

## Planning, Managing and Implementing Change: Template for the Creation of a Plan for Change

### PRIMARY CARE TRUST CHANGE SCENARIO

Here is our initial template designed to help you develop a practical Plan for Change for the 'PCT Change Scenario'. We strongly recommend that you read the scenario in full and think about the scale and scope of this major project, think about the challenges involved – challenges for you, for the change team, and for the organisation.

It may be helpful, when you have read the person descriptions – their backgrounds and roles – if you can decide which role you might be best suited for and then to think about the project from your selected role in it.

**Role selected:** .....

You can then start to work through some of the key change considerations using the information, guidance and tools covered in the rest of this template which covers the following:

#### **A. Putting the change in context**

1. Vision and commitment

#### **B. Planning the change: Using the change models**

2. Understanding the culture
3. Understanding the environment
4. Understanding attitudes to change/change types

#### **C. Implementing the change**

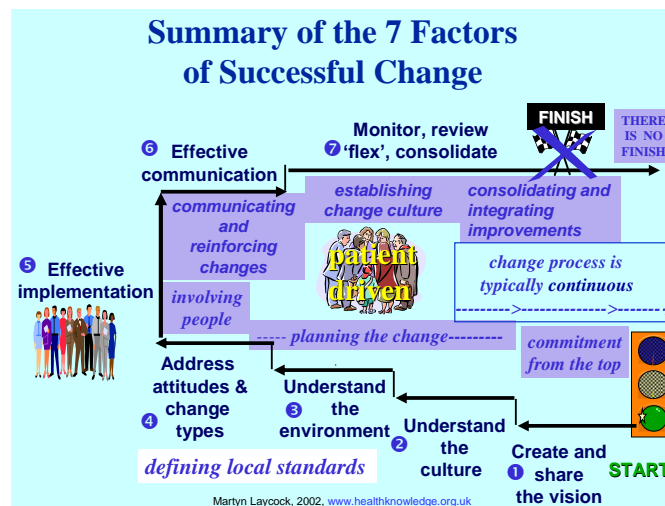
5. The people perspective
6. Effective two-way communication

#### **D. Monitoring and managing the process**

7. Monitoring and reviews

Once you have completed this pre-approach you should be ready to move, in a practical group session, towards the preparation of a Change Plan for our specially developed PCT change scenario' which involves the introduction and establishment of project management across a recently-formed PCT.

**Here is the key slide we used in workshop 1**



## Putting the Change in Context

This document is designed specifically to help you consider the specially prepared 'PCT Change Scenario' we are working on in workshop 2

### 1. Vision and commitment

**General:** There's not too much impact you can have on the *overall* change initiative (i.e. [The NHS Plan](#)) and its communication 'from the top'. You'll be somewhere 'down the line' and dependent upon *others* to keep you informed about the overall changes, the goals and objectives, the reasons for the change, how it is to be achieved and your role in it. It helps if, from the very top, the change has been well planned, well thought through, well launched and, well communicated.

**Scenario specific:** This is a discrete 'piece of work' where the team leader and his/her team have a **lot** of freedom to act; their efforts will be critical to the success or otherwise of the change project.

The challenges in the 'PCT Change Scenario' will be many and varied but look at two aspects in particular:

- getting to grips with the change plans *yourself*, thinking not only what contributions you can make, but also how they will affect the *people in the PCT*; try also to think about things from the *change leader's* point of view - what particular considerations will there be from his/her point of view?
- planning how, as part of the change team, you will manage, implement, contribute to the change (the introduction and establishment of project management) that needs to be achieved

**Make notes here about:**

**a) the change initiative itself - What are the key challenges?**

**b) what support will you need to help ensure the changes are successfully implemented**

**c) how your work as a team member in this change plan will need to fit in with any other work or responsibilities you are likely to have**

**d) try to write down the overall 'change mission' in 1-2 sentences**

**e) write down what you see as your main role and your key contributions**

## **B. Planning for change: Using the Change Models**

In our *Seven Factors for Successful Change* we emphasised the critical importance of *planning* change. There are key models (see below) that can help us in our planning activity. You should consider using any which seem relevant to you and your work area. Each can, in its own way, help you think about and plan different areas of your 'change activity'.

The models covered in [Introduction to Managing Change](#) are:

### **7 Factors of Successful Change**

This highlights the key factors that contribute towards successful management of change; we are using it to guide us through this template.

### **Endings < Beginnings via the 'Turbulent Zone'**

Adapted from William Bridges *Managing Transitions*, this model explains the importance of the **transition** that organisations and people must go through when change is taking place.

### **Force-Field Analysis**

Use this well-known planning/analysis tool to plot all the factors that are either driving or resisting the changes and you'll better understand how to shape and manage your own change initiative taking into account the 'macro' (overall) aspects as well as many of the characteristics of your own work area.

### **Types/Levels of Change**

Use this chart to think about the whole context of change in your organisation; where and how the present changes fit; what factors (e.g. staff morale) need to be taken into account

### **Change Adopters**

Use this Everett Rogers graph to understand how different types of people react and respond to change; this understanding can be very useful as you move through the various stages of transition

### **Change Types Chart - Binnie & Williams**

Used alongside the above 'change adopters', this model will help you understand how people can display such different attitudes and responses to change

### **Impacts of Change: The Coping Cycle**

This diagram by Colin Carnall is particularly useful in understanding how people feel and react to change and helps you plan your route through the transitional zone

### **Organisational Culture Matrix - Charles Handy**

Gain a better understanding of cultural aspects of change using Handy's model that explains the different types of organisational culture and it should help you shape/tailor, manage the change processes that you will go through.

### **PLAN : ACTION : REVIEW - Model Briner et al**

It's essential that you understand the value of this simple planning model and ensure that you structure in regular reviews so that you can assess just how well – or otherwise! - your change programme is going; it helps you to tailor – and amend where necessary – your change plans to ensure that they **work**

Further models to be covered in module 2, *Planning, Managing and Implementing Change* are:

### **The Four Step Approach to Planning Change**

This one provides a particularly useful framework on which to plan change

### **Five Key Stages in Successful Transition**

### **SWOT and PEST analyses are also useful**

Tried, tested and frequently used generic strategy/assessment tools

## **USEFUL PLANNING/CHANGE SUPPORT TOOL:**

### **Your “Inner Circle”**

The concept of “Inner Circles” has useful applications during change initiatives. As a manager responsible for implementing change programmes, you may well find this approach useful:

The idea is that you as a manager of change develop your own Inner Circle – effectively your own personal “support group” of people. This will not necessarily be a *formal* group, much more likely an *informal* network, a distributed support mechanism - one you can call upon at key times during the change programme.

The concept is that managers develop their own “circle” of people who can help and support them, as necessary, as they move through the processes of transition. Often the people in Inner Circles are managers - but not always; often they are people located quite close to you in work terms - but again not always, they may for example be managers undergoing the same or similar change programmes in other locations, other areas/departments or they may be people with specialist knowledge or experience who can be particularly helpful in key areas. Generally your Inner Circle will include people who can help you, people - often in the midst of the change themselves - who you can talk to, discuss problems and possible solutions.

Inner Circles are typically *informal* networks of people who support each other through change. So informal that they may not even be referred to as “Inner Circles”, they may just be there in the background as a people-based support mechanism helping you to manage the transitions upon which your success will depend.

## Develop Your “Inner Circle”

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- a small group of key and committed people you can trust, who can work with you as you ‘transition’
- some may not be in your close domain - but will have the vision, skills, ideas that *you* need, *they* can contribute
- this may well not be a formal group

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## 2. Understanding the culture

The [NHS Plan](#) emphasises that the changes getting underway will bring about a change in culture of the NHS; [Shifting the Balance of Power](#) is designed to move the emphasis away from processes and procedures (internally driven) towards meeting the needs of patients/consumers (externally driven). This will take time – some *considerable* time for cultural change cannot be achieved ‘at the flick of a switch’; fundamental cultural change can take several years to effect. But, as they say, you have to start somewhere!

So it’s worth looking at Bridges’ Transition Model and thinking about the ‘turbulent zone’ an area that Bridges says is a “nowhere between two somewheres”.

It is then very helpful to your overall planning for change if you consider and then factor-in the cultural aspects against which change is being implemented.

Here you should find the slides on Charles Handy’s cultural types very useful

Looking at Handy’s types – what is the prevailing culture in your part of the organisation?

Power ?                      Role?                      Task?                      Person?

Note it may well be a mixture!

And given the fact that the change is about introducing Project Management across the PCT, which type of culture might be particularly relevant?

**Note down some of the key considerations of your organisational culture as it is now**

**How will the ‘new’ culture be different?**

**Note particularly the ‘human factors’ that you need to recognise and understand if you are to get people through the ‘turbulent zone’ and out to the other side**

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adapted from  
**Bridges' Model  
of Transition**

Beginning  
of the new way

New  
way

Old  
way

**'TURBULENT ZONE'**

Transition  
Process

Ending  
(of the old way)

change

The 'turbulent zone' is the *neutral zone* between the 'old reality' and the 'new way of doing things' i.e where *change activity is at its most intense* where *change management is most challenging!*

Martyn Laycock, 2002, [www.healthknowledge.org.uk](http://www.healthknowledge.org.uk)

### 3. Understanding the environment

In all change initiatives it is important to understand the environment in which the change is to take place – this means largely the external factors that are driving the change. They are not so relevant in the ‘PCT Change Scenario’ because it is a discrete internal change project. Nevertheless there will be some key *drivers* for the change and some *resistors* – the latter are factors which work *against* change; often these are internal factors, frequently human factors such as fear of and resistance to change.

Here it is useful to use a **Force-Field Analysis**

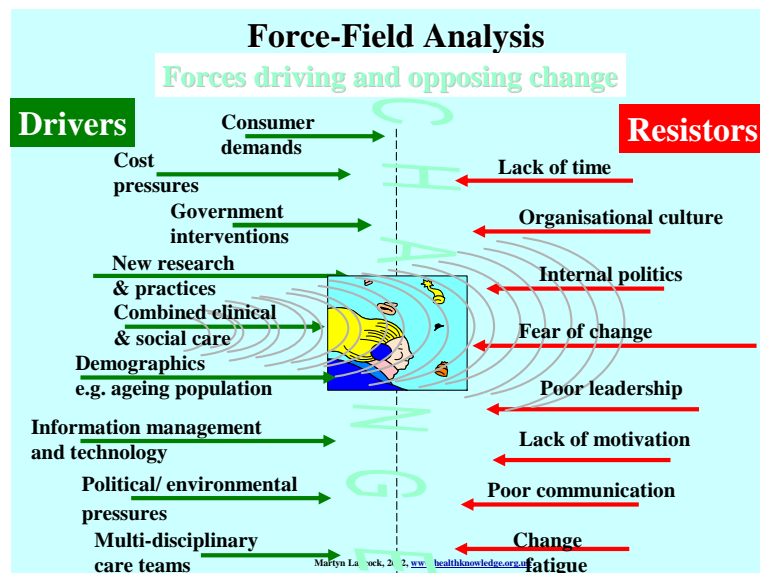
We show below one we created for Workshop 1 but you may want to draft just the few main drivers and resistors in connection with the ‘PCT Change Scenario’.

#### Make notes here

Key Drivers:

Key Resistors:

**Note down the ones of most relevance** (you will find it useful to include work you do on the *next* page under Understanding Attitudes to Change/Change Types)





## 4. Understanding attitudes to change/change types

This is where you will need to study the change models and think about vital human resource aspects of the changes that the change team of which you are a member are going to be involved with.

Models that you will need to visit in this section are:

### Types/Levels of Change

Use this chart to think about the whole context of change in your organisation; where and how the present changes fit; what factors (e.g. staff morale) need to be taken into account.

You are entering a period of major step change and change of this kind can be especially turbulent because many things are changing at more or less the same time. That's why it's so important to **plan** the change that you are to be involved with, to think how it fits in as part of an overall departmental or organisation-wide plan.

**Notes:**

### Change Adopters

Use this Everett Rogers graph to understand how different types of people react and respond to change; this understanding can be very useful as you move through the various stages of transition.

Think about yourself, about your people; we shouldn't pigeon-hole people but this model will give you a good understanding of the different speeds at which people move towards change and adopt it. An understanding of this model can be *very* useful as you move through the transition process.

**Notes:**

### Change Types Chart - Binnie & Williams

Used alongside the above 'change adopters', this model will help you understand how people can display such different attitudes and responses to change.

Again, think about yourself – what 'type' do you think you might be? Then think about the people in the PCT who are going to be affected by the change project; again we shouldn't pigeon-hole people but this model will give you a good understanding of the different 'types' of people you are likely to encounter on your journey through the transition, through the turbulent zone – where it is so important to be able to win people over, to motivate them to participate actively in the change.

**Notes:**

### Impacts of Change: The Coping Cycle

This diagram by Colin Carnall is particularly useful in understanding how people feel and react to change and helps you plan your route through the transitional zone with the particular project in which you are going to be involved

**Notes:**



## 6. Communication

This is another very important factor for success when managing change.

You need to consider your people and the changes that are to take place; to consider what support, motivation, encouragement they are going to need. All these will inform the way in which you decide, normally in close collaboration with your line or interim manager, to *implement* the changes that will need to take place – these will be the change ‘actions’. You will need to write these in a change plan in due course. Supporting these actions should be a robust communications plan that seeks to keep people well informed of:

- the reasons for change
- what is to happen - and when
- their roles in it – especially their key roles – where they can help make a difference
- (as things progress) how things are going:
  - progress
  - problems
  - actions required
  - solutions required

We suggest you re-visit our slides on communication - we will develop and build on these in workshop 2.

Below we show the main methods and types of communication that can be used.

**Important note:** You will need to tailor your communications to overall organisational communications, but it is recommended that, wherever possible, you seek to establish effective *two-way* communication i.e. not just telling people what’s happened/happening, but inviting and encouraging – and listening to, acting upon – their feed-back. You won’t be able to keep all the people happy all the time but if you *can* tease out real issues – as opposed to general moaning and groaning – then you have a better chance of addressing them and finding solutions to problems.

**Notes:**

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## Types & Methods of Communication

### TYPES AND STYLES :

- formal
- informal
- one subject
- many subjects
- one-way, 'closed'
- two-way, 'open'
- to individuals
- to teams/groups
- long, detailed
- short 'n' sweet
- serious
- warm 'n' friendly

### COMMUNICATION METHODS :

- letters/memos
- e-mails
- bulletins/newsletters
- team briefings
- meetings
- presentations
- gee-up/motivational events
- 'funerals'
- celebrations

it is important to get the right frequency & mix of communications

Martyn Laycock, 2002, [www.healthknowledge.org.uk](http://www.healthknowledge.org.uk)

## 7. Monitoring and reviews

As a key part of the overall planning process it is vitally important that a system of reviews and monitoring points are included, so that we can check progress, identify issues and problems (before they become big problems). Our recommended, simple but effective, approach to planning is shown below.

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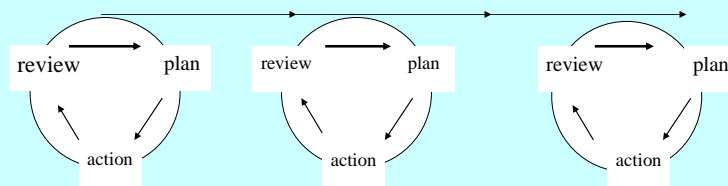
## Planning the Change

SUCCESS  
FACTORS 2-4

It is very important to use the change models to consider the likely impacts of change on the work-areas  
it is then very important to have a plan for change

There is a planning model – known as PAR – that helps here

### PLAN : ACTION : REVIEW



Developed from Briner W, Geddes M, Hastings C. *Project Leadership*.

Martyn Laycock, 2002, [www.healthknowledge.org.uk](http://www.healthknowledge.org.uk)

When you begin to draft your plan, remember to include regular reviews and regular monitoring points. The outcomes from the reviews can inform your next sets of actions and activities; you may need to shape/tailor or 'flex' your original plan to take into account unexpected delays or happenings that are identified in reviews. Where things are going well, make sure that your people know this, that they are encouraged; and where possible celebrate success – it can do wonders for morale!

If you can use some of the key components of project management, then this will help you; use key performance indicators and milestones (checkpoints) against which to measure and evaluate. There is a management saying that “you can only manage that which you can measure” – and whilst this is not *wholly* true, you do need to work with tangibles, actual events, groups (packages) of actions and review against those wherever possible.

Note that your communications plan (previous page) can use reviews and milestone dates as key points at which to inform your people how things are going and what still needs to be done.

### Notes re reviews and monitoring

What performance measures will we use in this change project?

How often will we need to conduct progress reviews?

What key/critical events do I/we need to adopt as milestones (checkpoints)?

## THE CLASSIC 4-STEP APPROACH TO PLANNING CHANGE AND OTHER INITIATIVES

In Workshop 2 we introduce a very useful structured approach to planning which has been developed from work done by Price Waterhouse, originally in connection with marketing planning, and more recently applied in change management planning. It is simple, effective and has been found to *work* :

The **4-STEP APPROACH** is a simple enough structure that helps us to think firstly (**step 1**) about “where we are at now”, to establish our present position – what we sometimes refer to as our ‘current reality’ – an honest and realistic assessment of our position across key factors in the organisation generally and in our part of the organisation specifically; this really needs to be honest and realistic as it is a key part of the process; *any ducking of issues or avoidance of existing problems here will have detrimental impacts later.*

We then consider (**step 2**) our vision – which we refer to here as “where we want to get to”. In a large organisation, such as the NHS, there will almost certainly be an overall vision, often enunciated in a plan for change ( e.g. [The NHS Plan](#)) and supporting documents. But it is also necessary to consider the *local* situation: What do we have to achieve in our area? Where do we need to get?

Where we are involved in a specific change project (e.g. our ‘PCT Change Scenario’) we must think mainly about *our own* change project but we must also, of course, take into account the backdrop against which it will be implemented. So we must recognise that the PCT is newly-created, people will be joining it from different NHS areas and different backgrounds; we need to take all this into account.

**Step 3** is an important one. “How will we get there?” This will be our own journey plan, our own map, our plan for change, and will include a series of detailed actions and steps that we will take to help us to get “where we want to go”.

**Step 4** has to do with key measuring and monitoring aspects. Once we have our journey plan, our map, our plan for change, we need to set monitoring points to check how things are going. Thus we schedule key review points as part of our PLAN : ACTION : REVIEW approach. To do this

effectively we need to determine some key performance indicators (KPIs), things that we will measure and assess to help our monitoring and evaluation processes.

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## Planning Change: The FOUR-STEP Approach

1. **Where are we at now?** (*present position*)
2. **Where do we need to get to?** (*'destination'*)
3. **How will we get there?** (*our map and milestones*)
4. **How will we know when we get there?** (*measurements & milestones*)

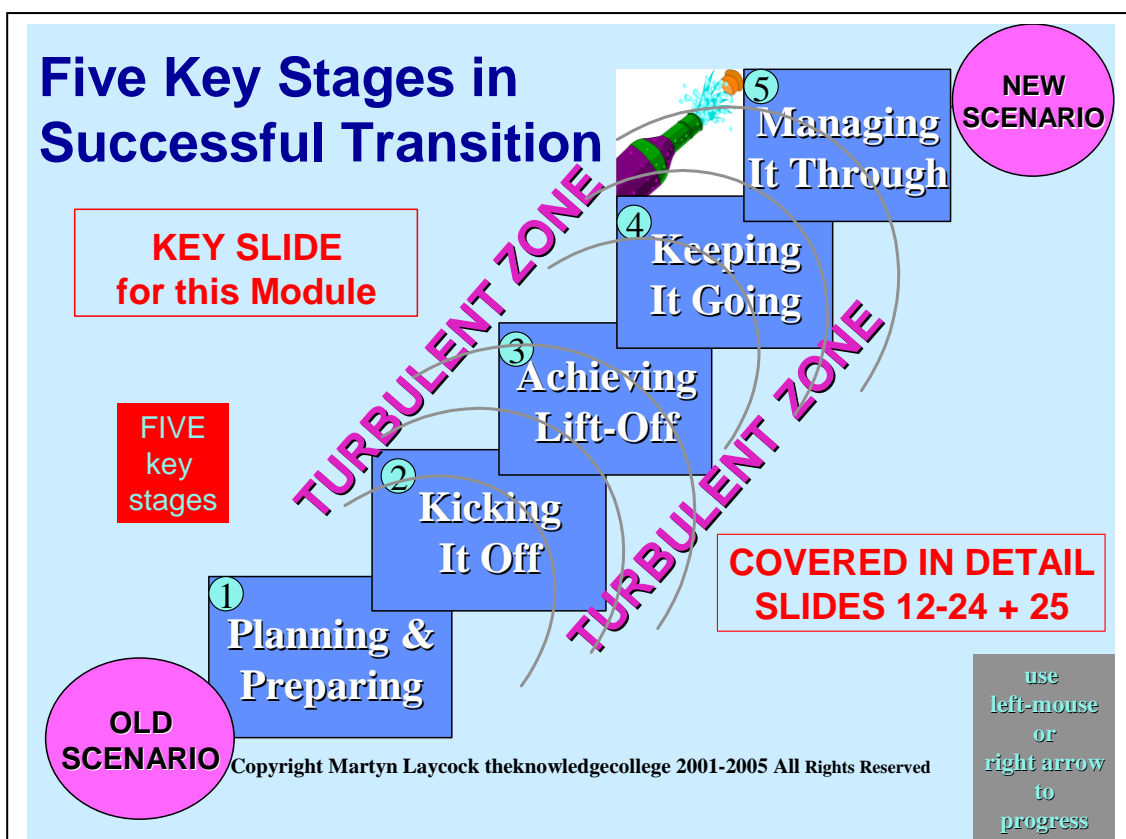
Bridges W. *Managing Transitions: Making the Most of Change*. London: Nicholas Brealey, 1995.

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 Main Contributor: Martyn Laycock, theknowledgecollege.net

### MONITORING & REVIEWING CHANGE PROGRESS

Use this adaptation of William Bridges “Transition” Model to visualise the stages/ processes that you’ll likely travel through during your change initiative.

From “Planning & Preparing”, through “Kicking It Off” to “Achieving Lift-Off” and then, importantly - this is a major challenge – “Keeping It Going” and “Managing It Through” to a successful conclusion, we believe you’ll find these stages of high relevance.



*Here are the five key stages in more detail:*

**Firstly, Key Stage 1** is the **Planning & Preparing** stage; in this stage the organisational (internal) and external environments are taken into consideration - together they give us the “backdrop” against which the change is to be carried out. For this we use SWOT and PEST analyses; we also need to take a very close look at our organisational culture - the “way we do things around here”. Charles Handy’s work on organisational culture is particularly useful here. We also should use the various Models that we have covered in [Slides 6-12](#). There should be a **PLAN for Change** that takes all relevant factors into account, considers the main challenges and potential problems and how they can be *managed*.

**Next, (Key Stage 2)** is the **LAUNCH** of the change initiative; the reasons for the change are explained to those who are to be involved in implementing it and the communication processes should ensure people know their roles in implementing the change, also how staff are to be supported and trained through the change processes and how communications will be handled. The Change Plan should also detail how the early stages (**Key Stage 3**) of the change initiative are to be managed - we call this “**achieving lift-off**”. In this stage it is important that those who manage the change process ensure that some early successes are achieved; the Change Plan should show where and how such successes can be achieved.

**Key Stage 4** (we call this **Keeping it Going**) is important because even where Stages 1-3 have been well handled, this is the stage where the organisation can “lose its way”, where the change initiative can become “sand-banked” or “fizzle-out”. Stage 4 is at the core of the “turbulent zone” where the key challenges of securing the change need to be managed.

**Key Stage 5 (“Managing it Through”)** is the final Stage designed to build on the achievements in Stages 1-4, to ensure that the overall transition leads smoothly into the “new beginning”, the new ways of doing things.

## IMPORTANT – WHEN THE GOING GETS TOUGH

### “GRIT AND DETERMINATION”

In this Module/Workbook we are trying to show you a smoother, more effective way through the transition processes. ....BUT , as we have said change is messy, difficult to manage :

.....there will be times during many change initiatives when you hit problems, perhaps need to invoke remedial action - maybe even go back a step or two, to work hard to hold your team together when and if the going gets tough. If problems occur then its best to face up to them - to look for solutions. Involving your people will normally help, get them to help address the problems, help you find solutions that will work. If you are encountering conflict, serious conflict then we recommend you visit [Slide 36 \(replicated below\)](#)

There will almost inevitably be times during change initiatives when your management/ leadership abilities are stretched towards, sometimes beyond, normal limits. These can be tough, challenging, often de-moralising at times. Your ‘Inner Circle’ (see above) if you have formed one, can be very useful in times like this - for sympathy and understanding as well as support, for potential solutions as well as suggestions on what remedial actions you might take.

## Determination to Succeed

### IMPORTANT NOTE

- **There WILL be times...when:**
  - you need to go 'one step back'
  - you are let down by a friend or supporter
  - you need to re-group, re-new
  - you need to come up with a new Solution to a new Problem
  - you get a wee bit o' Luck
- **Good Leadership, Training/Support and Communication are the Keys**
- **Your 'Inner Circle' can prove very useful here**
- **All within a robust PLAN**



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### A REMINDER HERE :

A good, robust Change Plan can help you through problem areas - one benefit of a structured, disciplined *planned* approach is that it will encourage you to review, to think ahead, to focus on results, to see through some of the problems - out to the other side.

**Forewarned is fore-armed !**

**GOOD LUCK WITH YOUR CHANGE PLANNING AND CHANGE MANAGEMENT IN THE 'NEW NHS'**