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NATIONAL SCIENCE FOUNDATION ADVANCE
PROGRAM FOR INSTITUTIONAL TRANSFORMATION

Leading Change in the Academy

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Food for Thought

The new role for leaders is
"to help people face reality and
to mobilize them to make change."

Ronald Heifetz, Director of the Leadership
Education Project at Harvard University's John F.
Kennedy School of Government

Today

Hopes for today... that you will:

- Draw upon your own experiences with change in the academy
- Strengthen your understanding of human responses to change
- Reflect upon and sketch out a plan for a change you will lead
- Increase options for engaging faculty
- Experiment with action learning (briefly)

Today

The agenda:

- Three notions
- Five strategies
- Twelve skills and traits
- Any and all of your questions
- Personal reflection and practice sprinkled throughout

Approaches to Change

Evolutionary

Thomas A. Edison



<http://classroomclipart.com>

Revolutionary

Franklin D. Roosevelt



FORT ONTARIO N.Y. 1929.

It's Not the Change, It's the People

Understanding and acceptance of the ways people frame change is critical to the effectiveness and success of change efforts.

From *Dangerous Opportunity**

Conservers

Conservers prefer to work within existing structure and to create incremental changes.

- Appear deliberate, disciplined and organized
- Prefer change that maintains the current structure
- Enjoy predictability
- Appear cautious and inflexible

Pragmatists

Pragmatists deal in outcomes and seek practical, functional solutions to problems.

- Appear practical, agreeable and flexible
- Operate as mediators
- Take more of a middle-of-the road approach
- Are open to both sides of an argument

Originators

Originators favor something that's different because it is just that – different.

- Appear unorganized, unconventional and spontaneous
- Prefer change that challenges current structure
- Enjoy risk and uncertainty
- Can be impractical and miss important details

*Musselwhite & Jones, 2004

When communicating about change with...

Conservers

- Know the details
- Don't start by presenting the big picture
- Pick one angle and build from there
- Present a minimum of information and ask what else is needed
- Let them guide you with what they need to know

Pragmatists

- Speak in terms of outcomes
- Talk about consequences of continuing down the same path
- Ask for recommendations for practical first steps
- Ask about problems and barriers to implementation
- Talk about timelines

Originators

- Think in the future
- Ask what they would like to see happen
- Ask for ideas
- Ask about what is effective in current system that they would not want to change
- Talk about the connection between the change the future effectiveness

Musselwhite & Jones, 2004

Perspectives

- Perspective = How people process knowledge and experience.
- Each person's experience is unique, so no two people have the same perspective.
- Essential to explore multiple perspectives when dealing with any complex issue.
- “Right versus wrong” shifts to exploring legitimate differences.

This is a design for a new coffee cup.*
Write down 5 observations you have about it.



*From von Oech, R. 1986. *A Kick in the Seat of the Pants*.

Perspectives

- An atmosphere of suspended judgment and curiosity allows for multiple perspectives, all of which are “right.”
- Ambiguity --- seeking multiple right answers, can lead to powerful insights. Ask:
 - What’s really going on? What does it mean?
 - How else can that be interpreted?
 - What assumptions and filters influence my/our interpretation?

Sources of Power

- **Personal** – rests on personal characteristics, such as charisma, integrity, honesty, and on background + expertise.
- **Positional** – derived from role, title, or “seat at the table.” Those with position power typically have: control of resources, access to information, ability to make decisions.
- **Relational** – based on established relationships and ability to get things done via networks of people.

- Which source of power do you use? Do you use several or rely primarily on one?
- Refer back to the definitions and think of a specific situation, in your leadership role, when you used each of these sources of power.
- When thinking about effectively leading change, what will be your greatest source of power?

Levels of Commitment

Behaviors	Values	Attitudes + Assumptions
Compliance	Compliance	Compliance
	Commitment	Commitment
		Internalization

Compliance - results in behavior change.

Commitment - results in attitude change.

Internalization - results in change in values and underlying assumptions.




What is necessary? Ideal?

Handouts, p. 4



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	Compliance	Compliance + Commitment	Compliance + Commitment + Internalization
	Behavior	Attitude	Values + Assumptions
Travel form			
Faculty meetings			
Faculty searches			
Semester conversion			
Climate			



A Change You will Lead

Handouts, p. 5

Identify a change you will lead this academic year What type of change is it? Types of change:

Type of Change	Examples
Activities	Teaching, partnerships, projects
Outcomes	Graduation rates, satisfaction rates, student learning outcomes
Processes	Searches, P&T, mentoring
Structures	Committees, staffing
Experiences	Climate

What is the level of change you hope to achieve?

Five Strategies for Leading Change in the Academy

- Begin with defining the need for change.
- Describe the desired outcome while anchoring the change to the department/college/university's mission.
- Rely on relational power; utilize a change team who is well connected/networked.
- Engage stakeholders in meaningful conversations.
- Measure, track and communicate progress (again and again and again).



Define the Need for Change

To answer the questions, “Why change? What is the compelling reason driving the change?”:

- Articulate consistent, repeated messages.
- Share ownership – describe internal and external forces that have expressed concern about this issue.
- Give data + information (analysis-think-change).
- Draw attention to visuals + personal stories that illustrate the current reality (see-feel-change).

Define the Need for Change

Framing the Change*

The change	Questions that invite reflection and participation	Statements that foreclose possibilities and imply blame
Curricular	What should a graduate of this department know and be able to do?	The core curriculum is outdated and does not reflect the needs of our students.
Incorporating technology into teaching	How can learning be improved? What can be accomplished through technology? Through other means?	In the next decade, old-fashioned techniques such as lectures, will have to be eliminated.

*From ACE, *On Change III* (1999)



Describe the Desired Outcome

- The change team must define the desired outcome of the change effort. What will be different once the change is effectively implemented?
- The desired outcome should be:
 - communicated in 5 minutes or less, and
 - stated in such a way that it is relevant to those who will hear it, and connected to what's most valued.

Utilize a Change Team

- Small group (4-8), representing various constituents, who have a shared commitment to strengthening the unit, and orchestrating the process.
- Members must be willing to seek input from others, and allow solutions to emerge over time. They are not selected because they are experts with immediate answers/solutions!

Utilize a Change Team

- If the change is of any magnitude, you, the leader, must be a part of this team.
- Define and communicate the group “charge.”
- As a group, establish how you will work together, how frequently you will meet, and how decisions will be made.
- Consider the use of a facilitator.
- Consider the use of action learning.

- A process to solve complex problems while also strengthening individual and organizational learning.
- Emphasis is on reflective questioning and listening.
- Statements only in response to questions; anyone can ask questions.
- Participants let go of having the “right answer.”

Ground rule/guideline:

- Statements can only be made in response to questions; anyone can ask questions

Experiment with this:

- Presenter shares the need for change --- what the situation is and what the external and internal forces are making this a pressing issue. (3 minutes)
- Peers ask questions of the presenter and of each other to help clarify and strengthen the presenter's defined need for change. (8-10 minutes)

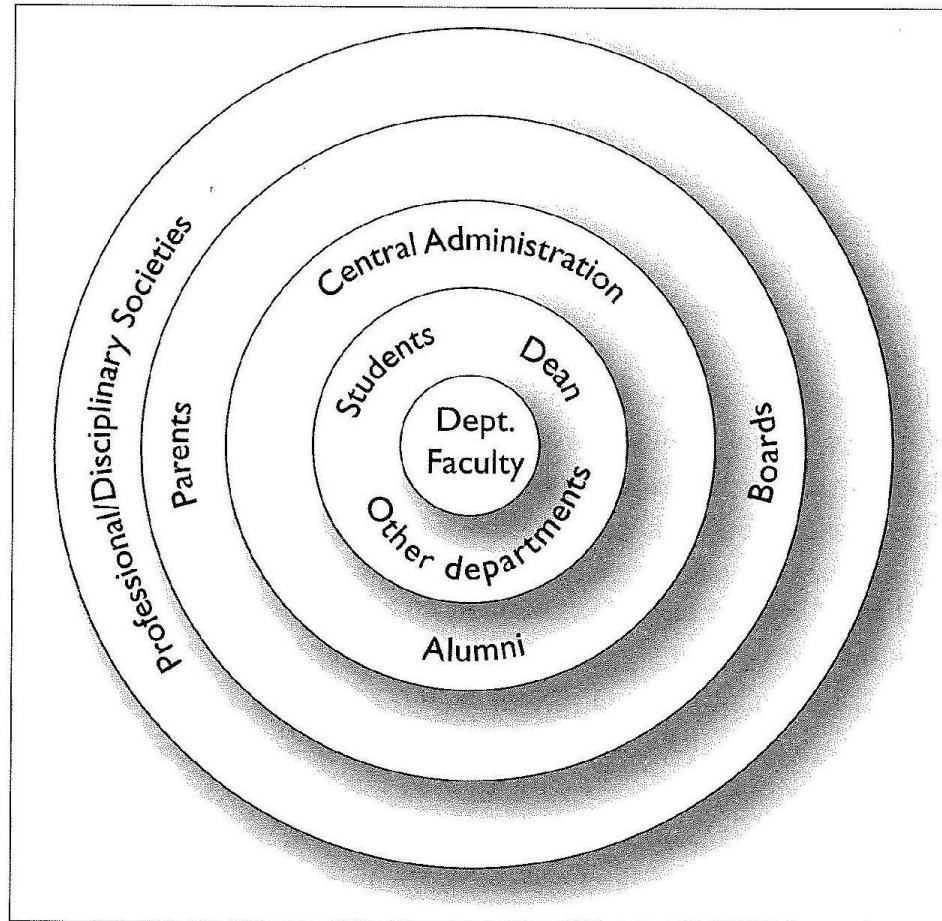
Engage Stakeholders

- Rule of thumb: 20-60-20.
- Identify key people affected by the change.
- Determine tactics to involve key stakeholders.
- Involve them in refining the desired outcome and in exploring and prioritizing strategies to advance toward the desired outcome.
- Do not involve them in ritualistic, fait accompli discussions.

Engage Stakeholders

FIGURE 5.1
STAKEHOLDERS' CIRCLES

From: Wergin, 2003



Tactics for Engaging Stakeholders

Tactic	Strengths	Limitations
Surveys pp. 9-12 in handouts	<ul style="list-style-type: none"> • Quick feedback • Easy to compile 	<ul style="list-style-type: none"> • Design work is time consuming • “Surface” responses
Symposia – expert presentations	Outside expert might stimulate new ideas	Lack of two-way interaction with stakeholders
Retreats pp. 13-16 in handouts	Focused attention on issue of importance	Time consuming
Focused discussions (conversations) p. 17 in handouts	<ul style="list-style-type: none"> • Can replace regularly scheduled meetings so additional time is unnecessary • May attract the most input 	<ul style="list-style-type: none"> • “Regular” work must get handled in different way • May take several meetings/commitments
Focused task force pp. 18-20 in handouts	Focused attention on issue of importance	<ul style="list-style-type: none"> • Select group of stakeholders only



Tactics for Engaging Stakeholders



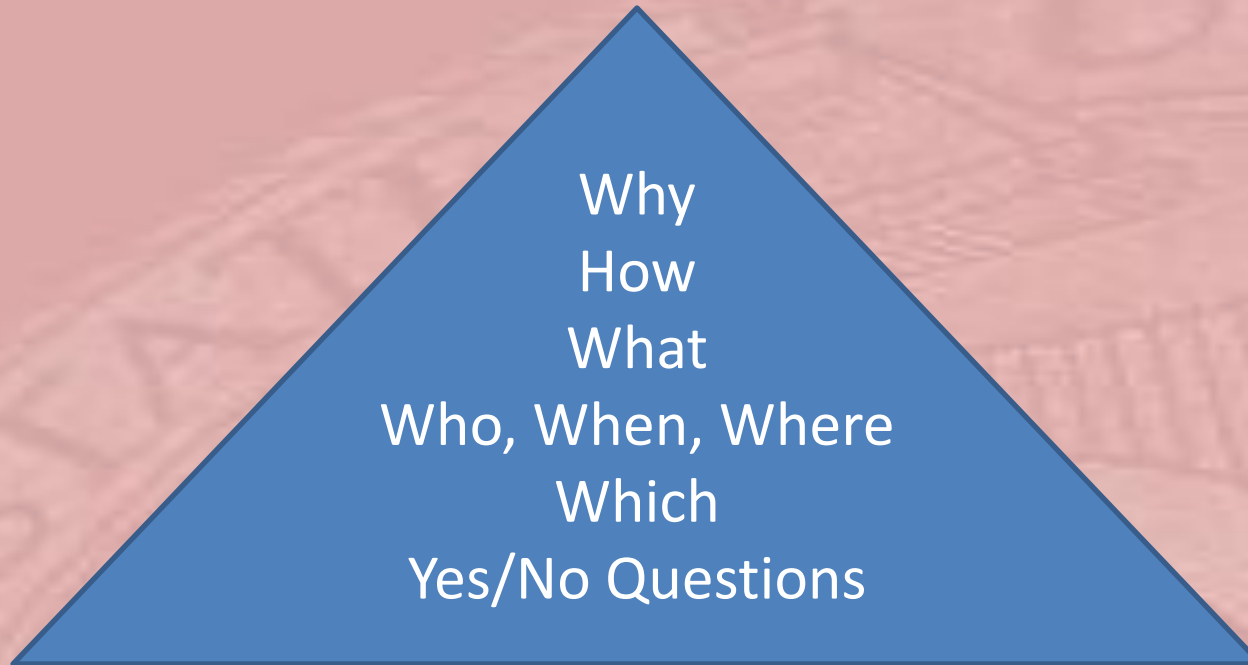
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- Conversations to engage stakeholders in a change rely on powerful questions.
- Powerful questions:
 - Stimulate reflective conversation
 - Are thought-provoking
 - Surface underlying assumptions
 - Invite creativity and new possibilities



Powerful Questions

More Powerful



Less Powerful

Powerful Questions

- How do women perceive our department climate in comparison to men? What is the difference in perception between junior and senior faculty?
- Why are our women faculty travelling less to professional conferences than our men?
- What can we do to build a stronger atmosphere of respect and inclusion?

- Answer three questions:
 - How much improvement has occurred? What is different?
 - What strategies produced the improvements?
 - What are consequences of the change?
- Have a plan to answer the above questions before the change process is underway.
- Match the evidence you are gathering with the goals of the change initiative.



- Use qualitative and quantitative data.
 - Qualitative – stories, anecdotes, and themes from focus groups or open-ended survey items.
 - Quantitative – numerical data.
- Recognize that some changes take many years. Data collected in the middle of a change may not reflect the final outcome.
- See General Framework, p. 21 in handouts.

- Courage
- Ask questions
- Discover underlying assumptions and mental models
- Listen
- Flexibility and flexible thinking
- Empathy

- Ability to suspend judgment about new ideas and ability to create atmosphere of inquiry where everyone's ideas are valued
- Acknowledge and value differences
- Reposition conflict as legitimate exploration of different perspectives
- Build relationships via one-on-one and group conversations
- Perseverance