2019 UC-Coro Systemwide Leadership Collaborative
-Southern California Cohort-

BEST PRACTICES FOR LEADING CAMPUS/SYSTEMWIDE CHANGE PROJECTS

FINAL REPORT

PROJECT GOAL/PURPOSE

PROBLEM STATEMENT

Change is inevitable. Indeed, all types of change regularly occur within an organization or institution simply for it to improve and thrive. Change comes in all forms, be it technology oriented, customer driven, or externally mandated. The common denominator to any change effort is the people involved in and impacted by transition to the future state. Technical or operational success is only part of the change equation. Change undertaken without appropriate consideration and respect for what is any organization's most valuable asset – the people – will create risk and reduced positive outcomes.

Successful change management is a significant challenge for the University of California. This statement is supported by evidence found in successive UC Employee Engagement Surveys ('12, '15, '17). In 2017, less than a third of surveyed employees indicated that "recent major organizational changes across the UC system" had been planned well (30% favorable), explained well (32% favorable), or executed well (27% favorable). These numbers were 2-4 percentage points lower than the survey in 2015 and 20-24 percentage points off the US National Norm. These ratings, too, were by far the lowest across all questions asked on the survey. Though the recently released 2019 Employee Engagement Survey shows some improvement in these metrics, it is clear that there continues to be significant room for improvement in this area.

SPONSORS' CHARGE

UC Berkeley project sponsors, Marc Fisher, Vice Chancellor for Administration, and Jo Mackness, Assistant Vice Chancellor and Chief Operating Officer for the Division of Student Affairs, asked the 2019 Southern Cohort of the UC-Coro Systemwide Leadership Collaborative to consider the following questions:

- What are the barriers to implementing successful system- or campus-wide change efforts?
- What are some of the best practices, policy, and organizational changes that could positively influence change efforts?
- How best should we measure success of change efforts going forward?

The cohort was then charged with producing deliverables to address these questions that would be actionable (i.e., different than a lengthy desk/shelf report) and that could include anything from a web-based toolkit or mobile application to best practices printed collateral.

COHORT'S PROJECT GOAL

Our goal was to identify best practices in change leadership and develop tools that would enable UC change leaders to better manage the people side of large-scale change projects. Large-scale change projects are those that impact a significant subset of the campus community, such as a new system-wide payroll and benefits system (UCPath), a new campus budget model, a new performance appraisal process, or even a change in venue for commencement. If successful, the University of California could use deliverables from our project to increase constituents' understanding of, preparedness for, engagement in, and satisfaction with change, thereby empowering campuses to be more effective and successful in enacting large-scale change projects.

PROJECT METHODOLOGY

Our approach in undertaking this project involved key steps. This directly informed our final deliverables which are intended to enable UC change leaders to better manage the people side of change.

1. We began by familiarizing ourselves with the world of change management, exploring the current literature and research, with an emphasis on the change methodologies that are successful within higher education.

2. In parallel with the research activities, we conducted a series of interviews with a variety of recognized experts in the field of change management, as well as several current UC leaders who have led significant change initiatives. These interviews yielded a wealth of invaluable information that both complemented and illustrated common factors that increase the likelihood of success and/or results failure in change management initiatives.

3. In addition to the interviews, the Southern Cohort further investigated three UC-specific change management efforts, and conducted a post-mortem analysis, seeking the common drivers and deterrents of project success as well as exploring such topics as (a) how to understand when change is needed, (b) how to support constituents through the process of change, and(c) how to shift or reverse direction when a change is not going as planned.

In conducting this research we noted that common themes emerged but also recognized multiple models in how leaders successfully approached change management. Rather than embracing a single unified model for how change management should be implemented across the system, instead we decided to provide a variety of actionable and easily digestible tools and resources that campus leaders could utilize based on their own leadership styles and environments. Additionally, we sought to promote and enrich a dialogue about change management. Our recommendations and the tools we developed reflect this philosophy.

DELIVERABLES

Based on the cumulative findings, the following tools and recommendations for future UC change management initiatives were developed and are further described below. These tools can be found on the UC-Coro project web site, under the heading for the 2019 Southern Cohort: https://www.ucop.edu/human-resources/coro/2019-uc-coro-southern-cohort.html.

PODCASTS

A series of 11 podcasts capturing interviews with senior leaders in higher education, approximately 20-25 minutes each, is now available on Apple Podcasts. In this series, *Change Management in Higher Education: Conversations at the University of California*, senior leaders share their perspectives on the importance of leading change in a University setting. The podcasts are intended to help leaders identify best practices for positively influencing change initiatives. Those interviewed provided diverse experiences and alternative approaches in leading change. Common themes emerging from the interviews include the importance of two-way communication and the need for senior leaders to be aware of and actively engaged in change projects.

The interviews feature:

- **Michael Beck**, Administrative Vice Chancellor, UCLA
- **Kum-Kum Bhavnani**, 2019-20 University of California Academic Senate Chair; Distinguished Professor of Sociology, UC Santa Barbara
- **Gerry Bomotti**, Vice Chancellor for Planning, Budget and Administration, UC Riverside
- **Ronald Cortez**, Chief Financial Officer and Vice Chancellor of Finance and Administration, UC Irvine
- **Cindy Larive**, Chancellor, UC Santa Cruz
- **Patty Maysent**, Chief Executive Officer, UC San Diego Health
- **John Mazzaratti**, Vice Chancellor, UCLA Health Sciences and Chief Executive Officer, UCLA Health
- **Brent Ruben**, Executive Director, Rutgers Center for Organizational Leadership and Distinguished Professor of Communication, Rutgers University
- **Lisa Terry**, Director of Systemwide Leadership and Organization Development, UC Office of the President
- **Kim Wilcox**, Chancellor, UC Riverside
- UC CIOs: **Tom Andriola**, Vice Chancellor, Information Technology and Data, UC Irvine; **Matt Hall**, Associate Vice Chancellor and Chief Information Officer, UC Santa Barbara; **Ann Kovalchick**, Associate Vice Chancellor and Chief Information Officer, UC Merced; **Christopher Longhurst**, Chief Information Officer and Associate Chief Medical Officer, UC San Diego Health

PAMPHLET
A visually enticing bi-fold pamphlet provides key information about foundational principles of change management and serves as a gateway to other resources. The pamphlet has a versatile design so that it can be used as a reference tool in meetings or at one's desk, or even enlarged and posted to a wall as a visual reminder of change management principles. For broad distribution the pamphlet can be printed for a relatively low cost or circulated digitally.

WORKSHOP
A prototype face-to-face workshop for senior level UC leaders focuses on the importance of sponsorship in change management. This workshop addresses three main areas: (1) What is change management? (2) Why should you care? and (3) What is your role? It includes slides and speaker notes so that an experienced facilitator can deliver the material with little additional development. The workshop runs approximately 1½ to 2 hours, although it can be tailored for different audiences and time slots. The workshop is designed to facilitate open discussion about the people side of change and will introduce key materials to promote participants' reflections on their own change leadership experiences. The workshop also utilizes and promotes the other four change management project deliverables that have been developed. We envision this workshop being held for Chancellor's cabinet level groups or at UC systemwide meetings of senior campus officials.

ANNOTATED LIST OF RECOMMENDED READINGS
The annotated list of recommended readings describes best practices for managing large-scale change initiatives, including key concepts, tips, and recommended tools and techniques. The list includes a comprehensive analysis of change management practices published by Prosci Inc. in 2018, three Prosci case studies of successful change management projects implemented at academic institutions including UCSD, a Change Management Toolkit that was developed recently at UC Berkeley, sixteen books, seven journal articles, and one compendium of journal articles. The intent is to provide UC Leadership with an entry to the voluminous literature that describes best practices for managing change initiatives, especially transformational change initiatives. A common thread of these readings is the importance of continuous engagement by leadership and meaningful engagement of stakeholders through all stages of a project.

CASE STUDIES
Three UC-specific change management case studies, developed through interviews with UC leaders and post-mortem research and analysis, provide tangible and UC-specific examples of change efforts that achieved varying degrees of success. While the individual changes described in our case studies were very different from one another, they all point to common drivers and deterrents of project success and explore such topics as (a) how to understand when change is needed, (b) how to support constituents through the change process, and (c) how to shift or reverse course when necessary.

The case studies include:

1. **UC Irvine**: Reducing Laboratory Renovation Time

As part of its "Bright Past. Brilliant Future." strategic plan, UC Irvine's ambitious growth plan includes increasing its research and teaching capacity by adding 250 faculty over a five-year period. One of the challenges with this growth is identifying and renovating lab space for new professors to ensure the productivity of their research early on in their career at UCI. A new collaborative process was implemented, effectively reducing the time for lab renovations from 9-18 months to 1-6 months. This new approach is transferrable to other schools and departments within the university to expedite construction projects.

2. **UC Los Angeles**: ePermit Parking Conversion

UCLA's entire parking permit and parking enforcement system was converted from reliance on physical permits hung on a car's rearview mirror to one utilizing electronic permits (ePermit). With ePermits, license-plate scanners verify that a parked car has a valid permit in the parking database. The UCLA case study provides lessons on how to facilitate large wide-scale change implementation involving large numbers of diverse stakeholders with non-uniform needs and functions.

3. **UC Riverside**: Budget Model Conversion

The entire process of a large change management project may occur over extended periods of time due to the length of time required for successful stakeholder engagement and implementation of change project outcomes. As the part of the normal evolution of UC administrative personnel, mission critical personnel leading the change project may themselves change during the process. The UCR budget model case study provides lessons on how to transform a potentially problematic challenge into a purposeful review and refinement step fostering the change process and ultimate successful adoption of the change outcomes. The discussion also illustrates the utility of using tools such as the Ruben Leadership Architecture Guide to structure analysis and awareness of the implementation steps for a major campuswide change project when facing challenges in the process.

RECOMMENDATIONS

We have three recommendations that build on one another. The first concerns the effect we want to achieve: change in how individual leaders engage in change through ten key people focuses practices. The second recommendation concerns how we get there: engage at the UC leadership level to build a culture of change through concrete steps. The third recommendation concerns support for the first two recommendations through tools that have been developed to assist change leaders. Together the following recommendations address the charge from our sponsors.

1. **EMBED PEOPLE FOCUSED PRACTICES IN ALL CHANGE INITIATIVES**
   - Establish your vision to address a need
   - Acknowledge that achieving this vision requires change
   - Identify who the change will affect
   - Own your role as a sponsor of change
   - Create a plan that includes opportunities for substantive input and tracks key decision points
   - Emphasize two-way communication and listen attentively
   - Engage resistors in planning and implementation
   - Actively lead the process from pre-planning to post-implementation
   - Review, revise, and revamp your project based on feedback
   - Celebrate when accomplishing milestones

2. **DEVELOP A CHANGE MANAGEMENT CULTURE**
   - Identify a steward within UCOP to champion change management as a systemwide initiative
   - Create a UC network of change management leaders
   - Train leadership across campuses in change management
   - Incorporate change management criteria into the performance appraisal process
   - Create recognition opportunities to highlight successful change management leaders and initiatives

3. **INVEST IN THE TOOLS NECESSARY TO SUCCESSFULLY ENGAGE IN CHANGE MANAGEMENT PRACTICE**
   - Promote, expand, and make available the change management materials created by the 2019 UC-Coro Systemwide Leadership Collaborative Southern Cohort in support of UC change management leaders:
     - Pamphlet
     - Podcasts
     - Workshop
     - Reading list
     - Case studies
   - Research, assess for applicability, and as necessary tailor to the UC other toolkits and methodologies such as the Berkeley toolkit and Prosci's ADKAR
   - Develop a post-mortem strategy and toolkit, which could feed into a systemwide change management knowledge base

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