NHS
East London
NHS Foundation Trust

Management of Staff Affected by Change Policy and Procedure

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Services	Applicable
Trustwide	X
Mental Health and LD	
Community Health Services	

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Contents

1. Introduction

1.1. East London NHS Foundation Trust (hereinafter referred to as the ‘Trust’) actively manages its services and recognises that in order to provide the best possible services to our service users, changing the way we operate may be required. The Trust is committed to maintaining job security and workforce stability and will, wherever possible, seek to avoid compulsory redundancies by measures such as recruitment constraints, redeployment, early retirement and natural turnover. Compulsory redundancies will only be considered when all other options have been expired.

This document has been developed so as to provide a unified approach to the issue of major organisational change across all ELFT directorates. “Major organisational changes” will include the reorganisation, relocation, merger, expansion or closure of a service, competitive tendering or outsourcing, and transfers in to or out of the Organisation under TUPE Legislation (transfer of Undertaking Protection of Employment) or a major change in working practice. All such changes will be conducted in accordance with this document which incorporates best practice and legal requirements and aims to provide a framework for common understanding for managers, staff and trade unions.

2. Purpose

2.1. The purpose of this document is to set out the Trust’s approach to the management of organisational change and the procedures that should be followed by managers wishing to implement change within their team/department.

2.2. This document will also set out the impact that change can have on staff. A Change Management Policy Toolkit has been created to assist in managing the process of change within ELFT.

2.3.1 The principles and procedures support the aim of managing strategic and operational change in a way that is both supportive to staff and enhances the provision of the highest quality provision of patient care.

3. Scope

This document applies to all staff employed by the Trust on a substantive or fixed term contract and will be applied consistently and equitably to all staff. This policy does not apply to staff who are employed on the bank.

Individual changes initiated by individual members of staff (e.g. a flexible working request) are covered by other relevant ELFT policies.

4. Definitions

Organisation Change is defined as a structural or organisational change in the way services within the Trust are organised, which may have significant changes for staff as an impact on their employment, changes in duties, hours, location, pay and conditions of service or roles and responsibilities within the Trust, and hence to their contracts of employment inclusive of their job description.

For the purpose of applying the provisions contained in this document, the following definitions shall have the following meanings:

Continuous service means full or part time employment with the Trust or any previous NHS employer provided there has not been a break for more than one week between employments. This reflects the provisions of the Employment Rights Act 1996 and Agenda for Change Handbook (where applicable) on continuous employment.

ODT means Organisational Development Team that is part of the People and Culture Corporate Directorate. The purpose of OD is to improve involvement and support for people experiencing change and to develop people capacity to contribute towards improvement and value. The team consists of OD practitioners that act as helpers in the system, as third-party change agents.

P&C means People & Culture that is part of the Corporate Directorate of the Trust. P&C is responsible for helping the organisation deliver its corporate strategy and objectives by effectively recruiting, developing people and maximising learning opportunities for all staff.

Reckonable Service means Continuous Service plus any service with a previous NHS employer where there has been a break of 12 months or less. At the Trust's discretion any period of employment outside the NHS which is relevant to NHS employment may be counted as Reckonable Service. This shall include where an NHS employee has been TUPEd to a non-NHS employer.

Redeployment means the transferring or recruitment of Staff at Risk into a suitable alternative post.

Redundancy arises when an employee is dismissed, for which the reason will be 'dismissal by redundancy if it is mainly or wholly attributable to one of the following:

- where the Trust has ceased, or intends to cease, to carry on the activity for the purposes of which the individual was employed, or has ceased, or intends to cease, to carry out the activity in the place where the individual was employed

OR

- where the requirements of the Trust for staff to carry out work of a particular kind in the place where they were so employed, have ceased or diminished or are expected to cease or diminish'.

Ring-fencing means the process by which Staff at Risk will be considered for a post in a new staffing or management structure which is similar to their current post and where there is more than one contender for that post.

Slotting In means the process by which Staff at Risk are confirmed into a post in a new staffing or management structure which is similar to their current post and where that individual is the only contender for that post. Slotting in may occur where a post is in the same band as the individual's current post or where it remains substantially the same (70%) with regard to job content, responsibility, grade, status and requirements for skills, knowledge and experience.

Staff at Risk means staff whose posts may potentially be redundant as a result of organisational change if suitable alternative employment cannot be found.

Staffside means the trade unions (e.g. Unison and Unite and professional bodies (e.g. BMA and RCN) recognised by the Trust as representing its staff.

Suitable Alternative Employment Section 141 of the Employment Rights Act 1996 governs the rules on suitable alternative offers of employment in relation to redundancies. The legal framework establishes the duty on employers to take reasonable steps to find,
where possible, suitable alternative employment for affected staff. Whether a job is 'suitable alternative employment' depends on several things including:

- how close the work is to current job
- the terms of the job being offered
- skills, abilities and circumstances in relation to the job
- pay (including benefits), status, hours and location of the job

The question of suitable alternative employment should be determined on a case-by-case basis.
Staff may be given the option to consider posts at a lower band if appropriate and this should be determined on a case by case basis.

TUPE means the transfer of an employee and their post to another employer in accordance with the Transfer of Undertaking (Protection of Employment) Regulations 2006 as amended. This applies where the provision of a service changes from one organisation to another.

5. Duties and responsibilities

Staff are central to the achievement and success of organisational change, as well as crucial to the delivery of the Trust's service. The Trust acknowledges that change can cause considerable stress and uncertainty for some staff and should therefore, be evidence-based, managed fairly and consistently in accordance with established good practice.

During the organisation change process, the following roles and responsibilities will be expected of the individuals outlined below.

5.1. **The Chief Executive and Executive Director**

The Chief Executive and Executive Directors Supported by People and Culture, shall ensure that:

- the proposed restructure is in line with the principles, aims and objectives of the Trust, including staff wellbeing, staff retention and recruitment, multidisciplinary team working, and staff with the diverse skills, knowledge and experience to provide an efficient high standard of service for service users and other stakeholders.

- the rationale, benefits and evidence for the proposed restructure (e.g. findings of a Quality Improvement (QI) Project) is clearly provided and communicated, and justifies the inevitable of the negative impacts it would have (e.g. job insecurity, loss of experienced staff, established networks and contacts, established systems and organisational memory) and is supported by Staffside. On that basis, they shall determine whether or not the proposed restructure should be abandoned, revised or proceed.

- the restructure is not --
  - actually, motivated to remove one or more members of staff
  - part of a pattern of bullying and harassing staff, or the cause of demoralisation and a feeling of not being appreciated and disrespected
  - going to cause one or more staff being overloaded with work
  - senior staff being made to self-service and have to undertake work that could more cost effectively be undertaken by more junior staff
  - replace senior posts with junior ones attracting staff lacking the skills, experience, knowledge and authority to have the influence necessary to meet/achieve the Trust's and service's needs/objectives
  - create low band posts that fail to attract the quality of staff needed to perform the required tasks effectively and efficiently.

  - the trade union representatives' line managers are free to attend meetings associated with the application of this Policy including during working hours, and, if necessary, are provided the means to find cover for those trade union representatives
  - relative importance is assessed in the context of competing pressures as with the pandemic (where relevant).

5.2. **Director of the Directorate undertaking the management of change**

- Shall be responsible for the effective implementation of this policy within their Directorate.
- relative importance is assessed in the context of competing pressures as with the pandemic (where relevant).

5.3. **Departmental and local management**

- If initiating the restructure, identify the need for restructuring, explore alternative options, the evidence for the proposed restructure, best practice in other organisations, and make a case for the restructure.
- Ensure that the proposal minimises negative impacts on staff and service users.
- Develop and write the consultation paper, action plans and any associated documentation that is required for the proposed changes (e.g. Job Descriptions, Template letters, Equality Impact Assessment Form).
- Ensure that no member of staff is discriminated against on the grounds of ethnic origin, nationality, race, disability, gender, marital or partnership status, age, religion or belief, sexual orientation or transgender status, when applying this policy.
- Liaise with their local People and Culture Team to ensure the Trust is not opened to claims of bullying or discrimination as a result of a change management process and/or the restructure.
- Involve Staffside representatives early and at each stage of the process to ensure that Staffside support the proposed restructure.
- Involve service user representative(s) to help ensure the restructure has minimal negative impact on service users.
- Engage the OD Team at all stages of the consultation process, as early as possible, to appraise the impact of the change.
- Work with P&C and staffside to minimise any adverse impact on staff by appropriate use of natural turnover
- Maintain regular communication with all staff involved and union representatives and professional organisations as recognised by ELFT
- Ensure comments/recommendations are considered together with Staffside and responded to at the formal consultation stage
- Once the Trust has ratified the restructure, inform all the relevant stakeholders of the intended changes
- In conjunction with People and Culture, provide an impact assessment at 3 and 6 months. An AAR to determine if the exercise met the objective and what the impact on staff was.

5.4. **People & Culture**

- Ensure overall adherence to the agreed policy and procedures
- Ensure that the deletion of posts, and the placing at risk of the post holders is not being used as a substitute for the application of the disciplinary or capability policies.
- Ensure that this policy is not being used as a means to bully, harass, or victimise staff.
- Ensure that this policy is not being applied to staff as a result of their age, disability, ethnicity or because of personality or cultural clashes.
- Compile, monitor and maintain the required workforce information
- Provide advice and support to staff and on the process
- Provide support to the OD Team in appraising the impact of change on team/service

- Provide support and guidance to managers in their decisions with individual staff members and trade union representatives throughout the process
- Regularly and systematically view details of current vacancies and identify suitable vacancies for staff selected for redundancy or staff who have been redeployed and are receiving pay protection.

5.5. **Trade unions Representatives**

- Be consulted at all stages.
- Play a role in advising and representing staff undergoing organisational change
- Participate and work in partnership in the formulation of options and proposals
- Be involved in consultation of any proposed changes
- Negotiate and agree with management the final restructure
- Contribute to the development of action plans and relevant documentation
- Advise and support staff collectively and their members individually as appropriate throughout the various stages of the organisational change process.

5.6. **All Staff**

- Continue to undertake their existing role throughout the process including, if appropriate, the transition to the new structure
- May play an active role during the pre-consultation and consultation stages
- May consider the consultation paper and provide comments and views throughout the process
- Where posts are disestablished positively consider that they engage with the redeployment process, particularly in identifying new career opportunities and preparing for interviews and selection processes.

6. THE PROCEDURE

6.1. **Consultation**

In accordance with legislation and the partnership working principles of the NHS, the Trust commits itself to meaningful and appropriate consultation with trade unions, professional bodies and staff affected by the organisational change with a view to reaching agreement on the way forward.

Consultation involves taking account of, as well as listening to, the views of employees and must therefore take place before final decisions are made. Going through the motions of consulting on the proposed restructure and associated issues that have consciously or unconsciously been decided in the mind of the manager leading on the restructure is unproductive and engenders suspicion and mistrust about the process amongst staff.

The purpose of consultation meetings and communication with trade unions and staff will be:

- to receive and where possible address any questions on the proposals for change (as set out in a formal consultation document once formal consultation has commenced)
- to fully consider any comments or views on the proposals for change including any alternative proposals and costings (which the Trust shall as far as practicable make available) before agreeing the new structure and when and how to proceed.
- to agree any change processes and timeframes specific to the proposed organisational change exercise under discussion.

6.2. Informal Consultation with staff, trade unions and Organisational Development Team

Early informal consultation with trade unions and staff should be used to ensure that views and suggestions are taken into account at the formative, engagement and design stage. This is also known as pre-consultation. Where possible a QI approach should be considered, to provide evidence for ways of working that have restructural implications. Meaningful pre-consultation often leads to an agreed shorter formal consultation time and greater staff satisfaction with the process. It is important to include colleagues in decision-making and listen to their feedback every step of the way. This will help to collectively shape what the 'new' may look like as well as help transition and settle once the 'new' is implemented.

The formal consultation process may not go ahead if the informal proposal consultation engagement was a success. In the spirit of partnership working we would encourage Staffside colleagues to participate in informal consultation discussions and evidence of successful informal consultation should be kept on file.

Involvement with the Organisational Development Team is an important part of informal consultation as there is a need to consider behavioural science to organisational and system issues to align strategy and capability. The roots of OD are based on humanistic values and principles of social justice, equality, participation and democracy and the people who make up organisations are the ones who make change happen. The OD team will ensure that respect, inclusion, collaboration, authenticity, self-awareness and empowerment has been considered within a change process. OD will support leaders in leading those affected by change and provide OD support by designing and delivering bespoke OD interventions at different stages and cater for different needs. A Change Management Toolkit to assist in managing change can be found in Appendix 7.

6.3. **Formal Consultation with the trade unions**

Formal consultation with the trade unions will commence once any informal comments have been considered and the consultation document has been finalised. This will take the form of:

- ongoing discussions with the local accredited representatives
- trade unions and professional associations representing staff affected by the change should be invited to the first meeting with all affected staff and given reasonable notice to attend; if none of the staff effected are members of one of a recognised trade union or professional association, Staff-side shall be invited to the meeting

In a redundancy scenario, the information provided in writing to the trade unions and professional associations shall include the following:

- the numbers and descriptions of employees whom it is proposed to dismiss as redundant
- the total number of employees of any such description employed by the Trust at the establishment in question
- the proposed method of selecting employees who may be dismissed
- the proposed method of carrying out the dismissals, with due regard to any agreed procedure, including the period over which the dismissals are to take effect
- the proposed method of calculating the amount of any redundancy payments to be made (over and above the statutory redundancy payment) to employees who may be dismissed.

During a period of change, management will ensure that trade unions are kept informed of developments and will meet with the trade unions as appropriate.

6.4. **Consultation with individual staff**

A meeting will be held with all staff affected by the organisational change to announce the proposed change and explain the consultation process which will follow.

Each member of staff affected by the organisational change will be provided with a copy of the consultation document. Staff who are absent from work for any reason including career breaks will be sent a copy of the consultation document at their home address/other suitable address so that they can participate in the consultation process.

Each member of staff will be offered the opportunity of at least one individual meeting with their manager at which they have the right to be accompanied by a trade union representative or workplace colleague. P&C advisory support will also be offered.

At the meeting, each member of staff will be invited to comment and respond to the proposals, including how they may impact on their personal circumstances. It is recognised that staff may require time to respond and may not be able to do so at that particular meeting.

A written record of the individual meetings will be kept and provided to the employee and their trade union representative where applicable. The record will be a note of the main points discussed at the meeting, not verbatim notes.

Regular updates and frequently asked questions may be circulated to staff throughout the formal consultation period. Throughout this period staff should be encouraged to discuss their concerns and queries with their line manager and trade union.

In addition to the individual consultation meetings, staff can be kept informed by management, team meetings, trade union meetings, email and other written communication and information supplied by the trade unions.

6.5. **Time periods for consultation**

In all cases the Trust will allow sufficient time for meaningful consultation with staff and their representatives. In exceptional circumstances where changes need to be made very quickly, the trade unions will be briefed immediately, and the verbal briefing will be followed by a written brief.

In a collective redundancy scenario, consultation will continue for a period of no less than the statutory time scales:

- where 20-99 redundancies are proposed consultation should commence at least 30 days before the first redundancy takes place

- where 100 or more redundancies are proposed then consultation should commence at least 45 days before the first redundancy takes place.
- When it is proposed to make fewer than 20 employees redundant, consultation will usually be over a 30-day period following the issue of the consultation document.

The consultation period for any proposal, which does not involve redundancy will be over a 30 days period and will allow for proper consideration of comments from affected staff and their representatives.

Trade unions and staff may request addition information or an extension of time of this is necessary to enable them to understand and contribute to an informed discussion on the merits of the proposal. Such requests will not unreasonably be refused, and where they cannot be accommodated a reason will be given.

In the event of large-scale change requiring a 45-day consultation process, the Trust and the trade union representatives should consider the pros and cons of extending the consultation. Factors to be considered will be as follows:

- Reasons put forward by either party for an extension beyond 45 days, particularly in relation to the extent to which original proposals have been revised as a result of the 45 day consultation – for example, changes from the original proposals may require a further short period of consultation.
- The impact of delaying the process on the staff affected and the likelihood of further redundancies being required due to a reduction in predicted savings arising from the proposed changes.
- Any extension to the 45 days consultation period must be agreed by both parties (i.e. staff side and management).

6.6. **End of consultation and reaching agreement**

At the end of the consultation period the manager will give full consideration to all comments received from staff and the trade unions and draft a written report, that should include the job descriptions and agreed banding for the new and altered posts.

Staffside shall either agree the draft report or propose improvements to it. These will then be negotiated between the manager and staff-side representatives. Both parties shall constructively take the other parties and resolve their differences by seeking win-win solutions and/or reasonable compromises.

6.7. **Support for staff**
All staff affected by the organisational change will be encouraged to seek the advice and support of their trade union. Additional support is provided by the Trust and is detailed in Appendix E. (review all appendices)

6.8. **The process for filling posts in the new structure**
There will be three stages in the process for filling posts in a new structure:

- Stage One takes place amongst the staff that are affected by the change. Posts in the new structure are filled either by Slotting In or by Ringfencing.
- Stage Two takes place amongst staff that are on fixed-term contracts, internal secondments or acting up and will be affected by the change. Posts in the new structure are filled either by Slotting In or by Ringfencing. Staff on fixed term contracts that have exceeded two years in post will be considered as a substantive member of staff.
- Stage Three is where wider competition takes place for any posts that remain vacant in the new structure following Slotting In or Ring fencing. The post can then be opened up to access by any Staff at Risk employed by the Trust for whom the post is considered Suitable alternative employment or to open competition internally and externally, in line with the normal recruitment process, where there are no such applicants.

The three stages may run in parallel, but all reasonably practicable steps will be taken to avoid compulsory redundancies. Job descriptions and person specifications will be produced and banded for new and altered posts and these will be made available and banded during the consultation period. The banding process shall involve trade union representatives and comply with national guidance. Jobs will be matched or evaluated in accordance with applicable national or local systems.

Selection criteria for all posts in the new structure (whether or not there is competition) must be non-discriminatory, fair, objective, clearly defined and based on the skills and competency requirements of the post. The selection criteria must be made available with the consultation document. Reasonable adjustments should be applied where necessary for staff who declare a disability in accordance with the Trust's recruitment policy.

Staff who are offered posts during Stage One, Two or Three will be deemed to have been offered suitable alternative employment by the Trust. This will be confirmed in writing by the manager. This is on the basis that if staff are Slotted In or offered Ring fenced posts it will be assumed that the posts offered are suitable alternative employment and hence the consequences of refusing to accept these posts will be as per refusing suitable alternative employment.

Any member of staff who is not appointed to a post in the new structure will be offered post-interview feedback, coaching or training where appropriate may have recourse to the Trust's appeal procedure.

6.9. **Redeployment and Staff At Risk**

A member who is not appointed to a post in the new structure or where a service or unit is closing, will be placed at risk and given notice of redundancy in line with their contract of employment. They will remain on the redeployment list to be considered for suitable alternative employment until their final day of service.

Section 141 of the Employment Rights Act 1996 governs the rules on suitable alternative offers of employment in relation to redundancies. The legal framework establishes the duty on employers to take reasonable steps to find, where possible, suitable alternative employment for affected staff. Whether a job is 'suitable alternative employment' depends on several things including:

- how close the work is to current job
- the terms of the job being offered
- skills, abilities and circumstances in relation to the job
- pay (including benefits), status, hours and location of the job

The question of suitable alternative employment should be determined on a case-by-case basis.

6.10. **Other measures to avoid compulsory redundancies**

The completion of the implementation of change shall by default be to avoid compulsory redundancies wherever possible

A Mutually Agreed Resignation Scheme (MARS) is a form of voluntary severance, designed to enable individual employees, in agreement with their employer to choose to leave their employment voluntarily in return for severance pay as agreed by national Terms & Conditions. The scheme supports employers by creating job vacancies that can be filled by redeployment of staff from other jobs or as a suitable alternative for those facing redundancy. This scheme will only be considered in situations of large-scale change and the eligibility criteria will require prior approval by Trust Executive.

7.0 Redundancy arrangements

A member of Staff at risk will have their contract of employment terminated on the grounds of redundancy if no Suitable alternative employment can be found or if a trial period is unsuccessful. The terms under which a redundancy payment and/or early retirement are payable are summarised in The Change Management Policy Appendices (Appendix 5) check appendices and circulate.

7.1. **Support for staff**

All staff affected by the organisational change will be encouraged to seek the advice and support of their trade union. Relevant support will be provided by the Trust and may include:

- help with the production of CVs/application forms (including assistance with using TRAC).
- help with preparation for interviews and careers advice.
- support in developing coping strategies and stress management, with support of the counselling service.
- time to meet with recognised trade union representatives to discuss the change.
- further assistance to staff who are at risk of redundancy will include reasonable time off to seek other employment or undertake training.
- placement on the Trust's at risk register.

Even after the change has taken place, the Trust acknowledges that staff may take some time to adjust to the change itself. Managers should remain available to staff to manage any issues that arise and support staff through the transition.

7.2. **Trial periods and training**

Employees who are offered a post as alternative employment are entitled to a four-week trial period. The trial period will commence as soon as possible and no later than the end of the previous contract. Near the end of the trial period, there will be a joint assessment (by the Manager and employee concerned) as to whether or not the post is suitable. Following this:

- the new post will be confirmed as substantive, OR
- the trial period may be extended if the need for further retraining is identified which would help the employee achieve the desired performance standard, OR
- if the post is unsuitable, further employment may be sought until the end of their notice, OR
- The individual will be made redundant.

If the manager and/or the employee determine that the post is not suitable the employee may be treated as having been dismissed when the original contract came to an end. The notice period and the trial period will be taken as having run concurrently. If the new job was deemed as suitable alternative employment and the employee acts unreasonably in leaving it, they will not be entitled to redundancy payment.

If a new post attracts a lower salary, the employee will continue to be paid at the old salary until the end of the trial period. The additional cost will be borne by the department from which the employee is redeployed.

7.3. Change of location

If, as a result of organisational change, there is a requirement to move staff from their normal place of work to another location within the Trust and this results in increased travel costs to and from work, staff may be reimbursed their extra daily travelling expenses in accordance with the Trust's *Expenses Policy and Procedure.*

For further information, please refer to Part 3, Section 17.3 of *Agenda for Change: NHS Terms and Conditions of Service Handbook.*

7.4. Protection arrangements

The *Protection of Pay and Conditions Policy and Procedure* is in place in order to support staff who, as a result of organisational change, are required to move to a new post which would entail a reduction of earnings and certain terms and conditions of employment.

These arrangements provide for:

- **short term protection** of certain conditions of employment where they have been a regular requirement of the previous post, e.g. overtime, shift work, hours of work, annual leave
- **long term protection** of basic pay, including high cost area supplement.

8. TUPE

Pay protection will apply for the agreed periods as set out in the *Protection of Pay and Conditions Policy and Procedure* or until the member of staff moves voluntarily to a new post with **TUPE**

8.1 Transfers of services and staff

Where there is a proposal to transfer services and staff to a different employer, there will be consultation with the trade unions at the earliest opportunity. This will be a minimum of 30 days (unless otherwise agreed) and where 100 or more staff are affected will be 45 days where reasonably practicable.

When services are transferred from one organisation to another in line with TUPE or by virtue of a Transfer Order under the relevant NHS legislation, which mirrors TUPE, the employment of staff who are assigned to the services which are being transferred will transfer to the new organisation. TUPE applies in contracting out scenarios, retendering, where services are brought back into the NHS, and in relation to the transfer of undertakings.

All the terms and conditions within the transferring employee's contract of employment (including contractual policies and procedures) will transfer with them and should not be changed as a consequence of the transfer.

In some limited circumstances, the supervision and management responsibility of staff (but not their employment) may be transferred to another organisation under what is known as the Retention of Employment (ROE) model. This model applies almost exclusively in relation to PFI Schemes where catering, security, portering, cleaning and laundry services are affected. Under this model, staff will be seconded from the NHS (under the auspices of the Community Care Act 1990) to work for the Private Service Provider. The terms of the secondment agreement will be reviewed and agreed with the staff who will be affected. Following publication of The National Health Service Pension Scheme (Amendment) Regulations 2014 the Department of Health has committed to the phasing out of ROE. It is therefore the general expectation that ROE should not ordinarily be available in relation to future transfers.

Where staff have responsibilities spanning more than one NHS organisation or more than one service, discussions will take place with the individual, their trade union representative and the organisations concerned to determine how best their continuing employment should be managed. The options in this situation might be that the individual will transfer to one organisation with an agreement to provide services to the other(s), or have more than one contract of employment, or, in exceptional circumstances, to be declared at risk.

In all of these circumstances, for the purposes of the consultation that will be carried out, the manager will identify the services, posts and individual staff that will transfer or be affected in accordance with the obligations of TUPE or under the ROE (secondment) model and shall write to the staff affected and the trade unions informing them of the intention that staff will transfer, the implications of the transfer and any measures which will be taken in connection with the transfer.

The manager will then hold one-to-one meetings with individual staff and their trade union representative to discuss the implications of the transfer, measures to be taken in connection with the transfer, answer any concerns or queries, discuss possible options if appropriate and consider personal circumstances. These discussions will be documented and confirmed in writing. Every possible support will be given to staff to understand the reasons for and implications of the transfer and to ensure they have the necessary information with which to prepare themselves.

Formal notice of a transfer will be issued as long before the date of the transfer as possible in order to comply with the obligations of TUPE and this policy. The Trust will make every effort to give up to 3 months' notice of a transfer, where possible. Where 3 months' notice is not possible because, for example, of the timing of external announcements, or decisions of approval, a shorter notice period will be provided after consultation with the joint consultation committee**.**

9. APPEALS, COMPLAINTS AND JOINT AGREEMENTS

Appeals against the selection criteria for redundancy or the decision to dismiss an employee by reason of redundancy will be heard in accordance with the Trust's *Appeals Procedure*. The decision of the Appeal panel will be final and there will be no further opportunity for recourse to the Grievance Procedure.

In the event of a complaint about misapplication of the *Change Management Principles and Procedures*, which is not covered in paragraph 24.1, this will be dealt with in accordance with the Trust's Grievance Procedure.

10. REFERENCES

NHS Terms and Conditions of Service Handbook

Employment Rights on the Transfer of Undertaking: A guide to the 2006 TUPE Regulations as amended by the Collective Redundancies and Transfer of Undertakings (Protection of Employment) (Amendment Regulations 2014) for employees, employers and representatives.

11. ASSOCIATED DOCUMENTS check documents

- Protection arrangements
- Appeals procedure
- Expenses Policy and Procedure
- Template business case
- Template letters etc
- Equality impact assessment forms

Change Management Policy Appendices

Appendices Index

Appendix 1

DEFINITIONS

Organisational change means any structural or managerial change in service

'At Risk' of redundancy means that for reasons of organisational change a staff member's continued employment is now uncertain. Staff who are at-risk of redundancy means staff whose posts may potentially be made redundant as a result of organisational change if suitable alternative employment cannot be found.

Continuous Service means full or part time employment with the Trust or any previous NHS employer provided there has not been a break of more than one week (Sunday to Saturday) between employments. This reflects the provisions of the Employment Rights Act 1996 and Agenda for Change handbook (where applicable) on continuous employment.

Pay protection means the protection of pay and terms and conditions applies, subject to certain conditions, to any employee who, as a consequence of organisational change, is required by management to move to a new post. It provides:

- short term protection of earnings
- long term protection of basic wages or salary (excluding any additional payments) where downgrading is involved;

Prior Consideration means that a member of staff who has been placed 'at risk of redundancy' may be considered for vacancies ahead of any other potential internal or external candidates who do not have 'at-risk' status. In this case, the employee will be assessed against the person specification for the role and only in competition with other members of staff who are currently 'at risk'.

Reckonable service - For the purposes of an NHS redundancy payment, which is calculated on the basis of the service up to the date of termination of the contract, reckonable service means continuous fulltime or part-time employment with the present or any previous NHS employer but with the following additions:

- where there has been a break in service of 12 months or less, the period of employment prior to the break will count as reckonable service
- periods of employment as a trainee with a general medical practitioner in accordance with the provisions of the Trainee Practitioner Scheme will count as
- at employer discretion, any period or periods of employment with employers outside the NHS where these are judged to be relevant to NHS employment can be included in reckonable service

When employees who have been transferred out of NHS employment to a non-NHS provider return to NHS employment, their continuous service with a new non-NHS employer providing NHS funded services, will be counted as reckonable in respect of NHS agreements on sick pay, annual leave and incremental credit.

Redeployment means the transferring or recruitment of Staff at Risk into a suitable alternative post.

Redundancy is defined in the Employment Rights Act 1996 as arising when an employee is dismissed because:

- the employer has ceased or intends to cease, to carry on the business for the purposes of which the employee was so employed; or
- the employer has ceased or intends to cease, to carry on the business in the place the employee was so employed; or
- the requirements of the business for employees to carry out work of a particular kind have ceased, diminished or are expected to diminish; or
- the requirements of the business for employees to carry out work of a particular kind, in the place where they were so employed, have ceased, diminished or are expected to diminish.

Redundancy payment will take the form of a lump sum, dependent on the employee's reckonable service at the date of termination of employment and will be calculated according to the latest terms and conditions of the employee.

Ring-fencing means the process by which Staff At Risk will be considered for a post in a new staffing or management structure which is similar to their current post and where there is more than one contender for that post. The term "ring-fence" or "ring-fencing" can be applied either to posts or to employees. When applied to posts, the term is taken to mean that the posts identified have a control placed upon them which allows only certain groups to employees 'at risk' be considered for slotting in or redeployment prior to advertising the posts. When applied to employees, the term is taken to mean that an identified at risk group of employees will be notified of suitable vacancies prior to advertising them.

Slotting In means the process by which Staff at Risk are confirmed into a post in a new staffing or management structure which is similar to their current post and where that individual is the only contender for that post (without having to compete). Slotting in may occur where a post is substantially the same as the individual's current post [margin for local agreement on 75%] with regard to job content, responsibility, grade, status and requirements for skills, knowledge and experience. With regards to slotting in, if there is more than one post-holder but only one post, a competitive interview process will be held to determine who slots into the post.

Suitable alternative employment should be determined by reference to the Employment Rights Acts 1996. In considering whether a post is suitable alternative employment, regard should be had to the personal circumstances of the employee. Employees will however be expected to show some flexibility by adapting their domestic arrangements where possible.

TUPE means the Transfer of Undertaking (Protection of Employment) Regulations 2006. These regulations provide employment rights to employees when their employer changes as a result of a transfer of an undertaking.

Transfer of service/posts from one employing organisation to another. All staff engaged wholly or almost wholly within the service to be transferred to another organisation shall also transfer with the benefit of their existing terms and conditions. This reflects the operation of the provisions of the TUPE Regulations.

TULRCA means the Trade Union and Labour Relations (Consolidation) Act 1992 (as amended)

Appendix 2

Best Practice Guidance on Consulting on an Organisational Change Proposal

The purpose of this document is to provide guidance on the content of organisational change consultation documents as well as planning the process of consultation and pre-consultation by working in partnership with the Trade Unions.

The document includes:

- A consultation checklist of best practice
- Pre consultation planner and checklist
- A template for developing a consultation document, managers are encouraged to amend the template to suit particular circumstances.
- A template document for small consultations affecting fewer than 5 staff members
- A best practice flow chart

Managers are encouraged to discuss draft proposals with staff as part of a Staff Engagement process. This is not part of a formal consultation process but can help prepare the staff for the changes planned. This stage should help address concerns for both parties e.g. the most common complaint from employees and Trade Unions is that they are not kept abreast of the general issues their employer is dealing with and are not consulted at the very first formative stages of proposals. For employers the obligation to consult in enough detail and have some form of proposal on which employees can be consulted upon can inhibit them from entering discussions at the early formative stage. The need for a detailed proposal can also drive a narrowing of the options that can be presented for formal consultation

To implement change however, it will be necessary to develop a formal consultation document and consult on that change. Change which would lead to redundancies is covered by statutory requirements – as set out in the Model pan-London Change policy.

A formal consultation process needs clear proposals that are meaningful and should be shared with Staffside in advance of a final launch in order that they can prepare for supporting their members.

Staffside will maintain appropriate confidentiality during this process prior to final launch, so that staff communication can be consistent and well managed.

Consultation should be launched in a way that involves Staffside at the initial meeting which will then be followed by individual meetings.

Section 1 - Consultation Checklist

Develop change proposal - new structure plus process of filling new posts	• Get advice from your People Business Partner from the start. Remember a redundancy is a reduction in posts. Allow the People Business Partner to review the consultation document to ensure it complies with the Trust's People and Culture policies and contracts. • Involve all relevant stakeholders • Prepare your team for change. Wherever possible develop the proposal with people affected by change • Discuss proposal with trade union colleagues 2 days ahead • Involve your Finance Manager. Find out the recurrent costs for the current and proposed structure. Get approval for the cost of any potential redundancy. • Plan the consultation, implementation and selection process – get the provisional dates organised before the consultation starts.
Write the consultation document	• Use template at appendix 1, section 3 or for consultations affected fewer than 5 staff, members the "small consultation template" at appendix 1, section 4 can be used. • Append new job descriptions, rotas etc. to the consultation paper. Ideally get job descriptions evaluated prior to launching consultation. These do not need to be finalised documents as this is still a consultation process. They need to contain enough information for the staff affected to be able to consider what these changes will mean for them and what their options will be, so that their individual consultation is meaningful to them.
Notify trade union colleagues	• For proposals that will impact on more than 5 staff members the consultation document will need to be presented at the next planned JSC meeting for discussion. For proposals affecting fewer than 5 staff members the consultation document should be circulated to the JSC Chair and Staff side Secretary at least 5 working days before the planned launch date. • Revise consultation document in the light of TU comments as appropriate • Offer meeting with trade union representatives to discuss the proposal if appropriate
Consult	• If less than 20 staff affected, agree the timescale for the consultation • Hold group consultation meeting where there are general issues that apply to all or most people affected by the change. Invite TU representative(s) to the meeting. • Hold individual meetings with all staff affected. Staff can be accompanied by a TU rep or colleague. • Encourage staff to comment on the proposal throughout the consultation period • Keep notes to ensure points can be considered at the end of the consultation
Confirm decision in writing	• Confirm decision and highlight modifications to original proposal • Respond to comments and alternative proposals and where appropriate discuss conflicting views with TU reps. • Set out next steps e.g. meetings to confirm impact on people of change, selection activities.
Selection activities, as appropriate	
Give notice, if appropriate	• Meet affected people to give notice of redundancy or change of grade. • Right to be accompanied and confirmation in writing • Organise appeals if necessary

Section 2 - Pre-consultation planner and checklist

This planner and checklist have been developed to support managers in preparing consultation documents and must be fully completed before the launch of any formal consultation under the trust's Managing Organisational Change Policy.

Timescales for planning

Action	Minimum timescale	Date
Consultation lead to discuss planned change with People BP and draft consultation paper and job descriptions (if applicable)	6 weeks before launch	
Amended or new job descriptions to be submitted for job matching (if applicable). If large scale, more notice may be required.	4 weeks before launch	
Banding of amended or new job descriptions confirmed	2 weeks before launch	
Consultation lead to meet with affected staff informally to advise of planned consultation (pre-consultation)	2 weeks before launch	
Consultation document reviewed against checklist by consultation lead, People BP and Staffside rep	2 weeks before launch	
Any amendments made and pre-consultation checklist signed off	1.5 weeks before launch	
Final consultation document shared with Staffside	1 week before launch	
Affected staff invited to launch meeting	1 week before launch	
Consultation launch (group meeting and distribution of document)	Launch Date	

Pre-consultation checklist (the "Small Consultation Document" may not include every section listed below)

ALL consultation documents should include:	Checklist of actions		
	Yes	No	N/A
The driver/catalyst and rationale for change and the aims or objectives of making the proposed changes.			
Risks involved if aims of consultation are not achieved.			
An outline of the options available for achieving the aim of the proposal; including options considered but not taken forward.			
Identify the expected benefits for stakeholders such as patients, employees and the trust, including any risks, plus how those risks are to be mitigated.			
Assessment of the impact on other services across different sites. Would the proposal prove difficult or have a positive effect on the delivery of other services across the trust.			
All relevant health and safety assessments, if applicable.			
An explanation of how the proposed action differs from what currently exists, including how and why this proposal will be more effective than the current operational situation.			
Outline of the current situation, including current structure, work patterns or practices and terms and conditions.			
The impact of the proposals on employees, including any impact on work patterns, practices or terms and conditions, plus the current and proposed structures (if structural changes are proposed).			
Where job roles are being reviewed or new roles are being identified, relevant job descriptions should be produced by the consultation lead and checked by the People and Culture business partnering team. The appendices should detail: the posts affected, whether these are new jobs or changed jobs.			
In the event of some responsibilities being taken over by another team or department, details of the old department's structure alongside with the new department's structure should be provided to clearly indicate lines of accountability pre and post consultation.			
Detail the number and grades/bands of employees who may be at risk of redundancy as a result of the proposal.			
Outline and explain the way in which employees will be selected for or slotted into posts within the new structure.			

Describe the measures to be taken to avoid compulsory redundancies. These may include natural wastage, redeployment with retraining, or voluntary early retirement.			
Include the proposed timetable and process for consultation and implementation.			
Provide details of how the consultation information will be disseminated to those affected by the change, and Staffside/Trade Union representatives. It should be made clear to TU representatives if there are any restrictions on when the information should be discussed with others.			
Equality impact assessment			
Where there would be financial costs / implications, ensure that costings for the current and proposed service are provided within the consultation document and the new structure has been approved by Finance.			
Confirmation that the potential for redundancy, incl. bands and WTEs, has been discussed with the Director of People and Culture and OD (does not need to be explicit in document).			

Confirmation that consultation can proceed to launch:

<u>Consultation lead</u>

Name:

Job title:

Signed:

Date:

<u>People Business Partner</u>

Name:

Job title:

Signed:

Date:

<u>Staffside representative</u>

Name:

Job title:

Signed:

Date:

Section 3- TEMPLATE CONSULTATION DOCUMENT

NAME OF DIVISION/ DIRECTORATE AND DEPARTMENT

CONSULTATION ON PROPOSAL TO *XXXX*

1. **EXECUTIVE SUMMARY**

The aim of this paper is to initiate formal consultation on the proposed organisational changes for the *XXXX* in accordance with the Trust's Change Management Policy insert link it is proposed that *[outline proposal very briefly]* in order to *[outline rationale briefly].* It is proposed that the new structure is implemented from *[add in date if appropriate]*

2. CURRENT STRUCTURE

Org chart, table form (should include WTE and headcount)

3. THE CASE FOR CHANGE

E.g. effectiveness, cost, role clarification, new technology, increase in demand, commissioning decision to change service, legal

3. PROPOSED STRUCTURE

- Proposed structure – org chart, table form (should include WTE and headcount)
- Proposed roles
- Arrangements to support new structure, e.g. training, rota changes
- Any transitional arrangements

4. FINANCIAL IMPACT (if cost reduction is part of the case for change)

5. IMPACT ON THE QUALITY OF CARE FOR PEOPLE USING OUR CLINICAL SERVICES

- Please complete

6. EQUALITY IMPACT FOR PEOPLE USING OUR CLINICAL SERVICES

If the equality impact is judged to be low, it will be sufficient to write: This proposal is judged to have a low impact on service users. It is anticipated that most organisational change proposals will have a low impact for service users.

If the impact is medium the manager will need to state what the impact is likely to be in terms of race, gender, disability, sexual orientation, age or religion. If the potential impact is negative, they will need to state how, if possible, the impact can be mitigated.

If the impact is high, a full Equality Impact Assessment needs to be carried out as per Equality Impact Guidance insert link to /equality and diversity/equality impact assessments/EIA form template]. The EIA should be attached to the consultation document or summarised in the consultation document.

7. IMPACT UPON STAFF AFFECTED BY THE PROPOSAL

- slotting-in arrangements, ring-fencing
- Criteria for selection , as appropriate
- Impact e.g. redundancy, changes to shift, on-call, banding

Pay Protection

7a. EQUALITY IMPACT FOR STAFF

If the impact is judged to be low, it will be sufficient to write: This proposal is judged to have a low impact on staff. If however the proposal entails one or more of the types of change:

- Staff at risk as a result of a proposal to disestablish posts
- Changes that potentially impact disproportionately on staff with a protected characteristic.

The following information should be presented in this section:

PROFILE OF STAFF AFFECTED BY THE CHANGE

Band	Band 2	Band 3	Band 4	Band 5	Band 6	Band 7	Band 8	Band 9	M&D	Other	Totals
Totals											0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#####	#DIV/0!	#DIV/0!	#####	####	

Staff Group	Administrative and Clerical	Add Prof & Tech	Additional Clinical Services	Allied Health Profession	Estates and Ancillary	Medical and Dental	Nursing and Midwifery	Other	Totals
Totals									0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#####	#DIV/0!	#DIV/0!	

Disability	Yes	No	Not declared	Undefined	Totals
Totals					0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!		

Gender	Male	Female	Totals
Totals			0
Percentage	#DIV/0!	#DIV/0!	

Age	18-21	22-31	32-41	42-51	52-61	62+	Total
Totals							0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#####	

Maternity	Yes	No	Total
Totals			0
Percentage	#DIV/0!	#DIV/0!	

Religion or belief (if data available)	Atheism	Buddhism	Christianity	Hinduism	Not disclosed	Islam	Jainism	Judaism	Other	Sikhism	Total
											0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#####	#DIV/0!	#DIV/0!	#####	####	

Sexual Orientation (if data available)	Bisexual	Gay	Heterosexual	Not disclosed	Lesbian	Total
Totals						0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	

assignment (if data available)	Yes	No	Totals
Totals	0	0	0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!

Marriage & Civil Partnership (if data available)	Civil Partnership	Divorced	Legally Separated	Married	Not disclosed	Single	Unknown	Widowed	Totals
Totals									0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#####	#DIV/0!	#DIV/0!	

Ethnicity	Asian	Black	Chinese	Mixed	Not Declared	White	Any other ethnic	Totals
Totals								0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#####	#DIV/0!	

TRUST PROFILE *based on March 2017 data

Band 2	Band 3	Band 4	Band 5	Band 6	Band 7	Band 8	Band 9	M&D	Other	Total
121	767	596	756	967	786	650	14	391	113	5161
2.34	14.86	11.55	14.65	18.74	15.23	12.59	0.27	7.58	2.19	

Administrative and Clerical	Add Prof & Tech	Additional Clinical Services	Allied Health Profession	Estates and Ancillary	Medical and Dental	Nursing and Midwifery Registered	Other	Total
1087	639	1116	414	14	391	1455	45	5161
21.06	12.38	21.62	8.02	0.27	7.58	28.19	0.87	

Yes	No	Not declared	Undefined	Total
238	3721	1202	0	5161
5	72	23	0	

Male	Female	Total
1493	3668	5161
28.93	71.07	

18-21	22-31	32-41	42-51	52-61	62+	Total
39	1081	1366	1423	1049	203	5161
0.76	20.95	26.47	27.57	20.33	3.93	

Yes	No	Total
N/A	N/A	
N/A	N/A	

Atheism	Buddhism	Christianity	Hinduism	Not disclosed	Islam	Jainism	Judaism	Other	Sikhism	Total
809	49	2136	155	1210	463	3	49	231	56	5161
15.68	0.95	41.39	3.00	23.45	8.97	0.06	0.95	4.48	1.09	

Bisexual	Gay	Heterosexual	Not disclosed	Lesbian	Total
41	72	3877	1129	42	5161
0.79	1.40	75.12	21.88	0.81	

Yes	No	Totals
0	0	
0	0	

Civil Partnership	Divorced	Legally Separated	Married	Not disclosed	Single	Unknown	Widowed	Totals
58	269	93	2107	20	2319	262	33	5161
1.12	5.21	1.80	40.83	0.39	44.93	5.08	0.64	

Asian	Black	Chinese	Mixed	Not Declared	White	Any other ethnic	Totals
811	1448	21	210	119	2478	74	5161
15.71	28.06	0.41	4.07	2.31	48.01	1.43	

Group	Impact	Actions to mitigate impact
Band		
Staff group		
Disability		
Gender		
Age		
Pregnancy/Maternity		
Religion or Belief		
Sexual Orientation		
Gender re-assignment		
Marriage and Civil Partnership		
Ethnicity		
Key:		No adverse impact
		Some impact
		Disproportionate Impact

8. Proposed TIMETABLE

Date	Action
	Consultation document shared with Staff Side and TU reps
	Start of consultation. Consultation document given to affected staff
	Group meeting to discuss proposals.
	Consultation meetings with individuals, as required
	Responses to consultation from Staffside, individual TUs or staff submitted to management (it is a matter for those responding to decide who should be copied into their response)
	End of consultation period
	Management consider all responses and discuss their response with Staffside and try to reach agreement when views are conflicting. At this stage any need for further consultation or an extension can be considered
	Written notification of decision following consultation, including timetable for implementation of changes
	Selection activities – e.g. interviews
	Meeting to confirm impact on affected people
	Impact assessment of major change to be undertaken 6 months after implementation

9. TRADE UNION REPRESENTATIVES

For a list of Trades Union Representatives and their contact details please go to *XXXX*

10. CONTACT

If you feel very anxious about the proposed change you can speak to your trade union representative or your manager. Alternatively you can get advice from *XXXX* the Trust's confidential counselling service

If redundancies (voluntary or compulsory are being considered) then explain any staff support arrangements that have been put in place to assist staff affected – e.g. pensions advice, outplacement services, etc.

Section 4 - TEMPLATE SMALL CONSULTATION DOCUMENT (FEWER THAN 5 STAFF AFFECTED)

[NAME OF DIVISION/ DIRECTORATE AND DEPARTMENT]

1. Attach current and proposed structure (if available)

2. Summary of the proposed changes e.g. effectiveness, cost, role clarification, new technology, increase in demand, commissioning decision to change service, legal (Max 200 words)

3. Financial Impact (if cost reduction is part of the case for change) (Max 100 words)

4. Impact on the quality of care for people using our clinical services (Max 100 words)

5. Equality Impact for the people using our clinical services (Max 100 words)

6. Impact upon staff affected by the proposal (Max 100 words)

- slotting-in arrangements, ring-fencing
- Criteria for selection , as appropriate
- Impact e.g. redundancy, changes to shift, on-call, banding
- Pay Protection

7. Equality Impact for staff affected by the proposal (Max 100 words) *Please note where there is a risk of information in this section being personally identifiable it should be removed from the document before being circulated to staff and the document should just confirm whether the impact is low, medium or high and that an Equality Impact Assessment has been completed.*

- If the impact is judged to be low, it will be sufficient to write: This proposal is judged to have a low impact on staff. If however the proposal entails one or more of the types of change:

- Staff at risk as a result of a proposal to disestablish posts.
- Changes that potentially impact disproportionately on staff with caring responsibilities e.g. changes to rotas.
- Changes that potentially impact disproportionately on staff with access or
- mobility problem e.g. relocation of work base.

Equality Impact Assessment

Ethnicity		Gender		Disability			Age				
BME	White	Male	Female	Yes	No	Not Known	<25	25 - 34	34 - 43	44 - 55	55+

No of staff affected	% of staff in Department
	%

PROFILE OF STAFF AFFECTED BY THE CHANGE

Band	Band 2	Band 3	Band 4	Band 5	Band 6	Band 7	Band 8	Band 9	M&D	Other	Totals
Totals											0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#####	#DIV/0!	#DIV/0!	#####	####	

Staff Group	Administrative and Clerical	Add Prof & Tech	Additional Clinical Services	Allied Health Profession	Estates and Ancillary	Medical and Dental	Nursing and Midwifery	Other	Totals
Totals									0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#####	#DIV/0!	#DIV/0!	

Disability	Yes	No	Not declared	Undefined	Totals
Totals					0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!		

Gender	Male	Female	Totals
Totals			0
Percentage	#DIV/0!	#DIV/0!	

Age	18-21	22-31	32-41	42-51	52-61	62+	Total
Totals							0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#####	

Maternity	Yes	No	Total
Totals			0
Percentage	#DIV/0!	#DIV/0!	

Religion or belief (if data available)	Atheism	Buddhism	Christianity	Hinduism	Not disclosed	Islam	Jainism	Judaism	Other	Sikhism	Total
											0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#####	#DIV/0!	#DIV/0!	#####	####	

Sexual Orientation (if data available)	Bisexual	Gay	Heterosexual	Not disclosed	Lesbian	Total
Totals						0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	

assignment (if data available)	Yes	No	Totals
Totals	0	0	0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!

Marriage & Civil Partnership (if data available)	Civil Partnership	Divorced	Legally Separated	Married	Not disclosed	Single	Unknown	Widowed	Totals
Totals									0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#####	#DIV/0!	#DIV/0!	

Ethnicity	Asian	Black	Chinese	Mixed	Not Declared	White	Any other ethnic	Totals
Totals								0
Percentage	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#DIV/0!	#####	#DIV/0!	

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Male	Female	Total
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28.93	71.07	

18-21	22-31	32-41	42-51	52-61	62+	Total
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0.76	20.95	26.47	27.57	20.33	3.93	

Yes	No	Total
N/A	N/A	
N/A	N/A	

Atheism	Buddhism	Christianity	Hinduism	Not disclosed	Islam	Jainism	Judaism	Other	Sikhism	Total
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Bisexual	Gay	Heterosexual	Not disclosed	Lesbian	Total
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0.79	1.40	75.12	21.88	0.81	

Yes	No	Totals
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0	0	

Civil Partnership	Divorced	Legally Separated	Married	Not disclosed	Single	Unknown	Widowed	Totals
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1.12	5.21	1.80	40.83	0.39	44.93	5.08	0.64	

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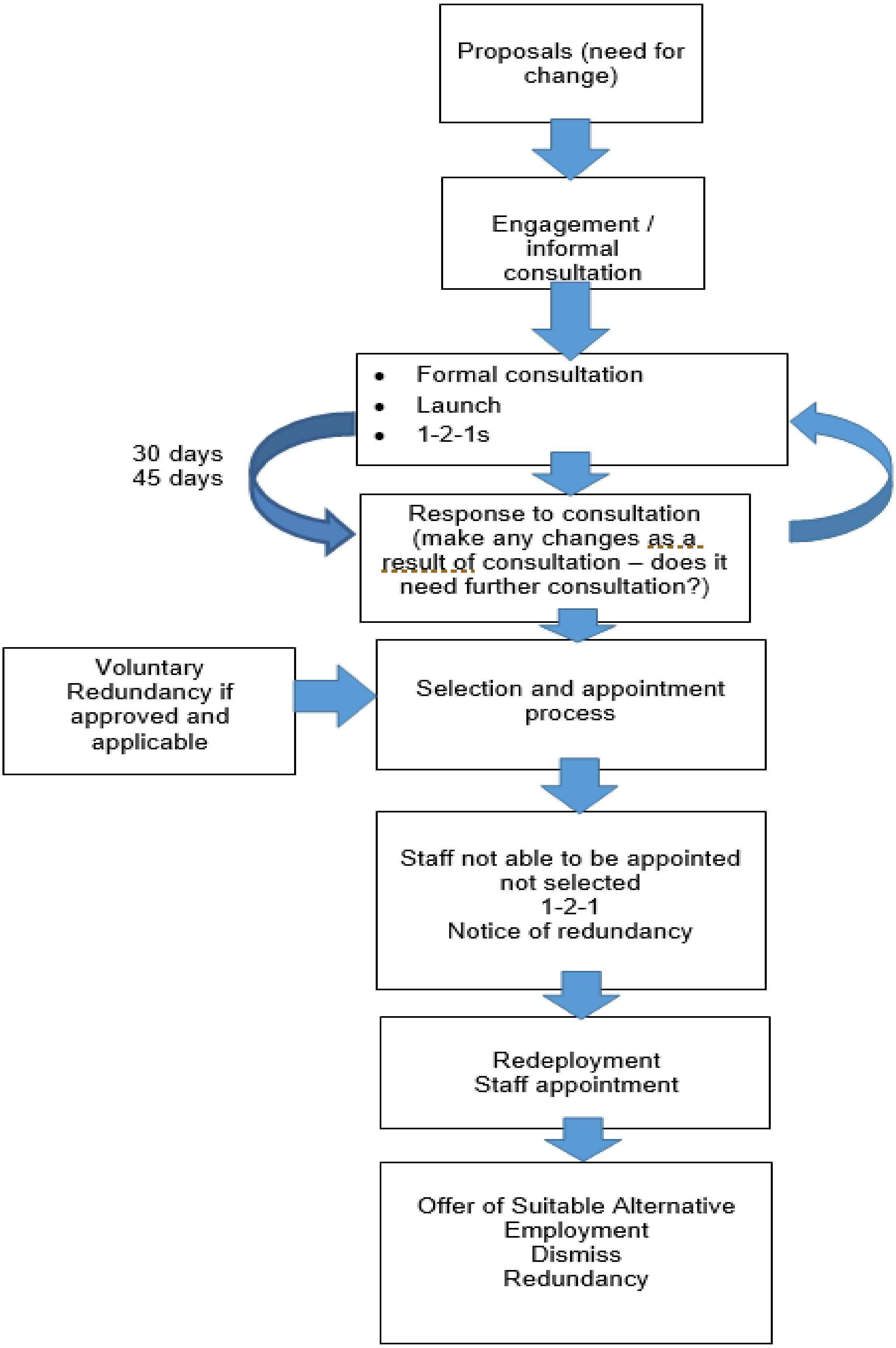
Group	Impact	Actions to mitigate impact
Band		
Staff group		
Disability		
Gender		
Age		
Pregnancy/Maternity		
Religion or Belief		
Sexual Orientation		
Gender re-assignment		
Marriage and Civil Partnership		
Ethnicity		

Key:		
		No adverse impact
		Some impact
		Disproportionate Impact

Section 5 - Consultation Best Practice Flow Chart



Appendix 3

Notification to the Department for Business, Enterprise and Regulatory Reform

Introduction

An employer who proposes to dismiss twenty or more employees as redundant at one establishment within a period of ninety days or less has a statutory duty to notify the Secretary of State for Department for Business, Enterprise and Regulatory Reform. This is so that government departments and agencies and the Jobcentre Plus Rapid Response Service can be alerted and prepared to take any appropriate measures to assist or retrain the employees in question.

The same definition of a collective redundancy situation apples as for the consultation obligations - see section of this document: *What is a collective redundancy situation? I*s there any minimum period for notification? A notification must be made a specified minimum time before the first dismissal takes effect. In addition, from 1st October 2006 employers will also be required to notify the Secretary of State before giving notice to terminate an employee's contract.12 The date of notification is the date on which it is received by the Department for Business, Enterprise and Regulatory Reform.

The minimum times are:

- if between twenty and ninety-nine employees may be dismissed as redundant at one establishment within a period of ninety days or less - at least thirty days and in any event, before giving notice to terminate an employees contract;
- if one hundred or more employees may be dismissed as redundant at one establishment within a period of ninety days or less- at least ninety days and in any event, before giving notice to terminate an employee's contract.

These periods are the same as the minimum periods permitted for consultation with employee representatives. An employer who has already notified one group of proposed redundancy dismissals and later finds it necessary to make a further group does not have to add the numbers of employees together to calculate the minimum period for either group. There is no obligation to notify redundancies of fewer than twenty employees within a period of ninety days or less, but employers may nevertheless wish to consider doing so in borderline cases - particularly if the numbers involved are uncertain.

What information must be disclosed in the notification?

The Department for Business, Enterprise and Regulatory Reform requires information in writing about the employer's proposals. Employers may notify by letter or by form HR1, which can be obtained from any Redundancy Payments Office. The information required is similar to that which the employer must disclose to employee representatives for consultation purposes (see section on employers' information and consultation obligations of this document). In addition, the notification must state when and with whom such consultation began.

The notification should be sent by post or delivered by hand to the office indicated on form HR1. If the employer's proposals change significantly after the notification has been given - for example, if the numbers to be dismissed increase by twenty or more or if the dismissal dates are to be brought forward or delayed - the Department should be informed. Employers must give or send a copy of the notification to the representatives with whom they are required to consult about the proposed redundancies. The Secretary of State has powers to obtain further information if necessary. When notification has been received in the form required, a formal acknowledgement will be sent to the employer.

Special circumstances

There may be special circumstances where it is not reasonably practicable for the employer to meet fully the requirements for minimum notification periods. In such circumstances, the employer must take all reasonably practicable steps toward meeting the requirements and explain why they cannot be met in full. However, it is not sufficient simply to state that it was not possible to comply because a controlling body (e.g. a head office or parent company) had not supplied the necessary information or had not supplied it in time.

Penalty for non-compliance

If an employer fails to give the required notification to the Department, the Secretary of State may institute legal proceedings that could lead, on summary conviction, to a fine of up to £5,000 (this upper limit is subject to review from time to time).

Further information can be found at: **http://www.bis.gov.uk**

Appendix 4

Job Matching Process Form

Job Requirement	Fully Met	Partially Met	Not Met
1. Education/ Qualifications No significant differences in Education / Qualifications between posts.			
2. Knowledge & Experience No significant differences in knowledge and experience in both posts			
3. Strategic Management No significant differences in knowledge and experience in both posts**.** Old post had responsibility for Strategic development, leadership and delivery			
4. Financial Resource Management Increase in financial management responsibility			
5. Staff Resource Management Increase in staff management. New post has the lead responsibility for the direct line management of the team			
6. Operational Management/ Service Delivery New post requires more service development and design.			

Of the 6 criteria assessed: X Fully Met

X Partially Met

X Not Met

75% equals X points in total, so X or more points is a match.

SUMMARY: [Please state if the post matches or not]

Completed By: [Name, Job Title] **Date: [Date]**

Consistency Checked By Staffside: [Name, Job Title]

Appendix 5

Policy on the Protection of Pay and Conditions of Service

1. Policy Statement

East London NHS Foundation Trust (hereinafter referred to as the 'Trust') recognises that while it is essential to be able to achieve its short and long term objectives and respond rapidly to the changing demands of the service through the effective and efficient deployment of its staff, it is equally important to ensure that employees who may be affected by any resultant change are treated fairly and equitably.

The Trust endorses the principle that there is no automatic entitlement to a lower graded job with protection as an alternative to redundancy. However, it is mindful that there may be instances when in order to retain particular knowledge/skills, a post could be offered at a lower grade to avoid redundancy.

The policy offers protection against a sudden loss of earnings and allows staff affected the time to make the necessary adjustments to their personal circumstances.

2. Scope Of Policy

This policy applies to all substantive Trust staff (other than Executive Directors) who have been continuously employed by the NHS for one year or more and as a consequence of any organisational change have been redeployed to a new post which attracts a lower salary/wage or suffer a reduction in basic hours within the standard working week.

This policy will apply to all new protection of pay arrangements with effect from the implementation date of this policy.

For purpose of this policy, continuous employment is defined as substantive employment with the NHS without a break in service. A break in service is classed as a period between employment with the Trust or its predecessors of more than 3 months.

This agreement does not apply to any individual:

- who has less the one year's continuous service with the NHS;
- downgraded as a result of action taken against them in accordance with the Trust's Disciplinary or Capability Policies and Procedures;
- who unreasonably refuses an offer for suitable alternative employment and/or voluntarily moves to a new post which attracts a lower salary/wage;
- On acting-up pay;
- Redeployed following a period of sickness absence, where they have chosen to work in the redeployed position or unable to return to their substantive post due to incapacity/ill health.

3. Protection Of Pay

Those employees who are eligible for protection will receive protection of basic pay, at the rate commensurate with their average pay over the 6 months immediately preceding the date that the protection commences. The rate of pay will be ‘frozen’ at this rate for the period of protection until such time as the individual voluntarily moves post or the rate of pay for the lower graded post matches or exceeds the protected pay. Nationally agreed pay awards will be applied to the rate of pay for the lower graded post, and will have the effect of eroding the amount of protected pay the individual receives from the Trust. At the end of the protection period, the member of staff will be paid at the appropriate rate for the new terms and conditions.

Staff with one or more years service who are members of the NHS Pension Scheme who are within 3 years of their entitled retirement age and have declared that this is the age at which they will retire will receive protection of basic pay until this declared date, inclusive of pay awards and increments. Staff further than 3 years from their retirement age will be made aware of their entitlement to protect their pension at previous levels and the procedure to do so.

Protection of pay falls into two categories:-

Long Term Protection

Long term protection of pay will cover the basic salary or wage in respect of basic hours worked plus responsibility, qualification, proficiency and distinction allowance the individual was earning before the organisational change as well as High Cost Area Supplement.

Where a member of staff is downgraded or suffers a loss in hours as a result of organisational change the Trust will protect basic salary in accordance with the following:

SERVICE WITH THE TRUST (or its predecessors)	**LENGTH OF PROTECTION**
1+ YEAR	3 MONTHS
2-5 YEARS	1 YEAR
5 + YEARS	3 YEARS

Individuals required to move to a new post are entitled to have both their contractual period of notice and annual leave protected for the same period as basic salary/wage.

Individuals who suffer a loss in hours which affects their salary/wage will be expected to work the extra hours that make up the full time equivalent hours in another suitable alternative position within the Trust.

Short Term Protection

Short term protections is provided for the following allowances which are not part of basic salary:

- Allowances for shift duty, night duty, split duty, unsocial hours, standby and on-call duty.

Short Term Protection will be paid as follows:-

SERVICE WITH THE TRUST (or its predecessors)	LENGTH OF PROTECTION
1+ YEAR	3 MONTHS
2-5 YEARS	6 MONTHS
5+ YEARS	1 YEAR

4. Subsequent Changes Of Post

Each subsequent change of post due to an organisational change covered by this agreement shall attract protection in its own right.

Where during their period of protection, an employee chooses to apply for a new post within the Trust irrespective of the band, if successful in this application, the protection shall become invalid from the date of the move to the new post.

5. Appeals

Appeals arising out of the application of this agreement shall be dealt with according to the Appeals Procedure (Appendix 4).

Appendix 6

Appeals Procedure

1. Appeals Panel Preparation

Following receipt of an appeal, an appeal panel will be convened within 3 months from receipt of the letter of appeal and shall comprise a Director of Service and People Business Partner not involved in this process of change management.

The employee must submit an appeal letter to the Director of People and Culture as confirmed in the outcome letter within 15 working days from the date of the letter confirming the decision. The Director and their office shall have the responsibility to administrate the appeal.

The appellant may lose the right to appeal if the appeal letter lacks sufficient detail as to which aspects of the panels' decision the appellant is dissatisfied with or is not compliant with the following:

- **The policy and procedures were not followed and was not taken into consideration by the panel**
- **Non-compliance with statutory policy, procedure and legal rights**
- **Acts of discrimination, bullying and harassment**

Upon receipt of the appellant's grounds for appeal, the letter must be forwarded to the Service Manager within 3 working days so that he/she can write the management side response. The service manager will have 15 working days before the appeal hearing to submit their management case to the office of the Director of People and Culture which should include a comprehensive justification for the decision made in the initial decision and respond to any queries raised by the appellant. The appellant will also have until 15 working days before the appeal hearing to submit and further documentation to support their appeal.

At least 5 working days before the appeal hearing the employee statement of case and the management side case will be forwarded by the office of the Director of People and Culture, to all relevant parties (appeal panel members, employee side and disciplinary management side).

If the employee or management case has not been submitted within the stipulated time frame, the hearing may be postponed. In exceptional circumstances, an extension of 5 working days may be granted for the submission of the paperwork.

2. Notice of appeal hearing date

The appellant should be given at least 25 working days' notice of the date and time that the appeal hearing will be convened.

3. Rescheduled Appeal Hearing Timescales

Postponed appeal hearings will be rescheduled a second time. If the reason for postponement has been non-submission of paperwork, then all relevant missing paperwork must be submitted within 10 working days before the date of the second hearing. The same timescales for exchange of missing paperwork applies, i.e. 5 working days.

If the Management/appellant case is not submitted within 10 working days before the date of the second hearing is arranged then the hearing will go ahead. The management/appellant will be given the opportunity to present their case and question the other side. In the absence of an appellant case, the original appeal letter can be used in the hearing. No new paperwork can be presented at the hearing.

If the employee is unable to make the date or does not turn up to the hearing, they will be given one further opportunity to attend. Failure to attend a second time will result in the appeal hearing being heard in their absence.

4. Appeal Hearing

The hearing is chaired by a Panel Member. At the hearing of Appeal Panel the following procedure shall be observed:

5. Introductions

The purpose of the hearing is explained by the Chair of the panel

The procedure to be followed is explained by the Chair of the panel

6. **The Employee's case**

The appellant and/or their representative shall put their case to the panel in the presence of the management side. In support they may call witnesses.

The management side shall have the opportunity to ask questions of the appellant, their representative and witnesses.

The members of the Appeals Panel shall have the opportunity to ask questions of the appellant, their representatives and witnesses.

The appellant or his/her representative shall have the opportunity to re-examine his/her witnesses on any matter referred to in their examination by members of the Appeal Panel or the management side.

During the course of the meeting the chair may call adjournments to either consider evidence or for natural breaks. The employee or their representative or the Disciplining Officer may ask the chair to consider an adjournment at any stage of proceedings. The Panel may at its discretion adjourn the appeal at any time in order that further evidence may be produced by either party to the dispute or for any other reason.

7. **Management's Case**

The management side shall state the Trust's case in the presence of the appellant and his/her representative. S/he may call witnesses.

The appellant or his/her representative shall have the opportunity to ask questions of the management side and their witnesses.

The members of the Appeal Panel shall have the opportunity to ask questions of the management side and their witnesses.

The management side shall have the opportunity to re-examine his/her witnesses on any matter referred to in their examination by members of the Appeal Panel, the appellant or his/her representative.

8. **Summing Up**

The management side will have the opportunity to sum up their case if they wish.

The appellant or his/her representative shall have the right to speak last in summing up their case.

Neither party may introduce any new matter.

Nothing in the foregoing procedure shall prevent the members of the Panel from inviting either party to elucidate or amplify any statement they may have made. Neither should it prevent them from asking them such questions as may be necessary to ascertain whether or not they propose to call any evidence in respect of any part of their statement, or alternatively, whether they are in fact claiming that the matters are within their own knowledge, in which case they will be subject to examination as a witness as in point four of the employees case above.

The Panel may ask questions or points of clarification at any time during this procedure.

9. **Adjournment**

An adjournment is called to allow the panel to consider the evidence

Management, the appellant and his/her representative shall withdraw to allow the panel to make a decision.

10. **All parties return and the decision of the panel is communicated**

The Panel may call all parties back into the room on the day of the appeal hearing to give their decision. However, in some cases it may be necessary to consider the case over night where a decision may be confirmed at a later date. The decision will be confirmed in writing within 5 working days of the decision being made.

Appendix 7

Change Management Policy Toolkit

Index

Introduction

This toolkit is designed to assist you to manage the process of change which we are all experiencing within the NHS. Change affects us all in different ways and it can be very different for different people.

This toolkit provides with you some theory and models which you can use to support you to manage the change process effectively. It also gives you some information on how to overcome barriers and resistance to change which you may face when implementing change and tips on what not to do. The Change Curve is described which will help you understand the differing needs which staff will have, depending on where they are on the Curve and you will see a very useful section on how you can help to change people's habits.

I hope that you will be able to use this toolkit as a resource that will support you during change. Whilst we have only included some of the many different change models available and the Organisational Development Team can support you to implement these models. If you would like further support in this area or any other are of change management, please do not hesitate to contact us:

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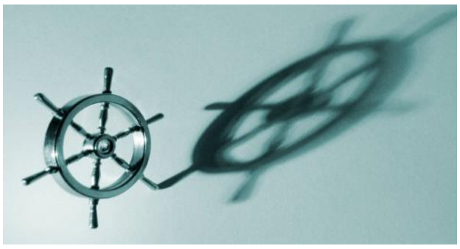
Navigating Through Change Effectively



Change management is a term that is bounced about freely. Sometimes it's a scapegoat for less than stellar results: "That initiative failed because we didn't focus enough on change management." And it's often used as a catch-all for project activities that might otherwise get overlooked: "When we implement that new process, let's not forget about the change management."

- It's a noun: "Change management is key to the project."
- It's a verb: "We really need to change manage that process."
- It's an adjective: "My change management skills are improving."
- It's an expletive: "Change management!"

But what exactly is it?

Change management is a structured approach for ensuring that changes are thoroughly and smoothly implemented, and that the lasting benefits of change are achieved.

The focus is on the wider impacts of change, particularly on people and how they, as individuals and teams, move from the current situation to the new one. The change in question could range from a simple process change, to major changes in policy or strategy needed if the organisation is to achieve its potential.

Understanding Change Management

Theories about how organisations change draw on many disciplines, from psychology and behavioural science, through to engineering and systems thinking. The underlying principle is that change does not happen in isolation – it impacts the whole organisation (system) around it, and all the people touched by it.

In order to manage change successfully, it is therefore necessary to attend to the wider impacts of the changes. As well as considering the tangible impacts of change, it's important to consider the personal impact on those affected, and their journey towards working and behaving in new ways to support the change. The Change Curve is a useful model that describes the personal and organisational process of change in more detail.

Change management is, therefore, a very broad field, and change management approaches vary widely, from organisation to organisation and from project to project. Many organisations and consultants subscribe to formal change management methodologies.

These provide toolkits, checklists and outline plans of what needs to be done to manage changes successfully.

When you are tasked with "managing change" (irrespective of whether or not you subscribe to a particular change management approach), the first question to consider is what change management actually means in your situation. Change management focuses on people, and is about ensuring change is thoroughly, smoothly and lastingly implemented. And to know what that means exactly in your situation, you must dig down further to define your specific change management objectives.

Typically, these will cover:

- **Sponsorship:** Ensuring there is active sponsorship for the change at a senior executive level within the organisation and engaging this sponsorship to achieve the desired results.
- **Buy-in:** Gaining buy-in for the changes from those involved and affected, directly or indirectly.
- **Involvement:** Involving the right people in the design and implementation of changes, to make sure the right changes are made.
- **Impact:** Assessing and addressing how the changes will affect people. Ensuring that an Equality Impact Assessment has been conducted.
- **Communication:** Telling everyone who's affected about the changes.
- **Readiness:** Getting people ready to adapt to the changes, by ensuring they have the right information, training and help.

Who's Responsible?

When you are defining your change management objectives and activities, it's very important to coordinate closely with others: project managers, managers within the organisation, and the Workforce & Organisational Development function. Ask "who's responsible?" For example, who's responsible for identifying change agents? Defining the re-training plan? Changing job descriptions and employment contracts? And so on.

As every change is different, responsibilities will vary depending on how the change activities and project are organised. Only when you know who's responsible and how things are organised in your situation will you know what's within your change management scope, and how you'll be working with other people to bring about the change

Change Management Activities

Once you have considered the change management objectives and scope, you'll also need to consider the specific tasks. Again, the range of possible change management activities is broad. It's a question of working out what will best help you meet the change management challenge in hand, as you have defined it in your objectives and scope, and how to work alongside other people's and projects' activities and responsibilities.

The essence of this is to identify the tasks that are necessary if you're going to give change the greatest chance of success.

Coming from this, the activities involved in managing change can include:

- Ensuring there is clear expression of the reasons for change, and helping the sponsor communicate this.
- Identifying "change agents" and other people who need to be involved in specific change activities, such as design, testing, and problem solving, and who can then act as ambassadors for change.
- Assessing all the stakeholders and defining the nature of sponsorship, involvement and communication that will be required.
- Planning the involvement and project activities of the change sponsor(s).
- Planning how and when the changes will be communicated, and organising and/or delivering the communications messages.
- Assessing the impact of the changes on people (Equality Impact Assessment) and the organisation's structure.
- Planning activities needed to address the impacts of the change.
- Ensuring that people involved and affected by the change understand the process change.
- Making sure those involved or affected have help and support during times of uncertainty and upheaval.
- Assessing training needs driven by the change, and planning when and how this will be implemented.
- Identifying and agreeing the success indicators for change, and ensure they are regularly measured and reported on.

Remember, these are just some typical change management activities. Others may be required in your specific situation. Equally, some of the above may not be within your remit, so plan carefully, and coordinate with other people involved.

Key Points:

Change management is a broad discipline that involves ensuring change is implemented smoothly and with lasting benefits, by considering its wider impact on the organisation and people within it. Each change initiative you manage or encounter will have its own unique set of objectives and activities, all of which must be coordinated.

As a change manager, your role is to ease the journey towards new ways of working, and you'll need a set of tools to help you along the way.

Why Change Can Fail

Knowing What Not To Do

There's no denying it – change is tough! When thinking about change, we often look for "how to" tips: How do you start a change process? How do you engage people in change? How do you make sure you follow through on your change plans?

With something as complex as change, forward-thinking "how-to's" are usually only half of the picture. So don't just ask how change succeeds, ask why it fails: This can offer valuable lessons as well!

Look back on a recent change initiative. Have you ever caught yourself saying, "We should have done this." or "If only we'd done that."? If yes, you can probably appreciate exploring change from a failure perspective. There are so many variables to consider in any change project – and so many things that can go wrong!

So let's consider "what goes wrong." Learning from experience is very powerful, and it's worth applying the lessons from other people's mistakes before you start down the path of change.

Here are seven main reasons that change can fail.

Change Can Fail Because...

1. It's Not Compelling

Change needs a clear and valid reason. Don't "push it through" – it's much better to convince people that it's important and urgent – only that way can you get a clear commitment from others. To ensure that you have a solid foundation to build a change movement, identify the reasons for the change.

- What conditions create the need for change?
- What are the underlying causes?
- Have you identified and made a case for the change?
- Have you identified the one crucial reason for change?

Do the necessary work up-front to gain people's commitment and build their desire to see the change through to its completion. Get the right people on board, and start with a clear rationale and well-defined objectives. Kotter’s 8 Step Change Model calls this the need to create a sense of urgency. After all, it's normal human nature to resist change unless you see a clear reason for it.

For detailed ideas on figuring out where change needs to happen, see the Burke-Litwin Change Model. This gives you a framework for understanding the dynamics of organisational change, and for applying it to your situation.

2. It's Not Required

Change cannot be an option. People often don't want to change, and they often won't, unless they have good reason to. This means that top management must commit wholeheartedly to the change, and they should accept nothing less from everyone else.

- Do your organisation’s leaders openly support the change?
- Do they "walk the talk" and do as they say?
- Do they demand commitment to change?
- Do you have a way to measure staff engagement and participation?

Asking people to change isn't enough – it needs to be a requirement.

3. It's Not Communicated

You can demand change and create a convincing reason for it, but you also need excellent communication. Many people may, for good reasons, prefer the status quo – they'd rather leave things as they are. So make sure that the reason for change is frequently and effectively communicated.

- Do your company leaders talk about the change with passion?
- Do they express the vision associated with the change?
- Do they focus on what's in it for individuals, as well as the overall rationale?

Design communication to win people over. Be sure to address the reasons not to change – if allowed, they may become more important than the reasons to proceed.

The change curve suggests that support for change usually rises slightly at first, and then drops down before heading back up again. Fear, anger, and resentment are common at this lower stage, and there's a decrease in commitment. Open, honest, and sincere communication can play a large role in getting past this.

4. It Doesn't Involve the Right People

Leaders are important to change. But many other people are also critical to pushing forward the change process. To avoid an "us vs. them" mindset, seek change agents throughout your organisation.

- Are the people expected to execute the change also involved in the planning stages?
- Do you seek their opinions for implementation ideas?
- Do you use insiders to implement the change?

- Do you use managers and supervisors to help win support for the process?
- Do you engage informal and formal leaders (Kotter's coalition for change) in the process?

Look throughout your organisation. Identify the people who are most affected by the change as well as individuals who are in a position to champion the change. By combining these forces, you can effectively convince people that the change is aligned with their personal agendas.

5. The Implementation Is Poorly Planned

You may prepare people perfectly. However, unless your change plan is workable and effective, it probably won't be successful. The road to change has many obstacles, so your planning has to be as thorough as possible.

- Have you considered the impact on people – not just on finances and processes?
- Does your methodology fit your business?
- Does your methodology fit your corporate culture?
- What reward systems (recognition and feedback) can you use to support the change?
- What are your contingency plans, in case things go wrong or need adjustments?
- Do you have enough resources?
- What are the consequences of the change to other parts of your organisation?
- What is the cultural impact of the change? What should you adjust to support the change?
- Is your approach flexible enough to survive the unexpected and inevitable problems?
- Do you know when to stop talking and start doing?

Lewin's Change Management Model shows change as a three-stage process:

1. Unfreeze (prepare the organisation for change)
2. Change (help people embrace change)
3. Refreeze (help the changes settle in and become the new reality)

Look at your planning and implementation from this perspective. This may help you see the bigger picture and keep your vision, despite the struggles you face.

6. Success Takes Too Long to Arrive

Success can motivate. For people to keep going through the pain of change, it helps to have some obvious "wins" spread throughout the change process. Include some ways to achieve a few key results early in your implementation plan.

7. There's Too Little Follow-through

Change projects usually get lots of attention up front, but then they can fade out well before completion. If done well, change can create lots of buzz and excitement. Then, if you have some quick wins, the momentum can build.

However, this is when change leaders can get lazy. They may consider their work done and move onto the next project, or they may get bored with the humdrum activities of implementation and lose focus on the things that are important. Don't let this happen! Follow through to the end, and make sure your plan is implemented.

- Who is responsible for follow-through?
- Is there a clear project manager whose job is to see the project to completion?
- What is your plan to ensure that victory isn't declared too soon?
- Are the change agents as motivated and passionate as the leaders? Have the leaders given the responsibility for passion to other people?
- Have you thought about ways to keep high levels of commitment and determination?

Many of the reasons that change fails can be "turned around" to make change work. Be aware of both sides of the issue, and you can better prepare for the challenge of change.

Key Points

It isn't easy to lead or participate in change, and change can fail for many reasons. Understand what contributes to success – and learn what contributes to failure, so you'll know what to avoid. Then you'll have a more well-rounded and comprehensive approach to planning and preparation. That's really the key to a successful change.

Lewin's Change Management Model

Understanding the Three Stages of Change

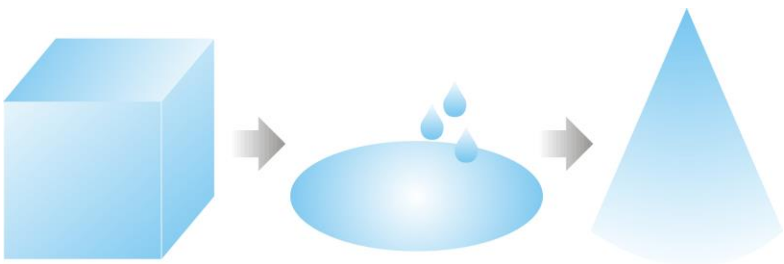
Change is a common thread that runs through all businesses regardless of size, industry and age. Our world is changing fast and, as such, organisations must change quickly too. Organisations that handle change well thrive, whilst those that do not may struggle to survive.

The concept of "change management" is a familiar one in most businesses today. But, how businesses manage change (and how successful they are at it) varies enormously depending on the nature of the business, the change and the people involved. And a key part of this depends on how far people within it understand the change process.

One of the cornerstone models for understanding organisational change was developed by Kurt Lewin back in the 1940s, and still holds true today. His model is known as Unfreeze – Change – Refreeze, refers to the three-stage process of change he describes. Lewin, a physicist as well as social scientist, explained organisational change using the analogy of changing the shape of a block of ice.

Understanding Lewin's Model

If you have a large cube of ice, but realize that what you want is a cone of ice, what do you do? First you must melt the ice to make it amenable to change (unfreeze). Then you must mould the iced water into the shape you want (change). Finally, you must solidify the new shape (refreeze).



By looking at change as process with distinct stages, you can prepare yourself for what is coming and make a plan to manage the transition – looking before you leap, so to speak. All too often, people go into change blindly, causing much unnecessary turmoil and chaos.

To begin any successful change process, you must first start by understanding why the change must take place. As Lewin put it, "Motivation for change must be generated before change can occur. One must be helped to re-examine many cherished assumptions about oneself and one's relations to others." This is the unfreezing stage from which change begins.

Unfreeze

This first stage of change involves preparing the organisation to accept that change is necessary, which involves breaking down the existing status quo before you can build up a new way of operating.

Key to this is developing a compelling message showing why the existing way of doing things cannot continue. This is easiest to frame when you can point to declining performance statistics, poor financial predictions, worrying patient/client satisfaction surveys, or suchlike: These show that things have to change in a way that everyone can understand.

To prepare the organisation successfully, you need to start at its core – you need to challenge the beliefs, values, attitudes, and behaviours that currently define it. Using the analogy of a building, you must examine and be prepared to change the existing foundations as they might not support add-on storeys; unless this is done, the whole building may risk collapse.

This first part of the change process is usually the most difficult and stressful. When you start cutting down the "way things are done", you put everyone and everything off balance. You may evoke strong reactions in people, and that's exactly what needs to done.

By forcing the organisation to re-examine its core, you effectively create a (controlled) crisis, which in turn can build strong motivation to seek out a new equilibrium. Without this motivation, you won't get the buy-in and participation necessary to effect any meaningful change.

Change

After the uncertainty created in the unfreeze stage, the change stage is where people begin to resolve their uncertainty and look for new ways to do things. People start to believe and act in ways that support the new direction.

The transition from unfreeze to change does not happen overnight: People take time to embrace the new direction and participate proactively in the change. A related change model, the Change Curve, focuses on the specific issue of personal transitions in a changing environment and is useful for understanding this specific aspect in more detail.

In order to accept the change and contribute to making the change successful, people need to understand how the changes will benefit them. Not everyone will fall in line just because the change is necessary and will benefit the company. This is a common assumption and pitfall that should be avoided.

Tip:
Unfortunately, some people will genuinely be harmed by change, particularly those who benefit strongly from the status quo. Others may take a long time to recognise the benefits that change brings. You need to foresee and manage these situations.

Time and communication are the two keys to success for the changes to occur. People need time to understand the changes and they also need to feel highly connected to the organisation throughout the transition period. When you are managing change, this can require a great deal of time and effort and hands-on management is usually the best approach.

Refreeze

When the changes are taking shape and people have embraced the new ways of working, the organisation is ready to refreeze. The outward signs of the refreeze are a stable organisation chart, consistent job descriptions, and so on. The refreeze stage also needs to help people and the organisation internalise or institutionalise the changes. This means making sure that the changes are used all the time; and that they are incorporated into everyday business. With a new sense of stability, employees feel confident and comfortable with the new ways of working.

The rationale for creating a new sense of stability in our every changing world is often questioned. Even though change is a constant in many organisations, this refreezing stage is still important. Without it, employees get caught in a transition trap where they aren't sure how things should be done, so nothing ever gets done to full capacity. In the absence of a new frozen state, it is very difficult to tackle the next change initiative effectively. How do you go about convincing people that something needs changing if you haven't allowed the most recent changes to sink in? Change will be perceived as change for change's sake, and the motivation required to implement new changes simply won't be there.

As part of the Refreezing process, make sure that you celebrate the success of the change – this helps people to find closure, thanks them for enduring a painful time, and helps them believe that future change will be successful.

Practical Steps for Using the Framework:

Unfreeze

1. Determine what needs to change.

- Survey the organisation to understand the current state.
- Understand why change has to take place.

2. Ensure there is strong support from upper management.

- Use Stakeholder Analysis and Stakeholder Management to identify and win the support of key people within the organisation.
- Frame the issue as one of organisation-wide importance.

3. Create the need for change.

- Create a compelling message as to why change has to occur.
- Use your vision and strategy as supporting evidence.
- Communicate the vision in terms of the change required.
- Emphasize the "why".

4. Manage and understand the doubts and concerns.

- Remain open to employee concerns and address in terms of the need to change.

<u>Change</u>

1. Communicate often.

- Do so throughout the planning and implementation of the changes.
- Describe the benefits.
- Explain exactly the how the changes will affect everyone.
- Prepare everyone for what is coming.

2. Dispel rumours.

- Answer questions openly and honestly.
- Deal with problems immediately.
- Relate the need for change back to operational necessities.

3. Empower action.

- Provide lots of opportunity for employee involvement.
- Have line managers provide day-to-day direction.

4. Involve people in the process.

- Generate short-term wins to reinforce the change.
- Negotiate with external stakeholders as necessary (such as employee organisations).

<u>Refreeze</u>

1. Anchor the changes into the culture.

- Identity what supports the change.
- Identify barriers to sustaining change.

2. Develop ways to sustain the change.

- Ensure leadership support.
- Create a reward system.
- Establish feedback systems.

- Adapt the organisational structure as necessary.

3. Provide support and training.

- Keep everyone informed and supported.

4. Celebrate success!

Key Points

Lewin's change model is a simple and easy-to-understand framework for managing change.

By recognising these three distinct stages of change, you can plan to implement the change required. You start by creating the motivation to change (unfreeze). You move through the change process by promoting effective communications and empowering people to embrace new ways of working (change). And the process ends when you return the organisation to a sense of stability (refreeze), which is so necessary for creating the confidence from which to embark on the next, inevitable change.

The McKinsey 7S Framework

Ensuring That All Parts of Your Organisation Work in Harmony

How do you go about analysing how well your team, department, service, organisation is positioned to achieve its intended objective? This is a question that has been asked for many years, and there are many different answers. Some approaches look at internal factors, others look at external ones, some combine these perspectives, and others look for congruence between various aspects of the organisation being studied. Ultimately, the issue comes down to which factors to study.

While some models of organisational effectiveness go in and out of fashion, one that has persisted is the McKinsey 7S framework. Developed in the early 1980s by Tom Peters and Robert Waterman, two consultants working at the McKinsey & Company consulting firm, the basic premise of the model is that there are seven internal aspects of an organisation that need to be aligned if it is to be successful.

The 7S model can be used in a wide variety of situations where an alignment perspective is useful, for example to help you:

- Improve the performance of an organisation.
- Examine the likely effects of future changes within an organisation.
- Align departments and processes during a merger or acquisition.
- Determine how best to implement a proposed strategy.

The McKinsey 7S model can be applied to elements of a team or a project as well. The alignment issues apply, regardless of how you decide to define the scope of the areas you study.

The Seven Elements

The McKinsey 7S model involves seven interdependent factors which are categorized as either "hard" or "soft" elements:

Hard Elements	Soft Elements
Strategy	Shared Values
Structure	Skills
Systems	

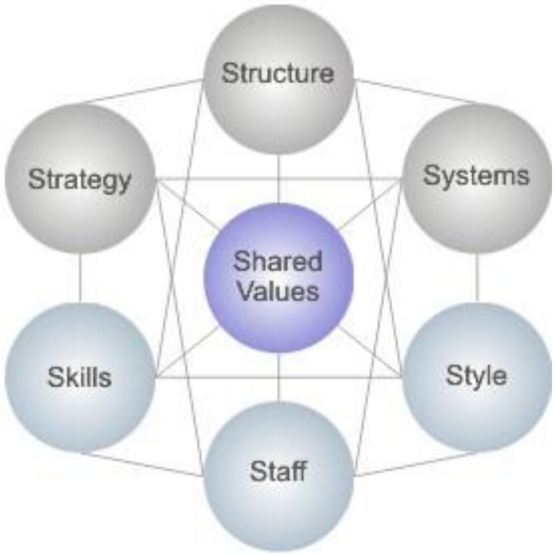
	Style Staff

"Hard" elements are easier to define or identify and management can directly influence them: These are strategy statements; organisation charts and reporting lines; and formal processes and IT systems.

"Soft" elements, on the other hand, can be more difficult to describe, and are less tangible and more influenced by culture. However, these soft elements are as important as the hard elements if the organisation is going to be successful.

The way the model is presented in Figure 1 below depicts the interdependency of the elements and indicates how a change in one affects all the others.

Figure 1: The McKinsey 7S Model



Look at each of the elements specifically:

- **Strategy:** the plan devised to maintain and build competitive advantage over the competition.
- **Structure:** the way the organisation is structured and who reports to whom.
- **Systems:** the daily activities and procedures that staff members engage in to get the job done.
- **Shared Values:** called "super ordinate goals" when the model was first developed, these are the core values of the company that are evidenced in the corporate culture and the general work ethic.
- **Style:** the style of leadership adopted.
- **Staff:** the employees and their general capabilities.
- **Skills:** the actual skills and competencies of the employees working for the company.

Placing Shared Values in the middle of the model emphasises that these values are central to the development of all the other critical elements. The organisation's structure, strategy, systems, style, staff and skills all stem from why the organisation was originally created, and what it stands for.

How to Use the Model

Now you know what the model covers, how can you use it?

The model is based on the theory that, for an organisation to perform well, these seven elements need to be aligned and mutually reinforcing. So, the model can be used to help identify what needs to be realigned to improve performance, or to maintain alignment (and performance) during other types of change.

Whatever the type of change – restructuring, new processes, organisational merger, new systems, change of leadership, and so on – the model can be used to understand how the organisational elements are interrelated, and so ensure that the wider impact of changes made in one area is taken into consideration.

You can use the 7S model to help analyse the current situation (Point A), a proposed future situation (Point B) and to identify gaps and inconsistencies between them. It's then a question of adjusting and tuning the elements of the 7S model to ensure that your organisation works effectively and well once you reach the desired endpoint.

Sounds simple? Well, of course not: Changing your organisation probably will not be simple at all! Whole books and methodologies are dedicated to analysing organisational strategy, improving performance and managing change. The 7S model is a good framework to help you ask the right questions – but it won't give you all the answers. For that you'll need to bring together the right knowledge, skills and experience.

7S Checklist Questions

Here are some of the questions that you'll need to explore to help you understand your situation in terms of the 7S framework. You can use this list to analyse your current (Point A) situation first, and then repeat the exercise for your proposed situation (Point B), but for the purpose of today we will just look at the merits of the Model and how we may use it.

Strategy:

- What is our strategy?
- How do we intend to achieve our objectives?
- How do we deal with competitive pressure?
- How are changes in customer demands dealt with?
- How is strategy adjusted for environmental issues?

Structure:

- How is the team, department, service, organisation divided?

- What is the hierarchy?
- How do the various departments coordinate activities?
- How do the team members organise and align themselves?
- Is decision making and controlling centralised or decentralised? Is this as it should be, given what we're doing?
- Where are the lines of communication? Explicit and implicit?

Systems:

- What are the main systems that run the organisation? Consider financial and People and Culture systems as well as communications and document storage.
- Where are the controls and how are they monitored and evaluated?
- What internal rules and processes does the team use to keep on track?

Shared Values:

- What are the core values?
- What is the corporate/team culture?
- How strong are the values?
- What are the fundamental values that the company/team was built on?

Style:

- How participative is the management/leadership style?
- How effective is that leadership?
- Do employees/team members tend to be competitive or cooperative?
- Are there real teams functioning within the organisation or are they just nominal groups?

Staff:

- What positions or specialisations are represented within the team?
- What positions need to be filled?
- Are there gaps in required competencies?

Skills:

- What are the strongest skills represented within the team, department, service, and organisation?
- Are there any skills gaps?
- What is the team, department, service, organisation known for doing well?
- Do the current employees/team members have the ability to do the job?
- How are skills monitored and assessed?

Key Points:

The McKinsey 7Ss model is one that can be applied to almost any organisational or team effectiveness issue. If something within your organisation or team isn't working, chances are there is inconsistency between some of the elements identified by this classic model. Once these inconsistencies are revealed, you can work to align the internal elements to make sure they are all contributing to the shared goals and values.

The process of analysing where you are right now in terms of these elements is worthwhile in itself, but by taking this analysis to the next level and determining the ultimate state for each of the factors, you can really move your organisation or team forward.

The Congruence Model

Aligning the Drivers of High Performance

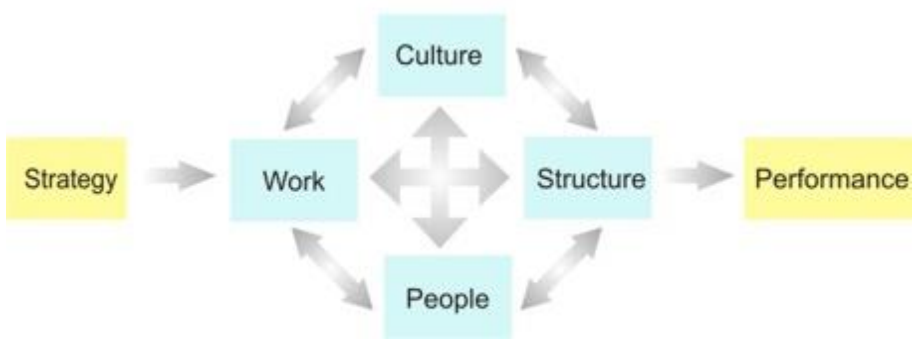
Is your organisation's performance as good as it could be? What could be changed to improve things and why would this help? Does the key lie in the work itself? Or with the people doing it? Should you reorganise the corporate structure? Or try to change the prevailing culture? And why does one organisation seem to thrive on a certain corporate structure or type of work, while another struggles?

The answer lies in understanding the key causes or drivers of performance and the relationship between them. The Congruence Model, first developed by David A Nadler and M L Tushman in the early 1980s, provides a way of doing just this. It's a powerful tool for finding out what's going wrong with a team or organisation, and for thinking about how you can fix it.

Understanding the Tool

The Congruence Model is based on the principle that an organisation's performance is derived from four elements: tasks, people, structure, and culture. The higher the congruence, or compatibility, amongst these elements, the greater the performance. For example, if you have brilliant people working for you, but your organisation's culture is not a good fit for the way they work; their brilliance will not shine through. Likewise, you can have the latest technology and superbly streamlined processes to support decision making, but if the organisational culture is highly bureaucratic, decisions will undoubtedly still get caught in the quagmire.

To avoid this type of incongruence, the Congruence Model offers a systematic wayto consider the root elements that drive organisational performance. The following diagram shows how the four critical elements relate to strategy and performance



How to Use the Tool

To apply the Congruence Model start by looking at each component individually and then compare and analyse how they relate to one another.

Step One: Analyse each key element separately

Tasks: First you need to understand what work is at the core of your organisation's performance. Here you are looking at the critical tasks that are done within the organisation from two perspectives: What work is done, and how is it processed.

- Does the work require specific knowledge or skill?
- What are the intrinsic rewards involved in completing the work?
- Is it mechanistic or creative?
- How does the work flow?
- What sort of approach is needed to do this work best? Quick? Thorough? Caring? Analytical? Precise? Enthusiastic? ...
- Where are the interdependencies?

People: You know what work is done; now you have to look at who does it. You need to know what types of people are currently performing the organisation's critical tasks.

- Who interacts to get the work done? Bosses, employees, peers, external stakeholders.
- What skills do the people possess? Knowledge, experience, education, competencies.
- Is there a demographic profile? Age, gender, ethnicity.
- What are these people's preferences and expectations for compensation, reward, career progression, recognition, and organisational commitment?

Organisational Structure: This element involves looking at the formal structure, systems and processes that support the organisation.

- How is the company organised? Mechanistic or organic.
- Are there distinct business units or other separations? Regional, functional, by product, by market.
- How distinct and/or rigid are the lines of authority?
- How standardised is the work? Rules, policies, procedures.
- How is work measured and incentivised and rewarded?

Culture: Here you are concerned with the unwritten rules that define how work is really done – which depends on attitudes, beliefs, commitment, motivation and so on, as well as the formal elements of process and structure that you have already examined. This element is the hardest to define, and often the one with the most influence.

- What do people really do to get work done?
- How does information flow around the organisation?
- What are the beliefs and values of individuals in the organisation?
- What leadership style is adopted?
- Is there a political network in play?

Step Two: Analyse how these elements interrelate in your organisation

Once you have identified the major factors in performance for each of the four key elements, you need to look at how they interrelate. You are looking for areas of congruence and incongruence.

- **Work and People**: Is the work being done by the right people?
- **Work and Structure**: Is the work done in a well-coordinated manner given the organisational structure in place?
- **Structure and People**: Does the formal organisation structure allow the people to work together effectively?
- **People and Culture**: Are the people working within a culture that best suits them?
- **Culture and Work:** Does the culture support the nature of the work that needs to be done?
- **Structure and Culture:** Do the formal and informal structures work cooperatively or do they compete?

Step Three: Plan to Create and Maintain Congruence

Work through the areas of congruence and incongruence you have identified, and decide what needs to be done to resolve major incongruence and to reinforce congruence. As you move forward with your plan, strategy, or decision, it's important to remember that you keep on looking for the things that are well-coordinated, as well as the things that aren't. It's just as important to reinforce what is currently congruent, as well as change what's incongruent, and build in processes to ensure that the current congruence is maintained

Key Points

Organisations are effective when the four key components of performance – tasks, people, structure, and culture – fit together. When these elements work in unison to support and promote high performance, the end result is an organisation-wide system that functions efficiently and effectively. When pieces are out of synch with each other, the friction that is caused has a negative impact on the entire process, which limits the overall productivity that can be achieved.

This makes Congruence Analysis a useful tool for fixing problems in your team or organisation. Use it to take a look at the organisational components contributing to your overall performance and create congruence in and between them – people will be much more satisfied and the work will be done that much more effectively.

Kotter's 8-Step Change Model

Implementing Change Powerfully and Successfully

“Change is the only constant."
– Heraclitus, Greek philosopher

What was true more than 2,000 years ago is just as true today. We live in a world where "business as usual" **is** change. New initiatives, project-based working, technology improvements, staying ahead of the competition – these things come together to drive ongoing changes to the way we work. You know that the change needs to happen, but you don't really know how to go about doing it. Where do you start? Whom do you involve? How do you see it through to the end?

There are many theories about how to "do" change. Many originate with leadership and change management guru, John Kotter. A professor at Harvard Business School and world-renowned change expert, Kotter introduced his eight-step change process in his 1995 book, "Leading Change." We look at his eight steps for leading change below.

Step 1: Create Urgency

For change to happen, it helps if the whole department/organisation really wants it. Develop a sense of urgency around the need for change. This may help you spark the initial motivation to get things moving. Open an honest and convincing dialogue about what's happening in the organisation or political arena. If many people start talking about the change you propose, the urgency can build and feed on itself.

What you can do:

- Identify potential threats, and develop scenarios showing what could happen in the future.
- Examine opportunities that should be, or could be, exploited.
- Start honest discussions, and give dynamic and convincing reasons to get people talking and thinking.
- Request support from internal and external stakeholders to strengthen your argument.

Note:
Kotter suggests that for change to be successful, 75 percent of an organisation’s management needs to "buy into" the change. In other words, you have to really work hard on Step 1, and spend significant time and energy building urgency, before moving onto the next steps. Don't panic and jump in too fast because you don't want to risk further short-term losses – if you act without proper preparation, you could be in for a very bumpy ride.

Step 2: Form a Powerful Coalition

Convince people that change is necessary. This often takes strong leadership and visible support from key people within your organisation. Managing change isn't enough – you have to lead it. You can find effective change leaders throughout your organisation – they don't necessarily follow the traditional organisation hierarchy. To lead change, you need to bring together a coalition, or team, of influential people whose power comes from a variety of sources, including status, expertise, experience and political importance. Once formed, your "change coalition" needs to work as a team, continuing to build urgency and momentum around the need for change.

What you can do:

- Identify the true leaders in your organisation.
- Ask for an emotional commitment from these key people.
- Work on team building within your change coalition.
- Check your team for weak areas and ensure that you have a good mix of people from different departments and different levels within your organisation.

Step 3: Create a Vision for Change

When you first start thinking about change, there will probably be many great ideas and solutions floating around. Link these concepts to an overall vision that people can grasp easily and remember. A clear vision can help everyone understand why you're asking them to do something. When people see for themselves what you're trying to achieve, then the directives they're given tend to make more sense.

What you can do:

- Determine the values that are central to the change.
- Develop a short summary (one or two sentences) that captures what you "see" as the future of your organisation.
- Create a strategy to execute that vision.
- Ensure that your change coalition can describe the vision in five minutes or less.
- Practice your "vision speech" often.

Step 4: Communicate the Vision

What you do with your vision after you create it will determine your success. Your message will probably have strong competition from other day-to-day communications within the organisation, so you need to communicate it frequently and powerfully, and embed it within everything that you do. Don't just call special meetings to communicate your vision. Instead, talk about it every chance you get. Use the vision daily to make decisions and solve problems. When you keep it fresh on everyone's minds, they'll remember it and respond to it. It's also important to "walk the talk." What you do is far more important – and believable – than what you say. Demonstrate the kind of behaviour that you want from others.

What you can do:

- Talk often about your change vision.
- Openly and honestly address peoples' concerns and anxieties.

- Apply your vision to all aspects of operations – from training to performance reviews. Tie everything back to the vision.
- Lead by example.

Step 5: Remove Obstacles

If you follow these steps and reach this point in the change process, you've been talking about your vision and building buy-in from all levels of the organisation. Hopefully, your staff wants to get busy and achieve the benefits that you've been promoting. But is anyone resisting the change? And are there processes or structures that are getting in its way? Put in place the structure for change, and continually check for barriers to it. Removing obstacles can empower the people you need to execute your vision, and it can help the change move forward.

What you can do:

- Identify, or hire, change leaders whose main roles are to deliver the change.
- Look at your organisational structure, job descriptions, and performance systems to ensure they're in line with your vision.
- Recognise and reward people for making change happen.
- Identify people who are resisting the change, and help them see what's needed.
- Take action to quickly remove barriers (human or otherwise).

Step 6: Create Short-term Wins

Nothing motivates more than success. Give your organisation a taste of victory early in the change process. Within a short time frame (this could be a month or a year, depending on the type of change); you'll want to have results that your staff can see. Without this, critics and negative thinkers might hurt your progress.

Create short-term targets – not just one long-term goal. You want each smaller target to be achievable, with little room for failure. Your change team may have to work very hard to come up with these targets, but each "win" that you produce can further motivate the entire staff.

What you can do:

- Look for sure-fire projects that you can implement without help from any strong critics of the change.
- Don't choose early targets that are expensive. You want to be able to justify the investment in each project.
- Thoroughly analyse the potential pros and cons of your targets. If you don't succeed with an early goal, it can hurt your entire change initiative.
- Reward the people who help you meet the targets.

Step 7: Build on the Change

Kotter argues that many change projects fail because victory is declared too early. Real change runs deep. Quick wins are only the beginning of what needs to be done to achieve long-term change. Each success provides an opportunity to build on what went right and identify what you can improve.

What you can do:

- After every win, analyse what went right and what needs improving.
- Set goals to continue building on the momentum you've achieved.
- Learn about Kaizen and the idea of continuous improvement.
- Keep ideas fresh by bringing in new change agents and leaders for your change coalition.

Step 8: Anchor the Changes in Corporate Culture

Finally, to make any change stick, it should become part of the core of your organisation. Your corporate culture often determines what gets done, so the values behind your vision must show in day-to-day work. Make continuous efforts to ensure that the change is seen in every aspect of your organisation. This will help give that change a solid place in your organisation's culture.

It's also important that your organisation's leaders continue to support the change. This includes existing staff and new leaders who are brought in. If you lose the support of these people, you might end up back where you started.

What you can do:

- Talk about progress every chance you get. Tell success stories about the change process, and repeat other stories that you hear.
- Include the change ideals and values when hiring and training new staff.
- Publicly recognize key members of your original change coalition, and make sure the rest of the staff – new and old – remembers their contributions.
- Create plans to replace key leaders of change as they move on. This will help ensure that their legacy is not lost or forgotten.

The Burke-Litwin Change Model

Unravelling the Dynamics of Organisational Change

Change is the only constant – or so the adage goes. Change is often a complex and arduous process, and not something you want to attempt without a solid plan. When organisations need to change, the planning process is often complicated by the need to change many elements in unison.

This interrelatedness of organisational parts can contribute to the failure of change programs. When one variable is missed, bypassed, or underestimated the whole system fails to change, leaving managers and employees with the unenviable task of putting things back to the status quo. The really brave will attempt the change process over again; others will accept defeat and resign themselves to doing what they've always done.

When what people have always done already isn't working however, the results of failed change can be devastating. Whether it's revamping an accounting process, implementing a new IT system, or embarking on a new competitive strategy, positive change is revitalizing and productive. That's why it is so important to understand what needs to be addressed during any change process and why.

When you understand the dynamics of organisational change, you can apply the principles to any type of change initiative that comes your way. That's an exciting and valuable skill to have in today's ever changing climate.

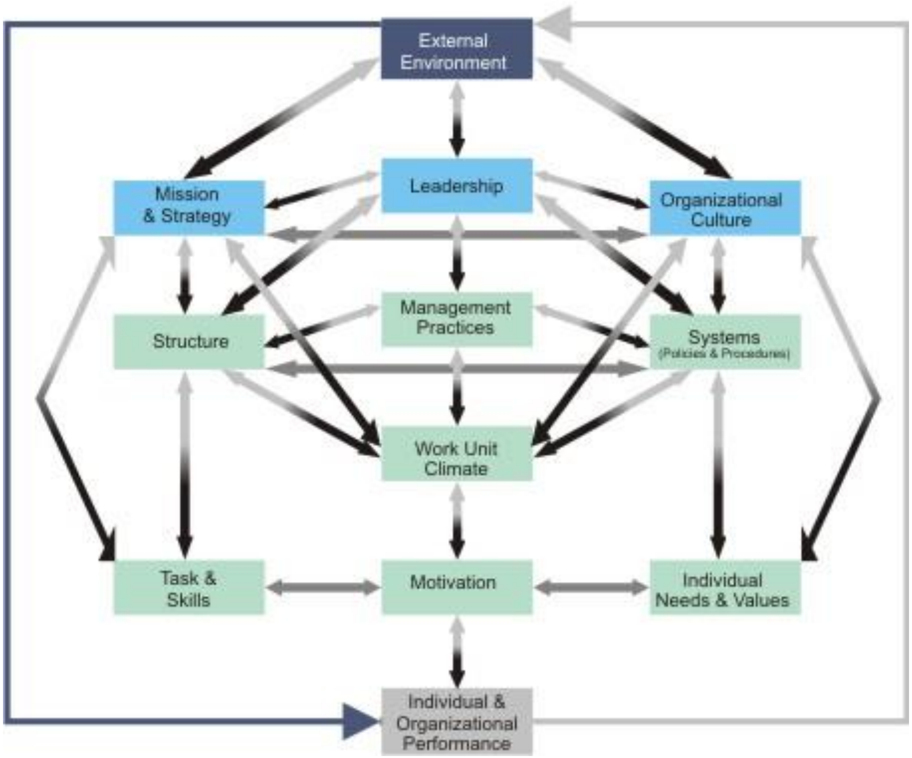
A useful model for understanding the organisational change process is the Burke-Litwin Change Model published by George H Litwin and W Warner Burke in 1992. This model shows the causal effects of change between 12 key areas of organisational design. Using the model, you can learn which organisational variables to change and why. You can then use this understanding to analyse, diagnose and even predict the effects of change throughout an organisation.

Understanding the Model

The Burke-Litwin model is used as a guide for identifying and linking factors that are critical to a successful change initiative. According to the model there are 12 of these critical factors.

Tip:
This diagram looks very complex. Please persevere! This is a useful tool, and this should all eventually make sense!

Figure 1: The Burke-Litwin Model of Organizational Performance and Change



Input: External Environment

The loop starts with the external environment, shown in dark blue in the model. This is what creates the need for change. Examples include a weakening in the economy, shifts in social trends, the arrival of new technology, funding.

By including the external environment as an input, the Burke-Litwin model goes one stage further than the Congruence Model of organisational performance. It is also considerably more complex, involving more elements. In developing their model, Burke and Litwin tried to strike a balance between reflecting the genuine complexity of the real world, and creating something that people could readily understand and use.

Throughput: Transformational Factors

Transformational factors are the elements that are core to an organisation's performance. They make up the fundamental structure of an organisation and are shown in sky blue in the model. If you're going to make significant changes to your area, or transform an organisation, you need to address these factors.

- **Mission and Strategy** – What the organisation's people believe to be the core purpose for the organisation's existence;
- **Leadership –** The actions, philosophies, and values of senior managers; and
- **Organisational Culture –** The norms of behaviour and values that are
- accepted and expected within the organisation.

To effect significant change, or even perform at acceptable levels, these three elements must be aligned. In the model, these factors are at the top of the loop and are of over-riding importance when dealing with a change that is intended to shake-up "the way things are done around here." The arrows showing the interaction between these transformational factors and the transactional factors described below are shaded downwards to indicate that, although the upper and lower elements both impact each other, the impact is stronger in the downwards direction.

Throughput: Transactional Factors

These are the elements of an organisation that are more easily changed, but rarely have the same kind of impact on organisation-wide performance as the transformational ones. They are shown in light green in the model. They are important, but unless the three transformational factors support the change, modifications in these areas are likely to be temporary.

- **Structure** – The way the organisation is set up in terms of roles and functions, communication, lines of authority, and decision-making.
- **Systems –** The processes and procedures that are in place to support operations.
- **Management Practices** – How managers and people with authority and responsibility execute the strategy on a day-to-day basis.
- **Work Climate** – The prevailing attitude and morale of the people working for the organisation.
- **Task and Individual Skills –** The degree of "fit" between the skills required for the job and the skills of the people doing the job.
- **Individual Needs and Values** – The degree to which the processes and systems within the organisation fulfil the needs of the employees and allow them to feel satisfied.
- **Motivation –** The intrinsic and extrinsic factors that motivate people to perform well on a consistent basis.

In fact, all twelve elements affect each other, but the arrows on the diagrams show the relationships between elements that the authors considered the strongest. Even so, it quickly becomes clear how a change in one element can have an organisation-wide impact. And while change or improvement in any one of these transactional factors can affect performance, the effect will only be long lasting if the underlying transformational elements are aligned.

For example, if you restructure departments and create cross functional work teams without addressing the deeply held belief that functional groups operate best as distinct business units, then your restructuring may even be detrimental to performance. Likewise, if you put in place a top-notch reward and recognition system to motivate employees, but it doesn't reward people for behaviours that support the mission, then the effect may be counterproductive.

Output: Individual and Organisational Performance

The outcome of the change is the effect it has on performance shown in gray in the model. This is the measure of the effectiveness of the change. It also has an impact on the external environment, which is what creates the loop. Therefore, as the output changes, so does the input and so the factors of change themselves also change, once again proving that the only constant is change!

Applying the Burke-Litwin Change Model

So the theory sounds good, but how do you use it? The model's greatest value is as a framework for understanding the current situation and the collateral impact of proposed changes.

Step 1: Where is the Need for Change Coming From?

Change initiatives are driven by one of two things: either something isn't working now, or something won't be working as well as you want it to in the future if you don't make changes now. Either way, the change initiatives will be focused in one of the four groups of elements in the model:

1. The External Environment
2. Transformational Factors
3. Transactional Factors
4. Performance

Start by deciding which group your change imperative belongs to. Then identify which of the elements in each group is key for your situation. In general, the lower down the model your key element is, the more easily you will be able to effect the change required.

Step 2: Assess the Current Situation

The next step is to understand the key element in your change imperative in detail. Use the questions from the following list as a guide, and also explore the other 11 elements, spending more time on those that links most closely with your key element.

- **External Environment** – What is driving the change? How will these drivers impact the organisation?
- **Mission and Strategy** – Is there a clear mission? What is it? Is there a perceived mission and strategy that is different from the formal one? Do employees believe in the mission and strategy?
- **Leadership** – Who are the real leaders? What style do they use? Is this style successful?
- **Organisational Culture** – What are the unwritten rules of behaviour? Do any of these rules conflict with what the organisation is seeking to accomplish?
- **Structure** – How are people and functions arranged? How flexible is the structure? Where are decisions made? How is authority and responsibility divided up? How is information communicated?
- **Systems** – What are the key policies and procedures that define how work is done? What systems are in place to motivate, reward, recognise and appraise employees?
- **Management Practices** – What style of management is practiced? How do managers interact with their employees? Are teams used?
- **Work Climate** – What is the morale of the staff like? How do people get along with each other? What systems are used to resolve conflict? Are there definite dividing lines between units, departments, or locations?

- **Task and Individual Skills** – How are job requirements defined? Who defines them? How well are people matched to their jobs?
- **Individual Needs and Values –** Are people generally satisfied at work? What efforts are made to ensure job satisfaction? What opportunities are given for professional development and career succession?
- **Motivation** – Are staff motivated through formal systems? Is motivation expected to be intrinsic? What impacts motivation the most?
- **Individual and Organisational Performance –** How is productivity measured? What are the performance levels on these factors? What should be measured that isn't?

Step 3: Incorporate All Affected Elements into your Change Plan

Now that you understand "what" is happening, you need to figure out what you're going to change in the key problem element, and what therefore also needs to change in the main related elements.

This may need to be done as an iterative process: change in one element affects a second element, which affects a third, yet the change in the third element may require another alteration back in the first element again.

Key Points

The Burke-Litwin Change Model examines organisational change and provides insight into how changes in 12 key elements of the organisation's design can impact one another and overall performance. This framework can be used to keep a close eye on the impact that changes in one area have on all the other areas as development and implementation of a change plan continues. The more aware you are of the dynamics of change, the better you will be at managing and dealing with it as it happens.

Weisbord's Six-Box Model

A Starting Point for Diagnosing Organisational Issues

Is your team, service area, department, Clinical Programme Group, Corporate function well designed, and does it operate effectively? Or is there a gap between "what is" and "what should be"?

Too often, gaps like these aren't identified until they're huge, and that's why leaders and managers should frequently assess their organisation – or team – for potential improvement opportunities.

The hard part of this is figuring out where to focus your attention. There are so many factors that contribute to successful operations, and knowing what to investigate and spend your time analysing is half the battle.

This is where Marvin Weisbord's Six-Box Model helps. Introduced in his article "Organisational Diagnosis: Six Places to Look for Trouble With or Without a Theory", his tool gives you six good places to start looking for improvement in your business. By paying attention to these key areas, you can start generating options for creating a stronger organisation.

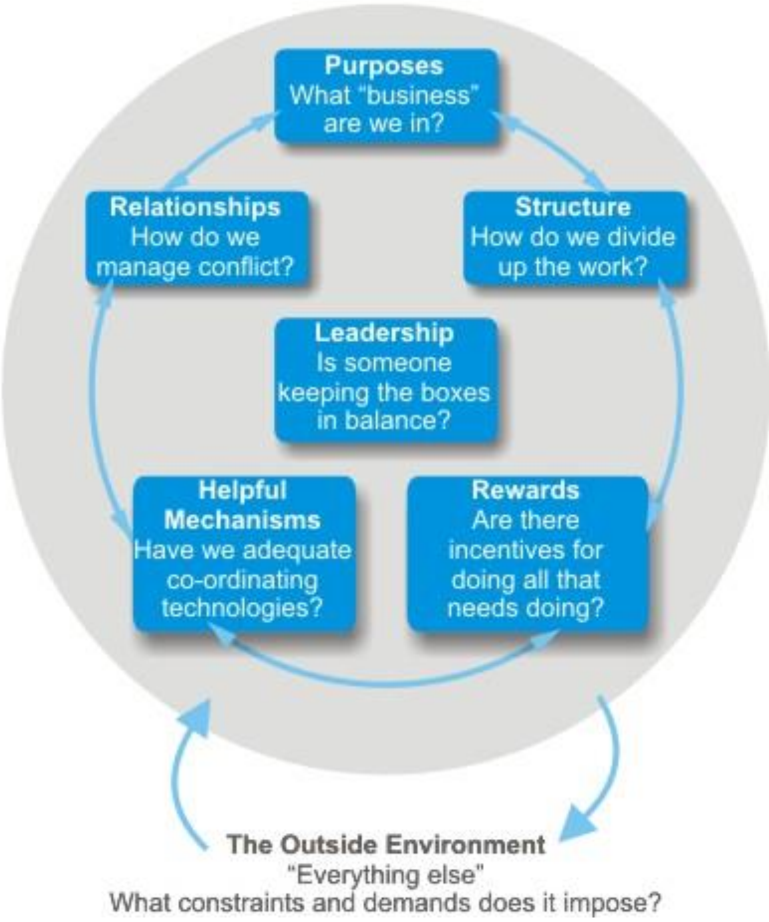
The Six-Box Model

Weisbord argued that, to be successful, the organisation has to work effectively and be internally consistent in six key areas:

- Purposes – The mission and goals of the organisation.
- Structure – The way that work is organised.
- Relationships – The way that people interact.
- Rewards – How intrinsic and extrinsic rewards are linked to work.
- Leadership – The type of leadership, and how well it keeps business elements aligned.
- Supporting mechanisms – Planning, controlling, budgeting, and other systems that help the organisation meet its goals.

Each of these areas is affected by inputs from the external environment – things like economy, political arena, funding issues. The outputs are the services that the organisation provides. Figure 1 shows how these elements fit together.

Figure 1: Weisbord's Six-Box Model



Weisbord suggested a variety of questions in each area to help people use the model. Answering these questions helps you think about how the organisation operates currently, how well each area supports the other areas, and what the organisation can do to improve.

Below, we look at each box in more detail.

Purposes – Here you assess the business that you're in, and decide what you're trying to accomplish. Ask questions like:

- Do we have a clear mission and vision?
- How well do we use these to establish goals?
- How clearly do people understand the goals?
- To what extent do we agree on our goals?
- How much have workers participated in goal setting?
- How can we frame our goals to increase commitment and buy-in?
- How well do our goals fit our capabilities and core competencies?
- How much difference is there between what we say we do and what we really do?

Structure – Here you assess how work and people are organised. Questions include:

- How well does our organisational design fit our purpose?
- What organisational configurations are best for our purpose?
- How well does our structure support effective communication?

- What differences are there between formal structure and informal structure? In other words, what are the differences between what's supposed to be done and what's really done?
- Do we have appropriate accountability in both the formal and informal structures?

Relationships – Here you assess how people relate to one another throughout the organisation.

- How important is the team development processes?
- How well do people relate and communicate with one another?
- How well do people relate and communicate between departments and units?
- How much do people collaborate?
- How well are people matched to the roles they perform?
- Does the level of interdependence support the purpose and structure of the organisation?
- How much conflict is there?
- How effective are conflict resolution processes within the organisation?

Rewards – Here you ensure that people are properly incentivised for doing what needs to be done.

- How well do formal rewards reflect what the organisation wants to accomplish?
- Are informal rewards working effectively?
- What actions and results really get rewarded?
- To what extent do people consider rewards to be valuable?
- How timely are rewards?
- Are rewards distributed equitably?
- Do rewards support the organisation's vision and goals?

Leadership – Here, you're looking at how well the boxes fit together and support one another. This is the central position in the diagram. Here, the leader is expected to maintain the right balance between all six key organisational elements. Questions include:

- Do leaders understand the mission and vision?
- Do we routinely monitor that our stated purpose is still valid?
- Do leaders reflect the organisation's purpose in departmental goals?
- How well do leaders represent organisational values and practice ethical leadership?
- How much do leaders lead, as opposed to managing?
- How are leaders chosen?
- How effective are leaders at dealing with internal conflict?
- Does the primary leadership style support the appropriate direction of the other five boxes?

Supporting mechanisms – Assess the adequacy of coordinating technologies.

- Do we have planning, budgeting, and controlling systems in place, and do we actively monitor them?
- How well do policies and procedures support our purpose?
- Is the communication process sufficient and effective?
- Is there a mechanism for measuring and evaluating performance?

- Do we use a training and development process to align worker skill and performance with expectations? (Tools like coaching for team performance, competency frameworks, performance and development reviews will help you develop effective performance systems.)

With respect to the outside environment, the other element of the model, you generally have no control over this. However, you can use tools such as PESTLE analysis and Force Field analysis to understand it better.

Using the Six-Box Model as a Strategic Tool

Weisbord's model doesn't claim to be a revolutionary or an elaborate framework for looking at strategic options. However, it's a simple and straightforward way to start the process. And, like other well-established strategic models – such as McKinsey's 7S framework, and Nadler and Tushman's Congruence Model – the Six-Box Model emphasises the importance of internal consistency and mutually supportive systems. All of these models emerged in the late 1970s and early 1980s, and, while they take different approaches, the message is the same: if you create consistency with your mission, environment, and internal processes, you'll improve your chances of success.

Key Points

Weisbord's Six-Box Model helps you to simplify organisational analysis and ensure that structures and processes within your organisation are operating well. Many of the major issues that may be facing your organisation are likely to be included in one of the six boxes, which makes this a practical and useful tool.

This model emphasises the need for internal consistency, and it acknowledges the role of the external environment. As such, it's a logical and practical tool that helps you determine if you're performing as well as you could.

The Change Curve

Accelerating Change, and Increasing Its Likelihood of Success

Initially, many people want to cling to the past.

Here's the scenario: You have invested vast amounts of time and money in the latest systems and processes; you have trained everyone; and you have made their lives so much easier (or so you think.) Yet months later, people still persist in their old ways: Where are the business improvements you expected? And when will the disruption you're experiencing subside?

The fact is that organisations don't just change because of new systems, processes or new organisation structures. They change because the people within the organisation adapt and change too. Only when the people within it have made their own personal transitions can an organisation truly reap the benefits of change.

As someone needing to make changes within your organisation, the challenge is not only to get the systems, process and structures right, but also to help and support people through these individual transitions (which can sometimes be intensely traumatic, and involve loss of power and prestige... and even employment).

The easier you can make this journey for people, the sooner your organisation will benefit, and the more likely you are to be successful. However if you get this wrong, you could be heading for failure.

The Change Curve is a popular and powerful model used to understand the stages of personal transition and organisational change. It helps you understand how people will react to change, so that you can help them make their own personal transitions, and make sure that they have the help and support they need.

Here, we first look at the theory behind the Change Curve. Then we look at how you can use it to accelerate change and improve its likelihood of success.

Note:
The Change Curve is widely used in business and change management and there are many variations and adaptations. It is often attributed to psychiatrist Elisabeth Kubler-Ross, resulting from her work on personal transition in grief and bereavement. Here we're describing major change, which may be genuinely traumatic for the people undergoing it. If change is less intense, adjust the approach appropriately.

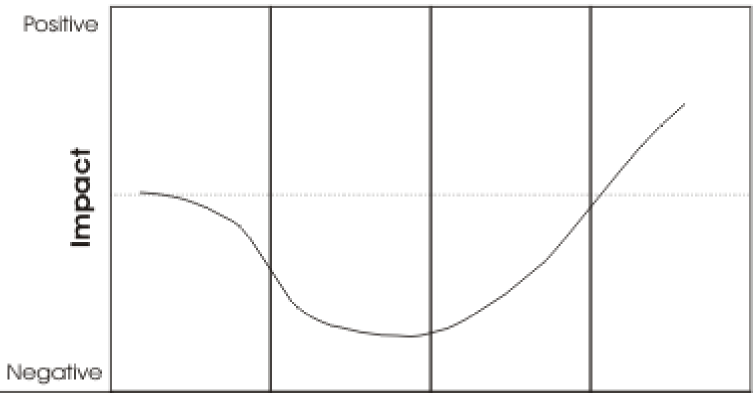
The Change Curve

The Change Curve model describes the four stages most people go through as they adjust to change. You can see this in figure 1, below. When a change is first introduced, people's initial reaction may be shock or denial, as they react to the challenge to the status quo. This is **stage 1** of the Change Curve.

Once the reality of the change starts to hit, people tend to react negatively and move to **stage 2** of the Change Curve: They may fear the impact; feel angry; and actively resist or protest against the changes. Some will wrongly fear the negative consequences of change. Others will correctly identify real threats to their position.

As a result, the organisation experiences disruption which, if not carefully managed, can quickly spiral into chaos.

Figure 1: The Change Curve



Stage	1	2	3	4
State	Status quo	Disruption	Exploration	Rebuilding
Reaction	Shock, denial	Anger, fear	Acceptance	Commitment

For as long as people resist the change and remain at stage 2 of the Change Curve, the change will be unsuccessful, at least for the people who react in this way. This is a stressful and unpleasant stage. For everyone, it is much healthier to move to stage 3 of the Change Curve, where pessimism and resistance give way to some optimism and acceptance.

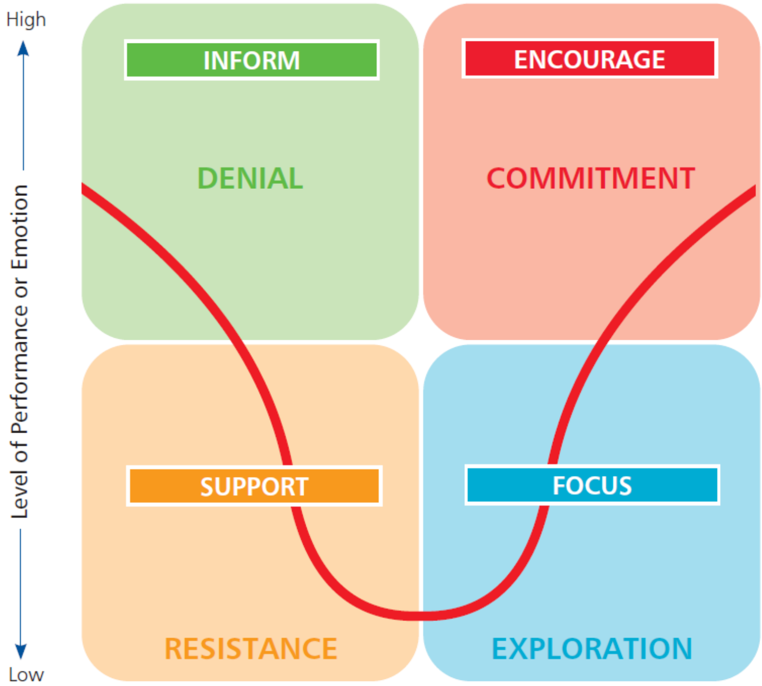
Tip:
It's easy just to think that people resist change out of sheer awkwardness and lack of vision. However you need to recognise that for some, change may affect them negatively in a very real way that you may not have foreseen. For example, people who've developed expertise in (or have earned a position of respect from) the old way of doing things can see their positions severely undermined by change.

At **stage 3** of the Change Curve, people stop focusing on what they have lost. They start to let go, and accept the changes. They begin testing and exploring what the changes mean, and so learn the reality of what's good and not so good, and how they must adapt.

By **stage 4**, they not only accept the changes but also start to embrace them: They rebuild their ways of working. Only when people get to this stage can the organisation can really start to reap the benefits of change.

Using the Change Curve

The Change Curve (below) summarises the four phases that people experience during periods of change. Most people experience the phases of change in sequence, staring with Denial and then moving through to Commitment.



The Change Curve – Scott and Jaffe

The following hints and tips will help you to lead your team as they experience the four phases of the Change Curve.

Phase of Change	What you will see and hear	Tips for leading your team in this phase
Denial Those who are denial will simply believe that the change isn't going to happen, or that it won't have any impact, and some will not even know that they are in denial!	• People carrying on as before – maybe ignoring new methods because the old ones are "easier" • Limited discussion about the change – individuals deliberately avoiding others who want to discuss it. *"I'll believe it when I see it"* *"It's not worth worrying about"* *"It won't affect us"*	**Provide Information:-** • Outline the facts of the change as you know them. • Give them time and space to assimilate the changes – listen to them and accept their feelings. • Provide information to counter their arguments and make the change real – sell the benefits. • Talk to them about what you see – their denial and its effects. • Above all, empathise, be patient and don't let your frustration show. • Organise regular planning and feedback meetings to discuss the change.
Resistance Those who resist will do so because they think the changes will cost them more than they will gain – materially or emotionally.	**What you see is:-** • Reduced motivation – lower output and quality – "just enough" • Absence/lateness • Criticism and challenge • Encouraging others to be negative *"They can't make me"* *"It'll never work – what idiot thought this up"* *"We haven't got the skills/training"*	**Provide Support:-** • Listen for the genuine objections and address them. • Use facts, logic and information to challenge (gently!!) their views. • Encourage those who are positive and use them to influence. • Identify the opinion formers and focus on changing them. • Provide formal measures of progress towards the change goals that have been established. Share and review them with your team.
Exploration When exploration is reached people are looking forward rather than back. Exploration must be nurtured - if not, people can revert to cynicism and negativity.	• Energy, involvement and eagerness • More positive discussions about the change – suggestions and innovation for improvement rather than criticism *"Now I can see what they're after"* *"What if we tried…?"*	**Provide Focus:-** • Encourage and recognise the transition. • Support and coach to ensure the changes are embedded. • Involve individuals and teams in setting new goals and looking for further improvements. • Reward progress. • Tolerate mistakes. • Celebrate success.
Commitment People are now using and accepting the new processes and procedures – and they are the established norm.	• Focus on future improvements • Deliver high output and quality, complying with the new processes • Recognise the achievement *"I prefer this"* *"What were we worried about"*	**Provide Encouragement:-** • Reinforce new goal and plans. • Recognise and reward achievements and ideas. • Celebrate the new beginning. • Involve the team in forward planning. • Be consistent.

There are some very important principles you can apply throughout a period of change, that will help you implement it successfully and keep everyone on board.

1 Communicate, communicate, communicate. Set up regular meetings to tell your team what you know, when you know it. If there is nothing new to tell, let them know this too.

- 2 Remain positive at all times. You need to stay positive in front of your team, even if you don't agree with what's happening. Where you have genuine concerns, find someone to you trust to share them with.
- 3. Involve your team wherever possible. By consulting and involving them from the outstet you will go a long way towards getting their support.

Overcoming Cultural Barriers to Change

Moving to a High Performance Culture

How does ELFT approach change? How do you approach change? Do people respond with a sharp intake of breath when they first hear about a proposed new initiative and then go on to try and find reasons why it won't work? Or do they react by saying things like "What a great idea, and we could also.." In other words, is your corporate culture against or for change?

Corporate culture is a powerful force that runs through every organisation. It is defined as the attitudes, experiences, beliefs, and values that operate within an organisation. And these undercurrents define people's behaviour, and how an organisation gets things done, in either positive or negative ways.

When successful change is the desired outcome, these cultural factors play a very important role. If an organisation has had a negative experience of change in the past, then change will be that much more difficult the next time around. Likewise, if the prevailing attitude is represented by the saying, "If it isn’t broken, don't fix it", then making any kind of change will be met with that much more resistance.

Effecting change is difficult at the best of times. When you encounter resistance due to cultural elements, it can be even more frustrating. This is because the very elements of corporate culture are so difficult to see and pinpoint.

It is worth remembering here that while culture issues can present barriers to change, they can also support change and goal achievement. To overcome cultural barriers the best way to start is to look at the characteristics of a high performance culture. Once you know what you "should" be doing or promoting, it is easier to make a plan to revamp your current situation.

There is no such thing as a perfect culture. An organisation's culture is unique and special and it evolves from all the experiences, growth, and development that have already occurred. So while there is no ideal to aspire to, what you do want to do is set in place characteristics that will help your service/team adapt to whatever comes its way. There's a saying that "the only constant is change" which has some truth to it, so every organisation needs to encourage values, beliefs, and structures that support change.

The Characteristics of High-Performance Cultures

By definition, one of the main differences between high-performance cultures and low-performance ones is their ability to adapt and change. In general terms, a low-performance organisation is one in which there are many barriers to change. When organisations are able to embrace change and easily implement systems to support it, they tend to be more successful.

The following chart lists cultural characteristics the support and obstruct change.

Is your department/service more on the left or right hand side of the chart?

Cultural Barriers to Change	Cultural Supports for Change
Fear and distrust – thinking that everyone is out for themselves	Trust in the organisation and the people that work there
Concern with short-term profits and the bottom line	Long-term business focus
Hierarchical structure with top-down decision making	Employee empowerment to make decisions
Looking for blame and fault, people shirk responsibility	Personal accountability and responsibility
Poor communication – the "messenger is shot", information is hidden, employees are uninformed and sceptical	Open and honest communication – information is sought after
Preference for the status quo, believes what is currently being done is the right thing to do	Openness to new ideas and ways of doing things
Failure is covered up	Failure triggers investigation and analysis
Crushing of new ideas, with criticism given with intent to find fault	Promotion of innovation and creativity
"Us versus Them" mentality, turf wars between departments or business units	Cross functional teams
Top management talks a big game but doesn't do much themselves	Top management that leads by example
Enforcement of very rigid policies and rules that don't allow for much judgment	Flexibility of rules, processes, and procedures that can be adapted to suit the situation
Negative attitude – start by looking at all the things that will go wrong	Positive attitude – start believing success will be achieved

If your department/service is parked on the left side of the chart, there's no time like the present to address these cultural issues. Not only will these issues hamper your attempts to change, they may cause inefficiencies, discord and disconnection between employees, departments, managers and service users.

Overcoming Cultural Barriers

The nature of the cultural barriers your department/service faces will be unique to your organisation. Nonetheless, there are some principles that you can apply right now that will help you as you move your culture from low-performance characteristics to high-performance ones.

What Gets Rewarded Gets Done

Reward and recognition programs are highly effective means to motivate and reinforce change. When culture has to change, you need to get creative and identify specific behaviours or outcomes that represent the cultural elements you want to promote. If you have a culture that prefers the status quo, then you might consider setting up an improvement programme where people are rewarded for the improvements they suggest.

At the same time, analyse your existing reward programs to ensure that you aren't inadvertently rewarding the behaviour you want to eliminate. If you are currently recognising people for adhering to policies and procedures, are you at the same time discouraging new ideas and turning out robots?

Tip:

Remember that rewards don't need to be financial. Most people respond well to recognition for good performance, whether that is an e-mail or letter from their manager, leader or an Executive Director, or a mention in a departmental meeting or corporate bulletin.

Practice What You Preach

When it comes to cultural change, the most important single element of success is leadership. As the head of service/department/ team, or a manager, you cast a powerful shadow of influence over your peers and employees. This means you **must** model the behaviour, attitudes, and values you want represented within the organisation. When people see you making an effort, that will make them want to follow suit.

**It is important to reflect here on the ELFT Values and how, as leader/manager display these values openly to your staff.

Encourage Involvement and Ownership

When people have changes thrust upon them, it is only human nature that they will display a certain amount of resistance. If people feel no involvement or ownership, "not-invented here" syndrome sets in, and it can be difficult to subsequently win people around. Through consultation and involvement, people will experience greater control over the changing environment they are working in, and so they will be able to contribute positively rather than resist the change.

Say It Over, and Over, and Over Again

Changing an element of culture doesn't happen overnight. These patterns of doing things take a long time to develop. You need to communicate what you want done, and why, on a regular basis. Risk over-communicating if you need to because at some point, the message will resonate with each and every employee. If you let up, you risk allowing old patterns to re-emerge. Keep driving the message home until the new characteristic is firmly entrenched as a cultural characteristic.

Build a New Reputation

The aspects of your culture that you want to change away from need to be highlighted and then decisively quashed. Be open and forthright about what wasn't working and then create a new image for your team, department, or organisation. You might create a slogan or mantra that depicts what you intend to represent. If your tag line is, "We own our decisions" then eventually you will be known as the department that takes responsibility and commits to making right the results of less than optimum decision making.

Be Passionate

Finally, anything that requires changing requires enthusiasm. Show your passion and commitment to the cause every day. When you unequivocally believe that a certain aspect of your culture needs to be changed, you will display that belief in everything you do. As you pass your passion on to others, you will create a chain reaction that culminates in a successful change initiative. This will also increase your "change agility" for next time.

Key Points:

An organisation's culture is deeply embedded in its experiences, the way people work there, and their shared values and beliefs. It's not something that's quick or easy to change. However, if your organisation's culture is creating barriers to the organisation's progress, it's one of the key elements that you need to address when planning your strategic and change initiatives.

By analysing your organisation's culture, and addressing any key barriers to change, you can help make your change initiative more successful. With perseverance, communication, and passion, you can build a new story and encourage new ways of working. And so you will build a higher-performing culture which is fundamental to your organisation's ability to adapt and change, and to its long-term success.

Changing People's Habits

Encouraging and Sustaining New Behaviours

How can you get a leopard to change its spots?

You've just come back from a course about managing meetings, full of enthusiasm for changing the way that you work. You're going to turn up to meetings on time, every time. And when you're in the chair, you'll start promptly, even if everyone else isn't there yet.

However, after a couple of weeks, it's clear that this isn't really working. Other meetings overrun, and whilst you endeavour to get to yours on time, your colleagues don't seem to be making any effort. With key people missing, you can't make any progress, and you find yourself wasting time just hanging around. Frustrated, you gradually return to your old way of doing things.

This is a very common story. Even when you're enthusiastic about changing your own habits and behaviours, it is not always easy to do so. And encouraging others to change their habits can be even harder! How people behave at work is not just down to their personality and particular skills. There are numerous contributory factors, including organisational structure and processes, and the overall business culture.

Creating sustainable behaviour change

In many cases, if you want to create sustainable behaviour change, it's not enough just to attend a series of training workshops. Chances are that you'll need to change the way your department/service operates, as well. If you work through the two stages below, your programme will be much more likely to succeed.

Stage 1: Ensure that the case for change is compelling

You're unlikely to succeed in the tricky business of changing people's habits if the people you're asking to change don't think it is worthwhile. As such, the first thing you need to do is make sure that your arguments for change are compelling.

Above all, you need to have a robust business case. This should go beyond simply detailing how the expected benefits will exceed the time and money that it will take. It must also show that there's enough spare "organisational focus" available right now to make it work. There's a limit to the number of "new" things that any organisation can concentrate on at one time, and taking too much on will inevitably have a negative impact on the delivery of some of your organisations' initiatives.

You must think through the impact that the desired new behaviour will have on:

- Costs.
- Revenue.
- The quality of the service, or service user experience.
- The productivity of staff, technology, or other assets.
- The time taken to complete processes.
- The amount or extent of reworking or restructuring required.
- Service user satisfaction levels.
- The speed, effectiveness and quality of decision-making.

Being able to demonstrate likely benefits in these areas will help you to overcome resistance to your plans from those who need to change.

Now, build all of this information into a stakeholder communication plan.

Stage 2: Create the environment for behaviour change

Next, you must develop an understanding of what will drive and reinforce the behaviour you want to encourage. The questions given below will help you to start thinking about this, but there may be other areas specific to your organisation that you should investigate as well.

You can use a fishbone diagram to record your answers.

Employees

- How will the service/organisational structure support or encourage your new behaviours?
- What support will people require to develop the skills, understanding and knowledge needed to behave in the "new way"?
- What will be the most effective way for this support to be delivered? For example, should you deliver this through training courses, workshops, or peer/manager mentoring/coaching?

Key senior people

- How do the values of senior managers get reflected in the way that the service/organisation works? Will this reinforce or work against the new behaviours you want?
- How do these people reward positive behaviours and discourage unwanted ones in their teams?
- Are there any existing people who are positive role models that you could get other people to follow?

- Could these senior people support you and become effective advocates, agents or sponsors of change?

History

- How has the organisation evolved? Have some behaviours originated from a previous strategy or from a priority of the organisation that may now have been abandoned? If so, how can you demonstrate to people that things have moved on?

Processes and systems

- How will existing processes and systems support the new behaviour?

Location

- What impact does remote working, office layout and location have? Are there any challenges that arise from the organisation's geographical structure which need to be taken into account in designing your implementation approach?

Technology

- Which technologies do people have access to in the organisation? What technological barriers and opportunities are there?

Measures and controls

- What types of measures are important within the service/organisation, and what kind of controls are in place? How will these support or hinder the way that you want people to behave?

Service Users and other external stakeholders

- Do the needs of stakeholders outside your organisation have a significant influence on behaviours?

Reward

- How are individuals and teams recognised and rewarded? To what extent does this vary across the organisation? And what impact will this have on your change?
- How important is behaviour in considering an individual's overall performance?
- In what circumstances is poor behaviour overlooked?
- To what extent could existing Workforce & Organisational Development tools within the organisation support or hinder the implementation of the new behaviour? (These could include performance management processes, competency frameworks, and agenda for change systems.)

Organisational culture

- What is important to the organisation as a whole?
- What "cultural paradigm" does the organisation operate within?

- How do we live and breathe the ELFT Values and Behaviours which have been created by the staff themselves?

When you're thinking about changing people's behaviours, think about as many of these questions as possible.

Tip:
Many existing habits and behaviours are subconscious. People have got so used to doing something in a particular way, that they do it without thinking. Even if you're aware of these things, you may have no idea how they became habits in the first place. New staff may remark on them, but, before long, chances are they'll be behaving in just the same way!

To change these die-hard habits, you need to make your staff aware of them. Show people why they're no longer appropriate. Then reinforce the new behaviours you want within the organisation, until they themselves become habits.

Ensuring success

When it comes to improving the chances of successfully changing people's behaviours, there are a number of things that are worth doing:

- **Limit the number of areas that your program needs to address.** Your fishbone diagram may indicate a complex set of things that need to happen in order to achieve the desired new behaviour. If this is the case, look again at your initial plan, and include only the actions that are really critical to making a difference. You'll have a much better chance of succeeding if you can focus on a few key things that need to change.
- **Recreate your fishbone diagram in a workshop with key change advocates and change agents.** This will not only make your preparation more robust, but it will also engage these people early in the programme, and strengthen their sense of ownership of the plan.
- **Consider what consequences individuals will experience if their behaviour doesn't change.** If the new behaviour is not reinforced through systems or processes, or if it's not integrated into how performance is measured, it's going to be more difficult to implement successfully. If appropriate, consider monitoring people's progress within your performance management system.
- **Ensure that individuals see the change as compelling.** It's not enough for you to see that something needs to be done – others must too. Remember, existing behaviours and habits are likely to be deeply rooted, and are often taken for granted.
- **Respected role models are critical for success.** When you introduce a new IT-based system, for example, it'll be obvious whether it's working well for your organisation or not, however changing behaviour is less clear cut. People need to see what good behaviours look like in practice.

Key Points:

Peoples' habits and behaviours are influenced by a complicated set of factors. Some are driven by the individual's capabilities and experience, and others by elements within the organisation where they work. By using the approach above, you'll be able to determine the key issues that you need to take into account when implementing a behavioural change program within your department/service.

Appendix 8

Support resources for staff affected by change

Support resources	
Internal Support	ELFT's Emotional Support Call-Back Service can be accessed by emailing **elft.communications@nhs.net**
	Occupational Health can be contacted on 01327 810777 or email: **elft@teamprevent.co.uk**
	Carefirst, a 24-hour staff helpline, can be contacted on 0800 174 319 or by logging in online **www.carefirst-lifestyle.co.uk** : **Username: ELFT; Password: employee**
	You can call the ELFT support line on: 0800 073 0066
External Support	Download the Woebot App to help reduce stress, combat isolation and offer supportive techniques Woebot Download Poster - cfgen.pdf
	NHS People online guides **https://people.nhs.uk/all-guides/**
	Silver Cloud is free to access to a CBT online platform by using the access code:**NHS2020** **https://www.silvercloudhealth.com/uk**
	Butterfly Hug is an online resource for traumatic stress relief using the 'butterfly hug' technique **https://1stcontact.net/**
	Headspace provides mindfulness and mediation tools. Free for NHS staff. **www.headspace.com/nhs**
	Sleepio is a personalised sleep improvement programme. Free for NHS staff using the code: **NHS2020** **https://www.nhs.uk/apps-library/sleepio/**
	'NHS in Mind' is a free platform containing interventions to help combat high anxiety, panic and fatigue **https://www.nhsinmind.co.uk/**
	Together In Mind are podcasts and resources that support wellbeing of NHS staff during this difficult time **https://togetherinmind.nhs.uk/**
	Ten Percent Happier app is free for six-months and offers meditation and mindfulness guidance **https://www.tenpercent.com/care**

	'The Support The Workers' have developed training to provide psychosocial support to frontline staff **https://www.supporttheworkers.org/**
	Daylight app helps people experiencing symptoms of anxiety using CBT, voice and animation **https://people.nhs.uk/help/support-apps/daylight/**
	The "Going Home Checklist" from Mind can help staff switch off from work **https://people.nhs.uk/clinical/going-home-checklist/**
	Hawk Training offer courses on emotional resilience and managing stress in the workplace. **Free for NHS staff** **https://info.hawktraining.com/short-courses/managing-workplace-stress**

More resources can be found on the intranet or ELFT internet page.