decay.

**OVERCOMING RESISTANCE TO CHANGE**

Resistance to change may be a sign of displeasure or dissatisfaction by staff to the proposed change. Many change initiatives, as discussed earlier, can be resisted by employees. Institutions and the change leadership have always considered some strategies to overcome resistance to change. These strategies include the following:

1. **Education and communication** – this strategy has been used and proved effective where there is little or no information regarding the change. For people to buy in and accept the change they need to be informed about the benefits and reasons for the envisaged change. Staff has to appreciate that they are informed about what and why what is happening is taking place. Communication should be honest and truthful, and the language used in the
communication should be clear and unambiguous. It should not raise more questions.

2. **Participation** – change leadership should involve people. This will lessen the likelihood of resistance and encourage commitment.

3. **Facilitation and support** – planned change should be able to take staff along by providing staff development and capacity building programmes to encourage staff acquire new skills to cope with, and eventually be able to fit into the change. The capacity building programmes can include workshops or seminars.

4. **Negotiation** – during talks, whenever necessary, the change leadership should give people their democratic right to express themselves. The leadership should remain friendly to enable buy in of the change, and explain wherever staff does not understand. Even those against the change should be given an opportunity to express themselves and their views should be respected and heard. This will encourage dissenting voices to finally accept the proposed change.

5. **Manipulation and co-option** – the leadership can at times find itself at a cul de sac, with very little or no progress made. This can at times make the leadership to manipulate the staff by making facts more attractive than they actually are. The leadership can decide to withhold all the negative information that can lead to people resisting the envisaged change. This can help encourage the buy in of staff to the change until such time that they are convinced of the change. The leadership can also give key leaders of resistance some role to play in the change initiative. They will feel valued in the organisation and stop their resistance.

6. **Coercion** – this strategy can be used by the leadership to stop any form of resistance and include use of force and threats on those resisting change. Coercion includes threats of transfers, loss of promotion etc. This can be applied to aggressive resistors who may be encouraging strikes. The leadership needs to be tough on them to avoid any further influence on staff.

**Reflective Activity 3 B**

Have you ever experienced or heard of any change initiative? Was the planned change initiative all a smooth sail or did it face any form of resistance? Briefly note the highlights of the resistance to the change you have experienced, and discuss them with your tutor and peers/classmates.

**Management of Resistance**

Branson (2010) has quoted Einstein as having mentioned that “Great spirits have always encountered opposition from mediocre minds”. This is very true and goes that where there are two people there may always be disagreements. As a leader, you then need to see how you can manage the resistance and cope with it. Below are some ways of dealing with resistance to change;
Ownership – let people affected by the change own it.

Nature of change – resistance can be easily stopped if the change initiative is seen as coming to reduce people’s problems and offering new and exciting experiences.

Change Process – resistance can be reduced by consensus on the design and implementation of the initiative.

Reflective Activity 3 C
How can you turn change challenges (that may lead to resistance), into opportunities that can in fact facilitate the change effort?

Possible feedback to reflective Activity 3 C
- Source for information on likely obstacles which can disrupt implementation
- Use the information you will get from resistors to plan your change implementation
- Use information to identify expectations of employees etc.

SUMMARY
This topic was on change strategies. In this topic you looked at the different types of change strategies. You studied about the transformational and operational changes in details. You again studied about resisting change, as well as how this resistance can be overcome in an institution or organisation. The next topic goes further to look into factors that can either enable or inhibit change.
**TOPIC 3.2 - ENABLING AND INHIBITING FACTORS RELATED TO CHANGE**

**INTRODUCTION**

For change to be successful it has to be done in an environment that will support it. Factors that can support the successful implementation of change include:

- **A good starting point** – it is usually much easier to implement change if organisations are already “converted” and willing to change.

- **Effective leadership** – this is leadership that is committed to change, one with capacity for change.

- **Shared understanding** – the leadership and employees need to both know and understand what the change initiative entails, and its implications.

- **An action plan** – the organisation needs to make a planned approach to implementing the change initiative. This planning will enable the leadership identify change agents for each planned activity and will facilitate easy monitoring of progress.

- **Wider consultation** – there is need to consult extensively with all employees to facilitate buy in and ownership of the initiative.

**OBJECTIVES**

Upon completion of this topic you should be able to:

1. explain enabling and inhibiting factors related to change

2. identify and select a model for planning a change initiative

**ORGANISATIONAL STRUCTURE AND CULTURE**

A change initiative should start off by engaging employees (i.e.) carry out a “readiness study” in form of an employee perception study, an employee commitment study or both. This will help you to appreciate how much the employees are prepared for change. The study will also help you appreciate the culture of the organisation and generally how employees view the existing organisational structure. This can be done in form of a very short questionnaire. This study can help establish the following:

- Indicate the general culture of the employees.

- Establish aspects employees’ value most in their employment relationship.

- Establish employees’ commitment to the institution. This will in turn help predict future employees’ attitudinal behaviour.

One needs to include a number of factors that include job satisfaction, remuneration, ethics and integrity, performance and recognition, etc., when conducting the study. The survey may help inform change to a large extent.
GOVERNANCE, CAPACITY & POLICY IMPLICATIONS
Change initiative should aim at the following:

- Increasing availability, attraction, selection and retention of skills and talent.
- Build a culture of excellence through performance management and leadership alignment.
- Enhancing leadership and management capability.
- Imposing institutional efficiency.
- Building change management capacity.

RESOURCES OF CHANGE
Attractors are pull factors or resources that will attract people to the organisation. These factors include human, technological, physical and material resources. Examples of the needed change resources include good remunerations, efficient communication and good working relations amongst others. For an organisation to be able to attract people from outside there should be resources that can attract them. There has to be infrastructure to facilitate in the delivery of the institution’s mandate. People should have a desire to associate with the institution and once they are employed there should be incentives put in place to retain and stop them from leaving the institution. Money should also be available to sustain the organisation. Without money no other resources can be available. It is very important, as well, to get the political will and acumen of the government. For any institution to be well resourced there should be the buy in by the government. Once the government supports the change initiative then funding will not be much of a problem.

REWARDS AND RECOGNITION SYSTEMS
Most institutions nowadays are aware that rewarding their staff is not just about money or remuneration. Today reward and recognition has proved very effective in encouraging the desired activity and output. Most managers have come to realise that reward and recognition brings out potential from employees. Leaders have come to appreciate that reward and recognition also encourages and inspires other employees to do their best. Just writing an employee a letter of appreciation for good performance can encourage and motivate the employee. This can also instil the spirit of “aiming higher” by other employees to also get the reward. The employees will be inspired and would then be creative as they will be enjoying their work. Employees will have more fun and this will lead to improved production. When people are motivated their job satisfaction and engagement greatly improves. When they are happy and engaged they become more productive and the institution will achieve great results.

Inhibiting Factors
There are a number of factors that work against, or inhibit successful change in organisations. These are many and include such as unnecessary red ape attitude by
some managers, negative attitudes and beliefs that characterise some institutions as well as certain undesired behaviours and influences on people by certain colleagues in the organisation.

**SELECTING A MODEL FOR PLANNING CHANGE INITIATIVES**

We have discussed the theories and models of change in Unit 2. In every change initiative, one should therefore, be able to align it to either a model or a theory. You should at this point be able to do that. The models and theories you studied about were just examples of the many that exist in educational management. You must always read widely and be able to align more models and theories not discussed in this module, to any change initiative.

**SUMMARY**

This topic was mainly on factors related to change. These are factors that can either enable or inhibit a change initiative. In this topic you looked at issues of governance, capacity and policy regarding change initiatives. You were also introduced to the rewards and recognition systems, as well as selecting a model that best suits a change initiative in your organisation. Remember that the topic only provided you with some basic information. You need to read extensively on this topic to have a thorough understanding of what you were introduced to.
**TOPIC 3.3 - THE CHANGE MANAGEMENT PLAN**

**INTRODUCTION**
For change to be enforced a nurturing environment has to be created. This will help guide and support the change initiative. The first and most critical step to implement in a change process is the change management methodology. It helps provide guidance and facilitates informed decision making throughout the change process. The management methodology will clearly define and describe who will be affected by the envisaged change, and how this will impact in the organisation at large. It also helps establish change management plans, for instance, the communication plan should be made to take care of each of those affected by the change initiative. There should be resistance management plan for those likely to resist the change, as well as the reinforcement planning for those embracing the change. All these need to be done in advance as it should be envisaged that there will be people resisting the change, but there will also be others embracing it.

**OBJECTIVES**
Upon completion of this topic you should be able to:

1. explain issues that are necessary for a successful change initiative
2. discuss roles of the change agent in facilitating a change initiative
3. explain possible risks of the change plan
4. explain possible ways of getting people committed to the change initiative

**UNDERSTANDING CHANGE STRATEGY**
For one to fully understand the change management strategy, he or she has to be familiar with issues such as the following:

- **Know and be familiar with the change characteristics** – one needs to start off by understanding the change that is being introduced. He/she needs to appreciate if the change initiative is major or minor and needs to take account of the scope of change. To further appreciate change one also has to know the number of people the change will impact on and what exactly will be changed.

- **Organisational attributes** – There is a need to understand people and groups affected by the change. There is a need to establish a shared vision for the organisation and how much change is going on.

- **Impacted groups** – as part of building situational awareness one has to develop a map of who in the organisation is being impacted by the change and the change being implemented. The change impact will be different amongst the different groups. The management plan helps plan for the change process much more efficiently.

Some factors that may influence success of the change initiative include:
1. **Change management team – technical support**

For a change initiative to succeed, the leadership should provide the necessary encouragement, support and resources. To avoid unnecessary conflict the leadership should encourage communal understanding, trust, empathy and collegiality between staff. For change to be effective it will also need supporting structures such as the **Team structure** – the change management team structure needs to identify who will be doing the change management work. This involves outlining the relationship between the project team and the change management team.

Management of change is mainly a concern of a transformational leader, supported by powerful change mechanisms, also by understanding that change is implemented by people and that it is their behaviour and support that count most. The most important aim of change management is to achieve commitment to change.

2. **Engage sponsors, enablers and champions**

Change will again always need supporting structures such as **Sponsor coalition**. This coalition describes leaders and managers that need to be on board for the change to be successful. The sponsor model documents the leaders of the groups that are being impacted by the change. Each member of the sponsor coalition has the responsibility to build support and communicate the change with their respective audiences. All enablers and change champions are engaged at this structure.

3. **Effective management strategy and communication plan**

Communication is critical in a change initiative. Communications can signify acceptance or advocacy of the change initiative between different parties through different channels such as media. There is a need for communication to facilitate easy change process in the organisation. This communication should be in a way that will be understood by all. It is important to have communication plan that can help manage the transition or the change initiative. The communication plan should be assigned a change champion who will be responsible with updating the plan and keeping the stakeholders informed with up to date information. This is very important.

The change management and communication plan serves a number of purposes. These include to:

- Secure buy-in and commitment from a broad cross-section of stakeholders for the implementation of the change initiative.

- Should provide a practical way of engaging with stakeholders to both secure their approval and support as well as to develop relationships and strategic partnerships to facilitate the success of the initiative.

When undertaking a change initiative the change leadership and the staff have to communicate to have a common understanding of how the change initiative is progressing. Communication differs from one stakeholder to another (i.e.) what and
how you may consult a learner differs from how and what you can communicate to a staff member in an educational institution. Communication should be truthful and honest. It should address issues of retrenchments if they exist to prepare people for the experience. Communication can help facilitate awareness of staff. Communication, no matter the channel used to convey it, also helps reduce anxiety which is a common feature of any change initiative. It helps see people through the transition curve as presented by Fisher (2012).

Study Fisher’s personal transition curve enclosed here as Appendix 4.

Coaching and training plans

Coaching and training plans need to be put in place as well to put the people in perspective and expose them to aspects that they lack in to fit in the new dispensation. This is critical for change projects to effectively meet their objectives. There will, however, be people who could not be trained. Such people need to be exposed to other possibilities, even if it means being retrenched. And this is where honest communication has to come in.

Change budget

Change exercise never comes cheap. For the initiative to be successful it has to be well resourced for. To start with, there should be a person driving the budget for the change initiative. Then there should be a fully-fledged budget to take care of all the PR logistics such as the branding strategy. The new institution should be a brand on its own for people to appreciate it. All these mean a lot of money and other resources, including people who will be the face of the institution.

IMPLEMENTATION OF THE PLAN

It takes careful placing, persuading, energy and consistency to implement a change initiative. As such, there is a need to develop a change plan that will show what the change initiative entails, and all the other processes that will come with the change. Managing an organisation in transformation is critical. Problems of introducing change will emerge and will need to be managed. These problems can include resistance to change as already mentioned. It can also include low stability, high levels of stress, misdirected energy, conflict and loss of momentum. With all these expected, the change leadership needs to do all possible to anticipate reaction and likely impediments that come with change.

The initial or installation stage of change can be both more painful and frustrating. The tendency is for people to view change as a logical and linear process, and it is not at all like that. Implementation of change, as described by Pettigrew & Whipp (1991) in Branson (2010) “is an iterative, cumulative and reformulation-in-use process.”

Some steps to effective change include:

- Mobilise commitment to change through analysing problems as a collective.
• Develop a shared vision of how to organise and manage so as to achieve goals such as competitiveness.

• Foster consensus for the new vision, competence to enact it, and cohesion to move it along.

• Spread revitalisation to all departments and divisions, allowing each department and division to find its own way into the new organisation.

• Institutionalise the change through established policies, systems and structures.

• Monitor and adjust strategies in response to problems in the change process.

Reflective Activity 3 D

You are a head of an institution of about 130 personnel. The institution is planning to implement change which will have large scale disturbances in the institution. What measures will you put in place to ensure the smooth change initiative?

Possible Feedback to Activity 3 D

• Involve employees at all levels

• Convey / share your plan

• Accept peoples’ suggestions and together agree on an implementation strategy

• Implement change in phases so that staff is not overwhelmed, and the change will be gradual, allowing people to experience and celebrate early success.

Role of the Change Agent in Facilitation

Change agents or leaders do not necessarily have to be outsiders all the time. There are always people in institutions who welcome challenges and opportunities that change can provide. These are people who should be chosen as change agents. You have looked at the role of the change leader and change agent in Unit 1. Now I want you to refresh your memory on this by reading through section 1.1.3 once more to remind yourself about the roles played by these key change leaders.

Risks of the Change Plan

A number of factors have been considered as contributing to delays in implementation of some change initiatives. Some of these factors are:

1. Poor starting point, (i.e.) lack of
   
   (a) effective leadership
   
   (b) shared/common understanding of the change initiative
   
   (c) action and wider consultation etc.
2. Competing / conflicting demands – when envisaged change proposes issues that may not be in line with what is prevailing.

Transition of an institution can often bring with it risks such as the following:

- Potential for outright rejection of the change by those worst impacted by the change
- Current staff members, especially the senior ones, may by virtue of the requirements of the new structure not achieve the same level of status within the new structure. The same may apply to lower level staff
- Change initiative may mean a few people sacrificing in the initial steps as there will be considerable work involved on the transformation which may have no direct financial reward for individuals during the transition.

**GETTING COMMITMENT TO CHANGE**

After deciding to undertake a change initiative, it is necessary for the leadership to gain commitment to this change from all concerned people. For the proposed change initiative to be successful, people or employees should be committed to this change. Gaining people’s commitment to change is yet another process that has to undergo a number of phases or stages such as the following:

- **Preparation** – This phase is about mainly sensitizing employees of the anticipated change initiative.
- **Acceptance** – Here information is provided on the purpose of the change, how it is proposed to be implemented and the possible effect(s) it will have on the employees.

Acceptance can easily be achieved if:

- The anticipated change is perceived to be consistent with both the mission and values of the institution.
- The change is not considered or viewed as threatening the stability of the institution.
- The change seems aligned to the needs of the employees.
- The reason for change is fully understood and appreciated by employees.
- The critical stakeholders in the change initiative are involved in planning and implementing the change programme.
- It is understood that steps will be taken to mitigate any detrimental effects of change.
During the acceptance stage reactions from employees, whether positive or negative, need to be noted and acted on urgently. It is here that original plans may have to be modified to cater for other issues that may have been overlooked and left out.

**Commitment** – this marks the third phase of gaining people’s commitment to change, and this is where the change is implemented and becomes operational. Both the change process and people’s reaction to it will need to be monitored. At this stage there will be inevitable delays, setbacks and even negative reactions from those faced with reality of change. Intervention on whether to modify certain aspects of change or whether to continue with the change initiative as planned will be put in place here.

**Institutionalisation** – Following implementation, the main task will be to have the change initiative adopted and institutionalised. Its use should have proved its worth during implementation stage. Differing views on the change must be considered to inform if the initiative should be aborted or progressed, or whether it should be progressed with modifications. After considering all these thoughts, the change initiative can then be institutionalized to become an inherent part of the organisation’s culture and operations.

**Summary**

This topic was on change management plan. You need to read further to appreciate what change management plan entails. As you may be aware, this was just some basic introduction to enable you to get the key points regarding the topic under discussion. In this topic you have learnt about issues necessary for a successful change initiative as well as facilitating roles of a very important individual in change management – those of a change agent. You went on to study about the risks of a change plan. Finally this topic introduced you to possible ways of getting people’s commitment to a change initiative.

You will now move on to the last topic of unit 3, which is on Evaluating Planned and Implemented Strategies.
**TOPIC 3.4 - EVALUATION OF STRATEGIES PLANNED AND IMPLEMENTED**

**INTRODUCTION**
Leadership should take cognisance of the fact that for effective change to take place, certain activities will need constant monitoring. This will not be easy as some employees can start mistrusts thinking that they are unnecessarily subjected to surveillance. They should therefore, be helped to understand why constant monitoring is necessary during this change initiative stage.

When people are consulted before the implementation of the proposed change, the likelihood is that they will easily accept the change. Even after consulting employees, change should be phased in through a well laid out plan to reduce negativity towards the initiative. This topic looks at the different change success indicators. It explains some of the factors that may contribute to a successful change initiative. The topic goes further to look into new and emerging challenges that may need change.

**OBJECTIVES**
Upon completion of this topic you should be able to:

1. discuss different success factors
2. identify some of the major steps of a successful change initiative
3. discuss some new and emerging challenges needing change.

**SUCCESS INDICATORS**
Armstrong (2004) explains that successful change requires understanding of many factors that include the following:

- the type of change
- how change affects individuals
- the process of change
- how to build commitment to change.

The change leader and those led should act in partnership to achieve a common goal of successfully transforming their organisation. Leaders should also be aware of the forces against or for the change so that they can lead their institutions well.

**Critical Success Factors**

There are many factors that may contribute to a successful change initiative. However, the most critical factor is the change agent. A change agent plays a very crucial role. This can be somebody working for the organisation, or it can be an external consultant. In this case a consultant will be an expert who has both the knowledge and experience in relevant areas.
The change process does not only achieve some desirable outcome but it also builds capacity of those involved. Fullan (2008) in Branson (2010) noted that building the capacity of each person involved in the change process is about being concerned with competencies, resources and motivation.

**Major Steps of a Successful Change Initiative**

Each and every change initiative has to go through certain steps or phases during implementation. These steps may help contribute to a successful change initiative, but they can also lead to a failure of the initiative.

1. **Pressure and arousal**; Change as a response to pressures from either external forces such as competitor break through or stakeholder discontent, or internal events such as inter-departmental conflicts, decreased productivity or unrest at the workplace.

2. **Intervention and re-orientation** – This usually involves bringing in a new comer, such as an external consultant, who has a more objective viewpoint. This person usually possesses the skill to re-orient the thinking of top managers, help them to re-focus and re-examine their practices.

3. **Diagnosis and recognition** – the consultant, who more often will be an outsider, helps the organisation to do a better job and identify where the real problem is, as well as the cause of this problem.

4. **Invention and commitment** – effort is to direct to developing more effective solutions to problems, using a shared approach. This approach helps obtain full commitment to the implementation of the new solutions.

5. **Experimentation and search** – Successful change approaches determine the usefulness and success of a suggested solution to a problem before introducing it at large scale.

6. **Reinforcement and Acceptance** – successful change leads to clear improvements in organisational performance. The performance should always be accompanied by support for change from all levels of the organisation undergoing change.

**OTHER FACTORS AFFECTING CHANGE PLANNING AND MANAGEMENT**

There is a dire need to have a transition plan in place to guide the change initiative. It is essential for information to be communicated in a coordinated and consistent manner to avoid unnecessary speculation and anxiety. At times there is need for the leadership to address the media so that the market and other stakeholders appreciate the message directly from the change leadership itself. This will avoid any potential damage.

Many factors affect change planning and implementation, and include psychological causes such as:
• Lack of appreciation or tolerance
• Conflict between employees and management
• Fear of the unknown resulting from uncertain outcomes of the change
• Lack of trust in others
• Need for security
• Desire to maintain status quo

Hargreaves (2004) in Branson (2010:14-15) argues that “change and emotion are inseparable. Each implicates the other. There is no human change without emotion and there is no emotion that does not embody a momentary or momentous process of change.”

STAFF SELECTION FOR A TRANSITION
Many change initiatives will always come with their own structures. There should be profiles developed to populate the structures with the right people or staff. However, it is highly possible that some of the existing staff may not fit in the new structure due to a mismatch between their profiles and the newly developed structure. The change leadership should here decide to re-position people by re-training or re-deployment. After this has been done, it is also possible that other staff members may still be left out. This will leave the change leadership with no option but to retrench such staff members. It is for this reason that staff should always be informed of whatever change that is expected to affect them, and they should always be told the truth so that they may always be aware of what to expect.

Employees will always be anxious and will always have questions such as the following;

• Where will I move?
• When will they move me?
• To whom will I report?
• Am I still relevant in the new organisation? Etc.

But as already mentioned, communication can help employees and leadership get closer as they will both be aware of what has happened. Engagement with employees can also ease the tension amongst staff. It is also important to note that change will not always succeed, and change can be both a traumatic and difficult process. However, trauma can greatly be reduced if organisations make attempts to manage change so that it avoids unnecessary instability in the organisation.

NEW & EMERGING CHALLENGES NEEDING CHANGE
In this era of global competition and technological innovation change is inevitable and necessary for people and their organisations for them to remain relevant. The
institutions should therefore, do all they can to explain why change is essential and how it is likely to affect people.

Professional development of a cadre will attract more people in the profession. Change should also be geared at attracting more people with the necessary skills to the profession. These people will be willing to articulate and implement the vision and mission of the institution. The good relations brought by this change needs to be nurtured by the leadership to sustain it.

Most careers prepare people for systems that no longer exist, hence leadership needs to bring change about to make employees careers’ relevant. Conditions and strategies should be relevant for people to appreciate the change, and gain capacity to implement this change.

The motivation for change comes from a lot of factors, and the main one for institutions is the dissatisfaction of people. Sources of dissatisfaction are also varied and may include:

- Unhappiness with the performance though there are no clear reasons
- Problems that need solutions for smooth function of the system.

**SUMMARY**

This topic was on strategies for change. It looked at some strategies or factors that could contribute to implementation of a successful change initiative. This topic then looked at some of the steps that may lead to change. From this topic you have also learnt about new and emerging challenges that may need change for the organisation to remain relevant. These were not all discussed here as the expectation is that as a post graduate student you will research thoroughly to get all the necessary information you will need regarding issues discussed in this topic and others.
UNIT SUMMARY

This part concludes our Unit 3, which was on Planning and Managing Change. In this unit you have learnt about the importance of aligning the educational change initiative to the vision. You also studied the differences between the two different types of change; the transformational and operational change. You have learnt that transformational change brings a completely new organisation while operational change mainly gives improvements to an existing service or structure. It is not as intense as transformational change. In Unit 3 you again learnt of the characteristics of a successful change initiative and about the different causes of resistance to change. You learnt that resistance should be embraced as it can help build health organisations. You also learnt that there are both enabling and inhibiting factors to change. In this unit you again learnt about the role of the change agent and the leadership in a change initiative. Finally you learnt about evaluating planning and implementation strategies, as well as new and emerging challenges needing change.

Now make sure you do all your reflective activities, journal entries and the assignments as necessary.

Journal Entry

(a) “Resistance can be a resource of change”. Write a journal entry in support or against this statement, giving reasons for your choice.

(b) Which resource do you consider the most important to facilitate effective change? Explain you choice.

ASSIGNMENT

You are a part of an educational change leadership driving change that is at the moment taking place at your institution. Select either a model or a theory to plan this initiative. Your answer may include the following aspects;

Your institution’s vision

Your role

Brief explanation of the change initiative

Your chosen model / theory

Justification of your choice of model / theory

Application of the model / theory to the change initiative.

REFERENCES


http://www.businessballs.com/personalchangeprocess.htm
UNIT 4 - ALIGNING RESOURCES FOR CHANGE

UNIT INTRODUCTION

This is Unit 4 of the Leading Educational Change Module, and it will be on Aligning Resources for Change. Learner, do you know what “to align” means? Discuss this term with your tutor during the tutorial session so that you all have a common understanding of what it means. Like already stated, this unit will be on aligning resources for change and will include both human and non-human resources. This unit will look at all that is necessary to have in place to implement change; such as having the right teams and people in place, having the right structures and infrastructures in place to facilitate smooth introduction of the envisaged change initiative.

UNIT OBJECTIVES

Upon completion of this unit you should be able to:

1. Explain the necessary human dimensions needed for the change process

2. Discuss the different resources needed for change

SUGGESTED READINGS

Your instructor should select and assign the readings you are to complete as part of this unit. Below is a suggested list of books and articles that support the objectives of this unit.


UNIT ASSIGNMENTS

This Unit covers the resources you will need for your change initiative to be a success. Key resources to any initiative are it’s human resources. This Unit has looked in details on successful change and stakeholders needed for a successful change. The Unit assignment will therefore, be around your stakeholders. Read it carefully before attempting it. You only have to answer either A(i) or A(ii), not both - hence use of or, and B. Once you have completed your assignment submit on the day indicated in your delivery schedule to avoid unnecessary loss of marks.
**TOPIC 4.1 - RESOURCES REQUIRED FOR CHANGE**

**INTRODUCTION**
Different change initiatives will need different resources to succeed. For the change initiative to succeed the resources should also be relevant. Having very good resources that are irrelevant to a proposed change initiative is as good as having no resources at all. This topic covers resources required for change. The topic discusses the importance of establishing a change vision, communicating for commitment and creation of an enabling environment. Team building is also emphasised in this topic.

**OBJECTIVES**
Upon completion of this topic you should be able to:

1. identify resources needed for a successful change initiative
2. define “team” in the context of a successful change initiative
3. explain some of the characteristics of effective teams.

**ORDER OF CHANGE**

**First Order Change**
First order change refers to any surface level change that is a response to new ideas. In this level of change the response as well as the new ideas must fit into the current conceptual framework within education. If this is not done, the change is likely to be rejected in favour of maintaining the status quo. It is important to note that first order change does not drive reform as it is only accepted if it is compatible with accepted norms.

**Second Order Change**
This type of change is very close to the reforms and actual change within the field. This change concerns itself with the accepted norms and current conceptual framework but works with those for change rather than change to these norms. The current paradigm is part of the change process, but compatibility with it does not determine the success of change.

Change can occur at different levels, (ie) at local, national, regional and global level. And depending where it is happening, it will need different resources as it will be implemented to address different needs. Change at local level, for instance, addresses the daily needs and realities of education. In other words, the local change is limited to a specific location. This results in change being tailored for the particular community in the specified area for location.

Change priorities have to be identified to ensure that the institution changes to the better (i.e.) attract people, develop staff and reward achievers or performers.
There should be a change strategy in place detailing the change initiative. This change strategy needs to respond to business needs and become a strategic business partner to enable the success of the institutions goals.

Most Organisations will display the following features:

- Consist of different individuals
- Are dynamic
- Have a leader who guides its activities
- Success of organizations is the result of collective effort.

For an institution to appropriately plan for the envisaged change, it has to realign its resources to adequately prepare for the initiative. The above captioned features will help align and put together the necessary resources for change.

**HUMAN DIMENSIONS IN THE CHANGE PROCESS**

*Establishing a change vision* – For a change initiative to succeed, the leadership has to establish a change vision. This will mean creating a compelling and desirable change vision as well as having leaders communicate it with understanding and conviction. This will facilitate easy buy in by staff. The staff should not be too personal with the “what is in it for me” kind of attitude if the vision has been adequately communicated.

*Communicating for commitment* – the change leadership needs to communicate the change vision effectively to all people and solicit feedback from all employees. The leadership should ensure that they communicate for commitment. The change vision should be communicated effectively and appropriately. This should be done across all levels. The change leadership and entire staff should also be able to dialogue – they should be able to get issues and provide feedback to employees or whoever may wish to know anything regarding the change. For employees to trust the change leadership, they should be provided with information that is regular and consistent.

*Facilitating enablement* – this can be done by proactively identifying the barriers to successful implementation and systematically removing barriers. The change leadership should create an enabling environment. This calls them to proactively identify the barriers that can hinder successful implementation of the initiative. If they identify any barriers or challenges, these will need to be systematically removed to allow smooth implementation of the initiative.

**BUILDING TEAMS**

A team is a quality group with clarity of purpose. Having effective teams in place is fundamental to the change management process of any organisation. Effective teams should display characteristics such as the following:

1. **Explicit and shared vision** – it should have common vision and sense of direction.
2. **Situational leadership** – the team is sufficiently mature to base leadership on function and need rather than power and status. They appreciate that skills are more important than hierarchical factors.

3. **Commitment** – there is commitment and sense of pride in team membership.

4. **Clear task** – the outcome that the team is created to achieve is clear, realistic and understood by all team members.

5. **Review** – effective teams learn and develop by a process of continuous feedback and review.

6. **Openness** – the team achieves high level of openness in review and exchange.

7. **Collaboration** – decisions are shared and have full commitment from all the team members.

8. **Action** – quality teams plan together, act together and make things happen!

Other resources needed for successful change:

There is a need to realign the current resources needed for change, including human, physical, monetary etc. If possible, the change leadership should strive to get new resources as needed and as necessary. The existing staff should be trained and developed to empower them. The staff should also be given more responsibilities (capacity building) and there should be a deliberate provision of resources to core business. In resourcing for change, the change leadership has to undertake a drastic advocacy for resources for change. The change leadership has to ensure that current resources are adequately re-allocated to start the change initiative. Then they need to obtain new resources to run with the new initiative. For the change leadership to succeed there should also be political will to buy the process.

As we have already noted, no change initiative can succeed without the necessary resources to facilitate the change. To start with the issue of human resources is very critical. People are needed to drive the change. Teams need to be put in place to provide the necessary leadership and commitment to the change effort. The change agent and the rest of the change champions are needed for the change initiative to have direction and focus. All these human resources come with a huge budget, hence there is a need for political will to help in progressing the envisaged change by approving necessary budgets. Where there is political acumen, the government will be a major role player and even help in the funding of the initiative. There is a need for other resources (non-human) to facilitate the change initiative. Infrastructure and the necessary equipment are key in a change initiative. A fully fledged resource audit needs to be undertaken to help identify all the necessary resources that need to be in place even before the change initiative is started. This is because the absence of any key resource can easily delay or completely stall the implementation of the initiative.
**SUMMARY**

This topic was on aligning resources for change where you learnt that for change to be successfully implemented there should be some resources available to drive its agenda. You have also learnt that it is important to have people or human resources in place for your initiative to be successful. You again learnt that these people will obviously play different roles during this change initiative. There will be champions, there will be stakeholders and other role players. All these people are necessary. In this topic you learnt that for people to succeed in implementing their change, there should be money or funding to drive the change. People alone can do nothing much without a budget committed to the change process. You again learnt of the physical resources such as buildings and technology. These are all necessary for change and the absence of one of them can greatly compromise the success of the change initiative.
TOPIC 4.2 - SUPPORTING CHANGE CHAMPIONS

INTRODUCTION
In Unit 1 we looked in detail into the roles of change champions, who include both the change agents and the leadership. Refresh your memory by going over section 1.1.3 once more. Then continue with this section after reading it.

We have learnt that the change champions or leadership are pioneers of the change initiative. These are the change drivers, but they cannot succeed without the support from the rest of the institution. The leadership or champions can only execute their mandate if they are supported all the way by the organisation. There will of course be cases of sabotage, even from the management. However, such acts will be revealed in the long run. This topic will look into partnership and stakeholder engagement. It will also look into issues of coaching, mentoring and retraining for people to remain relevant in the post-change organisation.

OBJECTIVES
Upon completion of this topic you should be able to:

1. differentiate between stakeholders involved in a change process
2. explain different efforts that can be put in place for people to remain motivated and encouraged to stay in the new organisation

COLLABORATIVE PARTNERSHIPS & STAKEHOLDER ENGAGEMENT
It is important to always define stakeholders critical to a change initiative. Stakeholders can be viewed as individuals, groups or institutions, and can be both internal and external. These individuals, groups or institutions meet some of the criteria below:

- Involved in or impacted by the change initiative
- With direct or indirect interest in the change initiative, or the organisation implementing the change
- Has control over resources associated with the change initiative
- Can hinder the change process
- Has influence on other interested parties.

Change needs to embrace all stakeholders to be successful, including students, in terms of change in an educational institution. Each stakeholder should be shown that their opinions are valued.

When handling change, a leader should consider even the “silent voices”. Most of the time the leadership is only clouded by the “false consensus”. Change of this calibre is in most cases destined to fail. In institutions like schools parents need to be brought on board as they have a great influence in their children. Most parents also have a great expertise to a successful partnership that may go untapped if not involved in
partnerships. Over and above parental involvement, institutions such as schools need to also involve their communities.

**Reflective Activity 4 A**

I would now like you to pause here and reflect briefly on parent and community involvement in your own institution. Do you think these stakeholders are adequately involved?

Discuss this with your tutor during a tutorial session.

For each and every change initiative to succeed there need to be a stakeholder prioritisation map. This will mainly help classify identified stakeholders according to how critical they are to the change initiative.

There are four main types of the stakeholder prioritisation map, mainly to:

1. Involve extensively.
2. Enlist as needed.
3. Address concerns.

Stakeholders in the “Involve Extensively” and “Enlist as Needed” categories have the greatest communication needs as their impact on the project is greatest. The “Address Concerns” and “Keep Informed” categories will need fewer communications. It is important, however, to keep these communications clear and informative, and provided in a timely and scheduled manner. Stakeholders should not be kept guessing on what is happening in the institution.

Stakeholders have to be aware of why the change initiative is being undertaken, understand how they will be involved and benefit before they can accept and be committed to the course.

In analysing or explaining stakeholder involvement in a change initiative there are key words that need to be explained such as:

- **Unaware** – Stakeholder is uninformed of the envisaged change.
- **Aware** – Stakeholder knows about a change but does not know why and how the change will occur.
- **Understanding** – Stakeholder knows the “how and why” but may not fully understand.
- **Acceptance** – Stakeholder understands and welcomes the change initiative.
Commitment – Stakeholder has fully invested in the change initiative and is engaged with the process.

COACHING & MENTORING

The aspect of coaching and mentoring was explained in Unit 3. There was emphasis placed on training and providing guidance and to people for them to remain relevant to the new dispensation. I would now request you to read section 3.7.4 once more to refresh your memory on coaching and mentoring. Once you have done this, you can then proceed with the rest of this section.

There should be scheduled meetings to help the instrumentation undergoing change to review the progress made, and get feedback as necessary from the change team. This will facilitate contributing to the monthly update of the plan as necessary. Bandura (1986), in Armstrong (2004) makes assumptions on how people behave as follows:

- People make conscious choices about their behaviour.
- People are likely to use their environment to inform their choices.
- People’s choices are based on factors such as the following:
  - What is important to them?
  - Views they have about their behaviours
  - Anticipated consequences of their behaviour.

For change leadership, the assumption made by Bandura will then mean that:

- If there is a strong link between a certain behaviour and certain desired outcome, then it is only in order that the behaviour should be encouraged
- The leadership should encourage behaviours that they are more confident with.

To change people’s behaviour the leadership have to do the following:

- Change their working environment.
- Convince them that the new behaviour is something they can do (i.e.) through training.
- Assume then that the change will lead to outcomes they will appreciate.

The leadership has to develop urgency – this involves making people aware of results of not changing, and to also make them aware of the need for them to change. Out of the readiness assessment should come developing urgency. The change leadership has to ensure that a sustained level of effort and energy is achieved. In doing this, people should also be made aware of consequences of failure and of not changing. Hence people should be encouraged to go with the change.
SUMMARY

This topic was on supporting champions. You have learnt that when people are identified as drivers of change they need to be supported. All forms of resources should be availed to allow the champions to succeed. You learnt that there should also be political will to support the change agenda. Over and above these, you have learnt that stakeholders are different and contribute differently to a change initiative. However, there is a need to always keep your stakeholders informed about what is going on in relation to the change that they are supposed to be a part of. You have learnt that as institutions or organisations change, people need to be exposed to some form of re-training for them to remain relevant even in the new dispensation. Finally you studied that people should be mentored and coached as a matter of urgency so that they do not become irrelevant.
UNIT SUMMARY

We have come to the end of Unit 4, which was mainly on aligning resources to implement successful change. The Unit looked at critical aspects one has to put or have in place for the change effort to be implemented successfully, especially the human and non-human resources such as finances, political will, infrastructure and others. From the unit you have learnt that you can have the right human resources in place, but if you do not have funding, infrastructure, equipment etc. to facilitate the change initiative it can never succeed. So one needs to have all the resources necessary for the change to have it successfully implemented. You have also learnt that it is necessary to always have your stakeholders informed of any developments regarding your change initiative. Most important, you have learnt that as institutions change people should not be left behind. They should be re-trained, coached and mentored as a matter of urgency for them to remain relevant.

Now do the reflective activity below and read on for possible feedback points.

Reflective Activity 4B

Reflect upon a change initiative you had experienced that had some barriers. (If you had not experienced one then you can imagine it). How were the barriers to successful implementation removed.

Once you have attempted the activities, discuss them with your classmates and compare your answers.

Possible Feedback to Reflective Activity 4B

- Do not allow red tape
- Active management strategies that engage all staff
- Creation of change management teams
- Instilling positive attitude to the envisaged change
- Shared decision making
- There should be mutual respect
- Motivate for more resources
- Call for technical assistance where necessary.

Assignment

Go through the assignment and remember you have to submit it on the date stipulated in your delivery schedule. Remember it should be between 2 and 3 typed pages, 1.5 spacing and Font 12, Times Roman. Answer both A and B. For A answer either (i) or (ii), not both.
A

(i) Who were the key stakeholders in a change initiative you have been a part of, and why do you think they were identified as key stakeholders? Were you adequately informed and involved during the change? Support your answer.

OR

(ii) Assume you were to be picked as one of the change champions in your institution. Who will you identify as your key stakeholders and why? How will you keep your stakeholders informed and involved during the change initiative? Why do you consider it necessary to have them informed and involved? You must provide adequate support for your answer.

AND

B

Resources are critical for a successful change initiative. Do you agree with the above statement? Explain your answer with examples from a change initiative you have been a part of, or heard about. You may include the following points in your answer:

- your understanding of resources needed for change
- the different resources you consider critical for change
- challenges that the absence of any of your identified resources may present etc.

REFERENCES


UNIT 5 - SURVIVING CHANGE

UNIT INTRODUCTION

This is the last of the 5 units of the Leading Educational Change Module. This chapter will be slightly different from the other 4 units which were mainly introducing you to change management and the different aspects of change. Unit 5, entitled Surviving Change will be about you, as a change leader who would have gone through all the necessary stages that helped you to be the leader you now are. This chapter will look at challenges that a change leader faces and may need to address on a regular basis. It will be looking at a leader who has “survived change”. This unit aims at bringing the leader in you to solve certain challenges that may come as a result of change. Solving such challenges will be evidence that indeed, you are a leader who has survived the change initiative. In this unit you will look at the different strategies to cope with change. You will also look at the guidelines for change management. This unit will again expose you to some issues you will need to be able to do as a “survivor of change” such as conflict management and resolution, as well as handling a crisis situation.

UNIT OBJECTIVES

Upon completion of this unit you should be able to:

1. Provide coping strategies to a change initiative
2. Provide guidelines for sound change management
3. Demonstrate that you are a “change survivor” by efficiently handling issues such as conflict management and conflict resolution
4. Analyse and solve a crisis situation.

SUGGESTED READINGS

Your instructor should select and assign the readings your are to complete as part of this unit. Below is a suggested list of books and articles that support the objectives of this unit.


## Unit Assignments

This Unit will have a reflective activity and an assignment. As a leader you are expected to show that you can rise above conflict and crisis situations in an organisation. The assignment will therefore, be on ability to efficiently manage either a conflict or a crisis situation in your institution or organisation.
**TOPIC 5.1 - STRATEGIES OF COPING WITH CHANGE**

**INTRODUCTION**
For any initiative to succeed there should be strategies in place to facilitate the implementation of the initiative, and for people involved to cope with the initiative. This topic will again look at some strategies of coping with change, as well as guidelines for facilitating and managing change. It will also look at strategies that can help employees cope with change much better.

**OBJECTIVES**
Upon completion of this topic you should be able to:

1. identify some guidelines for facilitating change
2. identify and adopt some strategies to help staff cope better with change

**GUIDELINES FOR FACILITATING CHANGE**
There are some guidelines on how to facilitate change. These guidelines have been developed to make sense to people, and they ensure that:

- Employees see the reason to change
- Employees acknowledge why the change is important and appreciate how it can help them
- People who need to be committed to the change to make it happen are recognised
- A coalition of support is built for the change
- The support of key individuals in the organisation is enlisted (i.e.) staffing, training, appraisal, rewards etc.
- The link between change and other systems is understood
- The systems implications of the change are recognised
- A means of measuring the success of the change is identified
- Plans are made to monitor progress in the implementation of change
- First or initial steps in getting change are recognised
- Plans are made to keep attention focused on the change
- The likely need to adapt the change over time is recognised and plans can readily be made and implemented for such adaptations.
Guidelines for change management include the following:

- The achievement of sustainable change requires strong commitment and visionary leadership from the top
- Understanding the necessary culture of the organisation and the level for change most likely to be effected in the change process
- Those in the change leadership need to possess leadership skills appropriate to the organisation and its change strategies
- It is critical to build an environment conducive for change
- Change programme should be broken down into smaller, more manageable segments for which people can be held accountable
- The reward system should encourage innovation and recognise success in achieving change
- Change will always include both success and failures, and it is upon the organisation to learn from the failures
- It is easier to change behaviour by changing processes, structures and systems than to change attitudes or the corporate culture.

**CHANGE STRATEGIES**

Leaders undergoing change will need to adopt some strategies that can help them cope better with change. The change leaders need, amongst other strategies, to:

- Engage people
- Encourage early success
- Accept and nurture resistance – this may be used to introduce more positive changes
- Evaluation – evaluate the change initiative to facilitate continuous improvement
- Communication – the leader undergoing change should keep her/his staff informed at all times. They will also feel valued and will support the change
- Engage shareholders and stakeholders
- Empower others – this will help eliminate all possible obstacles to change
- Get commitment to change – this is necessary for the change leader as he/she will be sure that he/she leads people he/she can count on for support
• Reward and motivation – as a leader you need to motivate your staff and reward them even if it means writing a congratulatory letter for a job well done.

• As a leader you have to be the change you would want to see in the institution. Lead by example.

**SUMMARY**

This topic discussed the strategies of coping with change. You learnt that to facilitate change smoothly, there should be guidelines in place to ensure smooth facilitation of change. These guidelines need to embrace some few issues such as the need to convince employees of the need to change, building a coalition for support etc. Emphasis on guidelines to change management was also discussed in this chapter and these included building a conducive change environment, need to embrace both successes and failures in change reward system etc. This topic also introduced you to some of the strategies that can be put in place to help people cope better with the change. These strategies include engaging people, encouraging success, accepting resistance etc.
TOPIC 5.2 - CONFLICT SITUATIONS

INTRODUCTION
Conflict is part of progress and change, and should be used constructively. Conflict is bound to happen in institutions as different individuals have different objectives, values and needs. Individual needs may even vary from those of the group. However, it is important to note that conflict may actually be a sign of a healthy organisation. Conflict should be there to allow for issues to be further explored and interrogated in order to have solutions. Conflict, however, becomes helpless if based on personal clashes. Whenever there is a conflict, then the leadership should aim at resolving the conflict. Conflict resolution can be between groups or individuals.

OBJECTIVES
Upon completion of this topic you should be able to:

1. explain what a conflict is
2. explain how you can intervene in a conflict situation
3. discuss characteristics of third parties

SOLVING OR HANDLING GROUP CONFLICT
Conflict, in most cases involves people or group(s) of people. Conflict is normally characterised by friction or disagreement and is caused by many factors that include clashes of ideas between people or groups of people. Conflict is inevitable and can happen every time, anywhere and to anybody. As a change leader you should be able to handle conflict situations. You should be able to mediate between employees with a conflict. However, it is important to note that the leader does not have to be necessarily a lone figure in managing conflict situations; whether affecting her / his organisation or individual employees. A change leader can delegate somebody to manage the conflict situation, or he/she can put together a conflict management team to always intervene as and when necessary.

There are three main ways which can be used to solve group or inter-group conflict. These are:

1. Peaceful co-existence
2. Compromise; and
3. Problem solving.

Peaceful Co-Existence
The intention of this strategy is to iron out the differences between groups and emphasise that aspect which is common between them. People are encouraged to learn to live together. There is information to share and views to be exchanged. Individuals should live peacefully with one another and be able to freely move between
groups. In peaceful co-existence improved communications can be encouraged by management or leadership communication with staff, regarding the “real issues” that bother them most.

Compromise

In a compromise situation the issue is resolved by negotiation or bargaining and neither party wins or loses. The main short coming of the compromise is that real issues are hardly solved.

Problem Solving

In this strategy attempts are made to find a genuine solution to the problem rather than just accommodating different viewpoints.

CONFLICT BETWEEN INDIVIDUALS

Many people view this conflict as more difficult to solve than group conflicts. The main contention here is that strong personal feelings may be involved. It is important to solve, rather than suppress conflict. It is also important to note the following when dealing with conflict between individuals:

1. In an interpersonal conflict there might be withdrawal of either party. Where there is a winner and a loser, conflict is hardly resolved as it is likely to recur if the loser decides to “fight” again.

2. As a mediator the leader can smooth over the differences and pretend that conflict does not exist, with no attempt made to tackle the root cause of the conflict. Though common in some set ups, this is not a good approach as the issue can recur and the battle will continue where it had “paused”.

3. It is important to bargain to reach a compromise. This will mean both sides preparing to lose as well as win some points. The main aim here is to reach a solution acceptable to both sides.

The main short-coming with compromise and bargaining is that parties do not give negotiations their all as they will be anxiously waiting for acceptance to close the matter by compromising, and not necessarily looking for a sound solution.

Controlling

This is a strategy that can involve preventing interaction, structuring forms of interaction and reducing or changing external pressures. Some aspects of controlling, which a leader may use are discussed below:

1. Preventing interactions – this is a strategy to use when emotions are high. Concerned parties may cool down and consider more constructive approaches.

2. Structuring the forms of interaction – this can be put in place when it is not possible to separate the parties. Ground rules have to be developed to deal with
conflict concerning such behaviours as communicating information or dealing with specific issues.

3. **Personal counselling** – this is an approach which does not address the conflict itself but focuses on how the two people are reacting and relating. The thinking is that people may think of new ways to resolve their conflict. However, personal counselling does not address the root cause of the conflict. The counselling factors do not go deep into the root cause of the conflict. This is, however, taken care of by constructive confrontation.

4. **Constructive confrontation** – this is a method of bringing the individuals in conflict together, usually with a third party whose function will be to help build an exploratory and co-operative climate. Constructive confrontation aims at getting the parties involved to understand and explore the other’s perceptions and feelings. Constructive confrontation helps develop mutual understanding to produce a win/win situation. Issues will be looked at with help of the third person. The facts about the situation and behaviours of those involved will also be assessed, with reference to specific events and behaviours as opposed to inferences or speculations.

**CHARACTERISTICS OF THIRD PARTIES**

Third parties need to lead the establishment of ground rules which should be laid down to minimise any hostile behaviour. The third party also needs to monitor how negative feelings are expressed to help drive towards new motives to reach a common solution. The third parties have to be very careful not to take sides, or appear to be taking sides.

Third parties need to have characteristics of a counsellor such as the following:

- Active listener
- Good observer
- Able to help people understand problems at hand by asking open-ended questions
- Recognise feelings and allow them to be expressed
- Help people define problems for themselves
- Encourage people to explore alternative solutions
- Encourage people to develop their own implementation plans, yet providing advice and help when required.

**SUMMARY**

This topic introduced you to conflict situations. You learnt that a conflict is normally characterised by friction or disagreement and is caused by many factors that include clashes of ideas between people. This topic also explained strategies of solving or
handling a group of people. The topic has exposed you to characteristics of third parties which include being a good observer and an active listener, amongst others.
**TOPIC 5.3 - MANAGING A CRISIS**

**INTRODUCTION**
Crisis management is a term coined during the Cuban Missile crisis by Robert McNamara when he argued that “there is no longer any such thing as strategy, only crisis management,” Armstrong (2004). It is very much about analysing other people’s motives, intention and responding to them accordingly.

**OBJECTIVES**
Upon completion of this topic you should be able to:

1. define a “crisis”
2. explain what crisis management is
3. discuss possible causes of a crisis
4. explain how a leader should respond to a crisis situation
5. discuss some of the qualities of a crisis manager

**WHAT IS CRISIS MANAGEMENT?**
A crisis is an event that may lead to unstable conditions or situations. Crisis management, therefore, is something that happens in any institution where a pressure of issues forces management of the leadership into making urgent decisions. Armstrong (2004:153) defines crisis management as “the process of dealing with pressurised situation in a way that plans, organises, directs and controls a number of inter-related operations and guides the decision-making process of those in charge to a rapid but unhurried resolution of the acute problems faced by the organisation”.

**Causes of a Crisis**
A crisis situation can be caused by both human actions and natural disaster. Crisis caused by human actions can also be accidental. However, other people can just decide to cause chaos to inflict harm to the institution. Bitter people can try to enforce their viewpoint by causing a crisis situation, but it can also be accidental when caused by genuine misjudgement of certain issues. There are usually signs of a crisis before the crisis itself if it is deliberate, (ie) talk of strikes, petitions etc. Leadership has to be on top of issues to be able to contain such situations. It has to keep cool and maintain confidence. Those around the leadership will be confident that it is indeed in control of the crisis situation. The leadership should give a deliberate impression that they are taking things easy even when they know they are working at high speed.

**RESPONDING TO A CRISIS SITUATION**
Change leadership should always be aware of emergencies that may occur during transformations. These include things such as a crisis. The change leadership should always be alert so that in case things like crisis happen they can be able to handle and adequately manage them. Even if the leadership can be careful to avoid a crisis
situation, it can always happen any way. As such, the leadership needs to always have contingency measures to put in place in case of a crisis situation.

If in actual fact a crisis does happen, then there are things that the leadership can enforce or put in place. These include the following:

1. To remain cool and assess the situation. Establish certain facts such as:
   (a) What is exactly taking place?
   (b) Why is it happening?
   (c) What is likely to happen if nothing is done?
   (d) Who is involved? Etc.

2. Come up with a preliminary plan of action, and have a contingency plan in place as well.

3. Have a crisis management team in place and give people emergency authority if need be.

4. Have a crisis management centre where the leadership can meet as and when necessary.

5. Have communications systems to establish at all times what is happening.

6. Eliminate any unnecessary problems as quickly as they emerge.

7. If issues arise, handle them outside a crisis situation.

8. Prepare your detailed plans which should take care of the time-scales, cooling off period, contingency plans etc.

9. Know what is happening on the ground. Ensure that you get information you need fast enough to react at the earliest possible time, but without panicking.

10. Evaluate actions and reactions continuously so that your plan, as the leadership, can be modified swiftly when necessary.

**QUALITIES OF A CRISIS MANAGER**

As a leader, you are a crisis manager of the institution. However, you can delegate a person or a team of people to handle the crisis situation on your behalf whenever needed. You need to be very vigilant when identifying your crisis managers and be watchful on who you pick.

Crisis managers are decisive and react swiftly to challenges. They have rare skills of decision making. The crisis manager should be able to promptly:

- Define the situation
• Specify objectives
• Gather and analyse facts
• Decide and implement on the next cause of action
• Monitor implementation
• Get through crisis stages much faster, using both their experience, leadership qualities and their teams intelligence
• Provide inspiration to their team and encourage their efforts. They give their team(s) confidence
• Keep cool and never panic or over react in a crisis situation. They give the impression that everything is under control and going according to plan even in case of chaos. They are able to thrive even under pressure.

Just like in a conflict situation, the leader needs to be prepared at all times for a crisis situation. A crisis management team, of course led by the leader, needs to be in place. A crisis situation can exist during the change initiative, and can continue to exist even long after the change has taken place. As such, this calls for a leader who will be prepared at all times for any eventuality.

Crisis management is about identifying, studying and forecasting crisis issues and setting ways that would enable the organisation to cope with the crisis. Most institutions nowadays opt for a crisis audit to avoid unnecessary chaos. This involves identifying potential crisis issues, assessing the probability that they will occur and estimating their likely impact. On the basis of this audit, a contingency plan can be developed to take care of any eventuality of a crisis and who will be involved in managing it.

SUMMARY
In this topic you learnt about managing a crisis. You have studied that a crisis may lead to unstable conditions or situations. This topic further explained crisis management as something that can result from pressure of issues. Usually these issues will drive the leadership to make urgent decisions. The topic also touched on a need for the leadership to always be alert to respond to a crisis situation whenever a need arises. Finally the topic shared with you some of the qualities of a crisis manager that include the ability to define crisis situations, gather facts etc.
UNIT SUMMARY

Congratulations! For you have just completed unit 5, which was the last unit for the Leading Educational Change Module. This unit was a reflective one which wanted to share with you some critical aspects and situations you may have to handle as a change leader. The unit also exposed you to coping strategies to change initiatives and you learnt about guidelines for sound change management. You also learnt about conflict management and resolution, as well as leading a crisis situation. You were taught of a leader who should be able to rise above issues and who should lead by example, a leader who portrays the change that he or she wishes to see. This is summed in the definition of leadership, which can simply be defined as the “process where someone inspires, mobilises and organises a group of people to achieve a common goal.” Drum, June 13 2013, Pg 78. Media24WeeklyMagazines, Johannesburg.

Reflective Activity 5A

Discuss some of the strategies leaders and workers undergoing change require in order to cope with change.

Evaluate the effectiveness of those in 2 above in the change in your organisation. Share your thoughts with your peers/classmates once you have completed the tasks.

Journal Entry

Discuss one of the mechanisms of managing or handling either a conflict or crisis situation in an organisation undergoing change. Give examples where appropriate.

REFERENCES


### ASSESSMENTS AND ASSIGNMENT

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**FINAL ASSIGNMENT/MAJOR PROJECT (Sample)**

A final assignment or major project will be assigned by your course tutor / instructor. Your institution will also provide you with a delivery schedule with assignment submission dates. However, below are examples of potential assignments / projects:

1. Prepare a paper of about 4000 words on a change theory / model of your choice. Relate your chosen theory (ies) or model(s) to both your organisation and experience.

2. How have you successfully contributed to, or led change in your institution? Write a paper of about 4000 words and explain issues you had to handle and challenges you experienced. You are also expected to explain how you handled the challenges you faced.
LESSONS LEARNED

Throughout this course, you have been introduced to a number of topics that you will need to consider when leading change, or just being part of a changing environment.

You started off by studying about the change process. You learnt that change is an inevitable process which should be experienced by organisations for them to grow and remain relevant. You also learnt that change can either be evolutionary, spontaneous or planned. While going through this course you again learnt about the change agents and change champions. These are the people who drive and lead the advocacy of the change initiative. You again learnt about factors that can influence change, which we learnt can be either external, internal or having elements of both.

In this course you also studied that:

1. Change is the mark of growth in most institutions. Any change, irrespective of magnitude, affects employees.

2. Change is the only constant process which exists in organisations, and an effective organisation is one that takes deliberate steps to manage change smoothly.

In this Leading Educational Change course you learnt about the different theories and models and how they can be used to facilitate change in different set ups. You were reminded that there are many more other change theories and models, and that you are free to link any other theory to your experience, even those not covered in the course.

In this course you learnt about a very important aspect of Education Change - Planning and Managing Change. Here you learnt about the importance of aligning the educational change initiative to the vision. You also studied the differences between the two different types of change; the transformational and operational change. You have learnt that transformational change brings a completely new organisation while operational change mainly gives improvements to an existing service or structure. It is not as intense as transformational change. This course also exposed you to the characteristics of a successful change initiative and about the different causes of resistance to change. You learnt that resistance should be embraced as it can help build healthy organisations. You again learnt that there are both enabling and inhibiting factors to change. In this course you also learnt about the role of the change agent and the leadership in a change initiative. You further studied about evaluating planning and implementation strategies, as well as new and emerging challenges needing change.

In this course you further read about aligning resources to implement change. This course looked at critical aspects one has to put or have in place for the change effort to be implemented successfully, especially the human and non-human resources such as
finance, political will, infrastructure and others. From this course you have learnt that you can have the right human resources in place, but if you do not have funding, infrastructure, equipment etc. to facilitate the change initiative it can never succeed. So one needs to have all the resources necessary for the change to have it successfully implemented.

This course shared with you some critical aspects and situations you may have to handle as a change leader. It exposed you to coping strategies to change initiatives and you learnt about guidelines for sound change management. You again learnt about conflict management and resolution, as well as leading or managing a crisis situation.

**APPLICATION OF KNOWLEDGE AND SKILL**

As you have progressed through this course, you have continued to develop a knowledge base that will be useful for you as an Educational Change Leader. Through the self-reflection exercises, the journal activities and assignments, you have been able to consider and apply the elements that are important in Leading Educational Change.

See Appendix 1 for a detailed summary of the application and skills.

**COURSE EVALUATION**

Upon completion of your course you are required to complete the Evaluation Form that you received with your course guide. Complete it as requested. This is to improve on the course for the future cohorts. As such your contribution is highly appreciated. Once you have completed the form submit it to your course tutor / instructor.
COURSE APPENDICES

The following appendices have been enclosed in this course for your benefit and use:

- Application of Knowledge and Skill – Appendix 1
- Detailed assignment or activity instructions – Appendix 2
- Course Evaluation – Appendix 3
- Fisher’s Transition Curve – Appendix 4
**Appendix 1 – Application of Knowledge and Skill**

Upon completion of this course Educational leaders must exercise the strategic art of leadership in response to changing educational needs facing communities today and in the future. They must be able to assess the impact of change on their vision and seek to respond effectively to these changes. To do so they must be prepared to demonstrate the following competencies:

1. Change: Setting the direction and sustaining the vision.
2. Change: Establishing a sense of shared purpose.
4. Change: Envisions the future, articulates the steps to achieve success and fosters a genuine commitment amongst partners.
5. Change: Delivers on commitments.
6. Change: Is consistently visible and approachable within the institution.
7. Change: Builds purposeful partnerships to support to the change process.
8. Change: Appreciates respects, affirms and empowers others.
11. Change: Empowers subordinates and peers to guide the change effort.
13. Change: Applies best practices to maximize education system potential.
14. Change: Creates an environment that welcomes change as an opportunity for growth and improvement.

A grounded Educational Change Leader needs to possess the following;

**Knowledge**

A leader has knowledge and understanding of:

1. KN: Local, national and global trends
2. KN: Ways to build, communicate and implement a shared vision
3. KN: Strategic planning processes
4. KN: Ways to communicate within and beyond the organisation
5. KN: New technologies, their use and impact
6. KN: Leading change, creativity and innovation

**Skills**

A leader is able to:

1. SK: Think strategically and build and communicate a coherent vision in a range of compelling ways
2. SK: Inspire, challenge, motivate and empower others to carry the vision forward
3. SK: Model the values and vision of the educational organisation.
4. SK: Actively engage the diverse community, through outreach, to build relationships and alliances.

**Attitudes**

A leader demonstrates:

1. Attitude: Commitment to setting goals that are not only ambitious and challenging, but also realistic and achievable
2. Attitude: A belief that all students can learn
3. Attitude: Commitment to an inclusive, respectful, equitable organisation
APPENDIX 2 – DETAILED ASSIGNMENT / ACTIVITY INSTRUCTIONS

Assessment takes the form of responding to activities, as well as written assignments and journal entries as determined from time-time by the institution. To capture the output from the reflective questions and activities you are asked to keep a personal journal. At the end of the course the personal journal will be submitted to your tutor or instructor for feedback and grading. Your journal entries should be one and a half to two pages; font 12, Times Roman; spacing 1.5 while your assignment should be between two to three pages. Remember that your major assignment will be at the end of the course, after Unit 5. For your reflective activity, you need to do the work on your own and later compare with your classmates or tutor. Otherwise feedback is immediately provided if your are not expected to discuss with your tutor or peers. Upon completion of the Programme you will do Project work / thesis which carries 120 credits.

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APPENDIX 3 – FISHER’S PROCESS OF CHANGE

(Fisher’s Personal Transition Curve)
APPENDIX 4 – COURSE EVALUATION

Course Evaluation for Leading Educational Change Module

You are kindly requested to complete this Course Evaluation Form. The aim is to help the institution improve both the quality of the content as well as the delivery of the programme.

Please make a tick on the space provided:

Question 1 - Material dispatch - Did you receive your materials at enrolment?

☐ Yes - proceed to question 3

☐ No - proceed to Question 2

Question 2 - How long do you have to wait to get the rest of the materials?

☐ Less than 14 days

☐ 15 - 30 days

☐ 31 - 60 days

☐ More than 60 days

Question 3 – Were you provided with a reading list to facilitate extensive reading on the course?

☐ Yes - Proceed to question 11

☐ No - proceed to Question 12

Question 4 - Does your course manual encourage independent learning?

☐ Yes

☐ No

☐ Other: ...................
**Question 5 - Study Materials**

Rate the following statements about your study materials.

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I feel isolated and in need of more help when studying with my course materials:

1. Strongly Agree
2. Agree
3. Undecided
4. Disagree
5. Strongly Disagree

The content is relevant to my work:

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2. Agree
3. Undecided
4. Disagree
5. Strongly Disagree

**Question 6 - Factors Enhancing Understanding Rate:**

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The extent to which you use the following interventions:

**Question 7 - What do you can be done to improve the quality of the Leading Educational Change Course content? Write you suggestion below:**

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Question 8 What do you think needs to be done to improve the delivery of the Leading Educational Change Course? Write you suggestion below:

Thank you for your time.