STAFF SURVEY/
TOOLKIT FOR MANAGERS

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A toolkit for managers responding to the staff survey

1. Introduction

1.1 Staff surveys are a powerful tool for engaging employees, driving positive organizational change, and improving productivity. Undertaking a staff survey creates an expectation that managers will use the employee feedback to make improvements and take decisions that will then be carried out. If a survey is given to employees and nothing happens as a result, employee engagement, job satisfaction, and satisfaction with leadership will often decrease. There is a strong and direct relationship between taking action from employee surveys (“action planning”) and employee engagement. There is also a strong relationship between staff engagement and performance. It is therefore essential that action is taken following a staff survey.

1.2 Best practices for taking action after staff surveys -

(i) **Action plan from the bottom-up:** share survey findings in a group setting, where results can be discussed, good practice can be identified and celebrated, so that high performance can be maintained, and if necessary, ideas for improvement and action can be generated

(ii) **Ensure transparency:** Ensure senior leaders, managers, and supervisors and staff receive the results at the same time

(iii) **Speed:** Action plans should be carried out within the same quarter that survey results were delivered - if they take too long employees and managers will lose interest and no lasting change will occur

1.3 This toolkit provides ideas to help you plan a response to the results of the staff survey in your area. Hopefully, there will be few issues which need attention; anything that does requires something to happen in response. In another 12 months your school or department will be surveyed again. Consider what changes you would like to see reflected in the results. This will require planning and taking action on the current results. However, it is important not to try to do too much in one go – agree and focus on 2-3 priorities.

1.4 The Kent staff survey

1.4.1 The survey is designed to provide a snapshot of current perception in a number of areas which are important for staff engagement and performance. In particular questions are asked around the headings -

- Affiliation and Advocacy of the University
- Support for work and career development
- Participation and transparency
- Leadership and strategy
- Equality
- Personal future plans
- Free text for you to add comments about other important areas

1.5 Survey schedule

1.5.1 Not all the University will be surveyed at the same time. There are four tranches; March, June, September and December. This may result in a different 'mood' being captured in the results depending on the weather, the seasonal events such as imminent exams or holidays, requiring preparation and
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increased workload. This will need to be taken into consideration when looking at your own school or department survey result. The schools and academic centres will be largely surveyed in March, September and December, and the majority professional services departments (‘departments’) in June. (Student Services and Academic Division will be surveyed in December). The reason for this is to maximise engagement as we understand that many academics are not available in the summer, and to enable Human Resources to support specific activities required depending on the outcome.

2 Interpreting the results

2.1 Data pack

2.1.1 The surveys will come back to HR. HR will collate them and redact comments in which specific people are named. They will then run an analysis to check that the results do not identify groups of seven or fewer people. Data with named people or small groups will not be shared and will be removed from the school or department data and will all be aggregated into the University data. Once the results are collated and checked for names, or groups of seven people or fewer, results will be sent to the relevant head of school or department.

2.1.2 The data will be provided in a template or data-pack which is standardised for all recipients, to enable comparisons to be made year on year and with other schools and departments. In the case of Athena SWAN analysis, a dedicated Athena SWAN Data Analyst will provide support depending on School submission activity.

2.1.3 The data will be summarised and downloaded for forwarding and discussion with the HoS and Departments. An overall University and Faculty ‘picture’ will provide the Deans with an understanding of organisational best practice and any concerns requiring attention.

2.1.4 Benchmarking information will be provided. This will include information from other universities and organisations. (This will be provided on a question by question basis. Different organisations will be used to provide comparisons for different questions. Where there is no identical question asked in the survey, a broadly similar question will be used for benchmarking.) It should be noted that some universities’ survey data will be older than the Kent results because they do not all run their surveys annually. It will be clear in the data pack, when the benchmarking surveys were undertaken, to help with making comparisons. In addition, schools and departments will be able to benchmark internally with aggregated University results, and where schools and departments allow, with other parts of the University.

2.1.5 At the end of the first quarters’ surveys, each School and Department will receive information on their own results and the aggregated responses for the first quarter’s results. At the end of the second quarter, each school and department will receive their own data and the aggregated data from the first 2 tranches, and so on. After a full year, the results can then be provided for each unit with a rolling year’s aggregated results.

2.2 Concern about results

2.2.1 In any population, whatever you do, some people will usually be very satisfied and some very dissatisfied. You should expect to see that most of your staff are reasonably satisfied. While complacency is not advised (one disaffected person can do a lot of damage to both the organisation and their team) having around 10% of the respondents less than satisfied, is not necessarily a cause for great concern. If scores creep up past 15-20%, however (especially in larger groups) this is a cause for concern which needs to be addressed.
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2.2.2 Results should also be considered in the context of recent events in the school or department, which can have a dramatic but temporary impact on how people feel. If you have just restructured, or experienced uncertainty, this will be reflected in your results. If this is the case, you will be particularly interested in the questions that deal with how well staff feel that they have been supported through change – and results can be used to learn lessons for the future. Being open to discussing these issues will go a long way to healing any hurt in the team.

2.2.3 If not many of your staff completed the survey you also need to take this into account in planning a response. All managers are asked to encourage completion of the survey, so if staff chose not to, you need to find out why. Is it a lack of interest in the wider organisation (of itself concerning), a silent protest, a lack of confidence in the ability of the department or leader to respond, a lack of online access – or something else?

2.3 **Good results**

2.3.1 If you are pleased with the results, think about the reasons the results are good. It is still important to discuss the results with staff so that you can find out what it is that you are doing that they particularly welcome – not only so that you can continue – also so that you can share good practice and support other schools and departments with less promising results.

2.4 **Causes for dissatisfaction**

2.4.1 Although people may be unhappy about a very wide range of things, the underlying causes usually fall under these headings –

- Misunderstanding or misapplication of organisational decisions, processes and policies
- A perception (often from a lack of understanding about process) that simple solutions are not being implemented
- Poor team relationships (including sometimes with the manager) and lack of practical support
- Past ‘one off’ critical incidents that have led to a perception that ‘it’s always this way’
- A lack of resources (time, online access, funding)
- A perception that no-one is listening or interested in the problem

2.4.2 When you are dealing with the feedback from groups or individuals, it may be helpful to categorise their responses in this way – to focus on the nature of the problem and what needs to be done. For issues that appear to be the result of ‘urban myths’, it is important to clarify any facts that can be established.

2.4.3 If you have looked at the results, and spoken to members of your school or department and find the concerns relate to competing demands and workload, consider whether a change in structure or processes would relieve pressure for staff. The following toolkit is designed to help you consider a variety of factors and solutions, collaboratively with the staff in your school or department.

2.5 **Matching expectations**

2.5.1 ‘Oft expectation fails and most oft there where most it promises, and oft it hits where hope is coldest and despair most fits.’

From *All’s Well That Ends Well*, Shakespeare, said by Helena in Act 2 Scene 1

In modern English – ‘Discord often results from unfulfilled expectations.’
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2.5.2 The “Psychological Contract” refers to the relationship between an employer and its employees, and specifically relates to mutual expectations of inputs and outcomes. We all have expectations, spoken and unspoken, realistic and unrealistic. It might seem like employees want and expect more. It is likely that to staff, it seems that managers expect more and more of employees. It is essential that we understand expectations, communicate our own, and clarify agreements about where there is a gap to ensure the psychological contract is not broken. What can we do to match these expectations?

2.5.3 Overall it is best to approach this early, revisit them periodically, and provide honest feedback. The annual staff survey provides one of the tools to revisit expectations and reach agreements on expectations and commitments. The following ‘must-do’ practices is advised for starting to manage expectations –

- Be real and be specific, as in targets and timelines – quantify wherever possible
- Provide feedback all along the way, not once a year or when a project is all done
- Be transparent and straightforward, even when the news isn’t good
- Talk about changes in the school or department – give people a chance to adjust their expectations
- Provide continuous factual information about what’s happening to reduce conjecture or interpretation
- Show your appreciation – honestly and regularly
- Develop clear career paths
- Ask for opinions, ideas, and feedback often - then, be ready to share this information
- Lead by example – this is the best way to set expectations – to demonstrate them yourself

2.5.4 In spite of taking the action in 2.4.3, if your school or department survey results suggest that there is a discrepancy in expectations which unbalances the psychological contract, this exercise might help to reach an understanding on mutual expectations.

2.5.5 Organise a meeting in which people’s expectations on specific work areas identified by the staff survey results can be discussed. Book a venue with large blank walls so that you can pin up flip-chart paper. Order plenty of sticky notes.

2.5.6 Around the room, pin up flip-chart paper which is headed up for different work areas. Give each participant plenty of sticky notes on which to write their expectations. Allow a good 20 minutes for this exercise.

2.5.7 Theme the comments into logical groups for discussion and give each group of comments a heading or name.

2.5.8 Divide the participants into smaller working groups to take a theme or two each, and ask them to identify the commitment being requested of the manager to bridge the gap in the specific work areas, and identify the commitment each participant is willing to make to bridge the gap from their perspective. The template overleaf may help the groups to complete this work.

2.5.9 Once all the groups have completed the task, pull the group back together to discuss the various proposals. The solutions to bridge the gaps in expectation need to be reasonable on both sides, and to maintain the psychological contract need to be agreed, with the commitments adhered to and delivered to maintain trust.
### MATCHING EXPECTATIONS TEMPLATE

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<th>Staff Expectation</th>
<th>Manager Expectation</th>
<th>Gap</th>
<th>Actions identified for manager to close gap</th>
<th>Actions identified for staff to close gap</th>
<th>Discussion on what is reasonable and commitments for all</th>
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3 Toolkit for gathering more focussed information

3.1 RUNNING FOCUS GROUPS

Focus groups are a structured method for listening to staff and learning from them. The steps below will help you run them and get the information you need to make improvements for your staff.

a) **Clarify the objective** of the focus group – the particular survey result you wish to explore with the staff. Put together a statement or paragraph that explains in detail what outcome you expect to achieve through the focus group, which is likely to be around exploring ways of improving the issue causing concern.

b) **Schedule one to two hours** for the session and book a location that will accommodate 8 to 15 people including two to three facilitators. The facilitators will simply provide information and ask questions. Ensure that the environment is private, comfortable and conducive to conversation.

c) **Identify the participants.** Start by determining how many participants you would like in each group. For a true picture, include people from all sections and levels of the hierarchy in the school or department. Once you have a set number of participants, start by identifying who they are. To keep things unbiased, choose participants by functional role rather than name. who you invite to each group might depend on a number of factors such as –

- The issues that need to be addressed as identified from the results of the survey
- Groups of employees who are likely to have to deal with similar types of work issues
- Considerations of practicability and feasibility

d) **Different approaches to selecting participants** for focus groups including –

- demographic categories (role, contract type, discipline etc)
- departments or groups where 'hot spots' have been identified
- systematically for each and every school or department
- purposeful mix, however, ensure all feel comfortable expressing their views

e) **Invite participants.** You should send written (or e-mail) invitations to participants well in advance of the focus groups. Such invitations should include a briefing note that:

- Explains the purpose of the focus groups
- Describes what taking part in the focus groups will involve for the individual employee
- Explains how issues of confidentiality will be dealt with
- States participation is voluntary and offers alternative options for expressing their views where appropriate
- Describes how results will be analysed and reported
- Emphasises that individual responses will not be attributable
- Describes what will be done with outputs, suggestions for action etc
- Offers a contact point for further information
- Is signed by an appropriate member of senior management to demonstrate organisational commitment

f) **Develop between four to six questions** which are open (one that cannot be answered with a "yes" or "no") based on the issue to be explored. A rule of thumb is that you will have time for no more than four or five key questions in a focus group lasting 1½ to 2 hours. (See below at item ‘t’ for examples)
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Use questions that are short, clear and conversational in tone, and build on the previous question. The questions you ask are not merely seeking oral responses to a questionnaire, it is important to encourage open exchanges and discussion. Preparation how to focus on introducing questions in a conversational manner using:

- **Introductory questions:** Questions designed to get participants talking and participating in the topic
- **Linking questions:** Questions which enable the facilitator to move from the broad discussion to specifics
- **Key questions:** Questions which address the key issues which the survey result indicate need to be explored

Write a script that includes an introduction, the questions and a close. This is especially important if you are running multiple focus groups to ensure that you conduct each of them in the same manner.

Design a template for recording responses. Before the focus groups begin it is worthwhile to consider how the discussions are to be recorded and how they will be analysed. One way is to produce a template for the facilitators to complete at the end of the session.

Find facilitators. If you are not running the focus groups yourself (you might decide people will be able to speak more freely if you don’t) appoint neutral facilitators to lead the focus group and make sure that the participants will be comfortable speaking openly and honestly in front of them. Also have 4 or 5 people in each corner of the room who will take detailed notes and observe events from different perspectives.

Prepare for the sessions. Order in advance or take refreshments. Take notepads, flipchart paper and markers, post-it notes if there is to be any ‘voting’ type of activity, a clock if the room does not have one, your prepared questions and response templates, back up data to support a developing discussion, and the questions prepared previously.

Run the sessions. Start by introducing the facilitators if you are using people outside the school or department, and have each employee introduce themselves. Begin with the introduction where you reinforce why you are conducting the focus group and what you hope to gain, then go directly into the questions. Encourage conversation between the participants and probe when the answers given are general in nature. Ensure several people record the discussion, to maximise the opportunity of capturing everything that’s said. Write up themes and answers on a flip chart or white board while a second facilitator takes more detailed notes of the event.

Questions and discussion. Allow time for the introduction, and factual information before each question to be absorbed and understood. Then ask the first opening question and allow a general discussion to progress before probing and asking more specific questions. This will take longer at the start whilst the group ‘warms up’.

Collaboratively analyse the information received at the end of the session and discuss indicators for actions. Ensure these are captured in the flip charts and other notes. Immediately after the session while the information is still fresh in your mind and write a summary report. Once you have completed all of the focus groups and summary reports, schedule a meeting with key stakeholders to translate the results to determine the level of employee engagement and put an action plan in place.

Write the summary from your notes and those of the facilitators’ notes as soon as possible after the meeting.

Next steps. If it is not possible to see indicators for action at the end of the focus group, have a pre-prepared statement on what will happen next, for example, how results will be summarised, interpreted...
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and reported including timescales, what other action will be taken and how participants will be kept informed of progress.

q) **Undertake further analysis.** It is useful to start by reading all the focus group summaries in one sitting, looking for trends and surprises. Keep in mind that context and tone are just as important as frequency of specific words. If a comment (or a number of comments) seemed to be phrased negatively, elicited emotional responses, or triggered many other comments, that would be worth noting in the analysis. Summarise in a report for sharing.

r) **Translate results into action.** The greatest failures in the use of focus groups are (i) not reporting back to the participants and (ii) not applying the results to the original purpose for which they were commissioned. The following provides some suggestions for translating the results into action:

- Schedule a meeting to review the summaries and discuss their implications;
- Highlight the main themes, issues, problems, or questions that arose in the focus groups;
- If there is a lot of information, prioritise it and agree what actions will be taken, by whom and by when.

s) **Send participants a summary** and include them in correspondence about how the information was used.

t) **Examples of questions**

**Sequencing and balance of questions.** Rules of thumb for focus groups are as follows:

- Use general questions early in the focus group session;
- Use more specific and focused questions later in the session, after the general questions;
- Use positive questions before negative ones; (“what's good about working here?” before “what’s not?”).

**Introductory questions.** Introductory questions should be open-ended (see below). Often all participants are asked the same introductory question to encourage everyone to get an opportunity to talk at an early stage. Where possible, the introductory question should be phrased in a neutral or positive manner. For example, you might begin by asking participants something along the lines of “what’s it like to work here?”

**Linking questions.** The facilitator can make use of a wide range of types of questions and techniques to move the discussion on. One of the most common approaches is to make use of probes or follow-up questions to explore in more depth the individual responses to the introductory questions and the subsequent discussions. Though facilitators do not need to prepare these in advance, you might find it is useful to look at examples of the types of questions that you can use and how you might use them (see below).

**Questions to avoid**

- **Leading questions** which lead the respondent in a given direction and contain the implied answer.
  - “Do you agree that the first part was better?”
  - “Most people think the first part was better, what do you think?”

- **Loaded questions or ‘value laden’ questions** which use emotionally charged or value laden words, for example, questions such as: “Would you be for or against unhelpful management practices which force…."

- **Multiple questions or ‘double-barrelled’ questions** such as:
  - “Have you ever worked in finance, and what was it like to work there?”
  - Ask each part of the question separately. You can frame a multiple question with a statement, for example:
    - “I want to find out about the pros & cons of working here; first, what are the good things about working here?”
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Questions to use

- **Open questions** should be the most frequently used, allowing respondents freedom in responding, and do not constrain them to ‘Yes / No’ answers or a limited range of options, or imply the type of response that is expected.
  - “What did you think about …?”
  - “How did you feel about that?”
  - “Tell me about.”.
  - “Can you tell me a bit about what it felt like…..?”
  - “What are your first thoughts about…?”
  - “What’s the first thing that strikes you about…?”

- **Closed questions** have important uses for clarification, requiring ‘Yes /No’ or ‘one word’ responses.
  - “How old are you?”
  - “Are you married?”
  - “Which of these issues needs tackling first?”
  - “Do you mean by that that …?”
  - “Which is the most important …. ?”
  - “Do you agree?”

- **Probes** are questions to find more information or detail, and can assist with the flow of the discussion
  - “Could you tell me a bit more about that?”
  - “I’m not quite sure what you mean….?”
  - “Peter said that he feels strongly about X, but I didn’t fully understand; could you tell us a bit more about X…..”
  - “How does that work in practice?”
  - “Can you give us an example?”

- **Follow-up questions** are similar to probes and are often planned into the question schedule.
  - “What is the most important issue facing the organisation today?” followed by “What can we do about it?”

- **Closing questions** are designed to allow participants to express their overall view or position on the topic.
  - “If you were asked to advise …. on what it should do about …. , what would you say?”
  - “Write on a ‘post-it’ what you think is the most important issue the organisation needs to tackle about …”

- **Summary questions.** At the end of each discussion, and the focus group, the facilitator can summarise.
  - “How well does that capture what was said?”
  - “Have we adequately summarise the discussions?”
  - “Is there anything we’ve missed?”
  - “Have we covered everything?”

### 3.1 QUALITY CIRCLES

3.1.1 Where the survey results identify a specific problem, for example with a process or a lack of participation in a specific aspect of school or department life, it may be useful to establish a ‘quality circle’ to look at the issue.

3.1.2 A quality circle is formed from a small group of between three and twelve people who share an area of work, school or department. They should not be seen as an elite, or committee, but a team who attend regular meetings of approximately an hour per week (or fortnight), on a voluntarily basis, in paid time, usually under the leadership of their own supervisor. Their purpose is to identify, analyse, and solve some of the problems in their work, presenting solutions to management, and where possible, implementing the solutions themselves.

3.1.3 Whilst membership is voluntary, if someone drops out, this should alert managers to finding out whether there is a concern with the group.

3.1.4 It is important that the meetings do not become a burden on day to day work, and therefore not longer than an hour per week (or fortnight). Some have expressed concern that challenges cannot be overcome in such a short time, however, once an obstacle is identified and the scope of the group defined, breaking from active application to the problem and returning to it periodically for short intervals.
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It must be recognised that Circles do not work in the same way as committees or other types of meetings. Normally Circles do not keep minutes as such, or spend half the meeting time discussing minutes of the last meeting; they just get down to work straight away. The techniques used by the Circles and described in the next section are extremely effective when used in this type of small group activity, and both members and others are usually amazed how much they achieve in only one hour per week.

3.1.5 Typical tools and techniques used by quality circles to study issues include –

The Ishikawa or ‘fish-bone’ diagram – which shows hierarchies of causes contributing to a problem. (See ‘Cause and Effect Analysis’ section 3.3)

The PDCA-Deming wheel – Plan, Do, Check, Act, as described by W. Edwards Deming. (See section 3.4)

3.1.6 There are four phases from setting up the quality circle to implementing the first solution to an identified issue.

3.1.7 (i) At the ‘Start-Up’ phase, publicise the proposal to find volunteers, and identify resources if possible. It is important to clarify which concerns will be targeted to avoid confusion later. If necessary, it may be beneficial to have different quality circles focussing on different issues.

3.1.8 (ii) The second phase is to identify the obstacles and potential solutions. Some groups get in trouble because they are unable to agree on which problem to tackle. This is particularly likely when representatives from different areas make up the group and no tractable issue affects everyone. If this is the case, separate the group so that each is looking at different things. It may be possible to amalgamate the groups later. During the problem-solving, it may be necessary to bring in external expertise, for example, to deal with budgeting, systems or other technical processes.

3.1.9 (iii) The third phase is gaining approval for the suggested solutions. Where the approval comes from will depend on the type of solution. Where it is possible to make the decision within a school or department, it will be necessary to present the solution to its members, in order for all to share in its execution and practice.

3.1.10 (iv) The fourth phase is to implement the agreed solution. This may require an action plan so that specific people take the responsibility of ensuring the right steps are taken to achieve the result required. It is dangerous to assume that because a solution is agreed, it will automatically happen.

3.1.11 If the quality circle proves successful, there may be a desire for expansion, with new groups being formed whilst the original groups continue to meet. It is important, if a solution has been successful, to stop and redefine the subject under scrutiny. It may be that the group takes on a monitoring function to ensure the solution has been universally adopted and remains successful. The measure of its success will be the results at the next staff survey.

3.1.12 Quality circle programs do not have to be never-ending. They can effectively collect the ideas of the individuals closest to the work. Quality circles can be created, ideas they produce captured and implemented, and then end the circle where there is no need for it to continue. This approach recognises the strengths and limitations of the circle process and capitalises on them. It relies on the initial enthusiasm and knowledge of workers who get an opportunity to meet and make suggestions and recognises that circle programs can be difficult to maintain and therefore plans for their being phased out.
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3.1.13 Another benefit of quality circles is that they can be used as an interim or transitional device in moving towards an increased interest and participation in the management system and culture of the school or department.

3.2 CAUSE AND EFFECT ANALYSIS

3.2.1 Root cause analysis is about tracking a problem to its origins, so that you can focus attention on finding solutions to the source, rather than attending to the symptoms. It enables you to see how factors in one area may impact on other areas, resulting in the overall problem. There are five steps to conducting a root cause analysis.

3.2.2 (i) Define the problem, describe what is happening and what the symptoms are.

3.2.3 (ii) Collect data – what is the proof that the problem exists? How long has the issue been of concern? What is its impact on other parts of working life?

3.2.4 (iii) Identify possible causal factors. For example, is it the result of a given process? Is it the result of a given set of factors? A useful way of understanding the different parts of the cause is to use a ‘Ishikawa’ or ‘fishbone’ diagram, shown below, which help to separate out the different components which may be at the cause of an identified concern.

3.2.5 As many branches from the main spines and ribs can be made to add more detail and provide more insight to different causes that impact on the issue, as shown below. It is important to peruse this – often people find one or two causes and then stop which might mean the root cause or an important factor is not identified.
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3.2.6 (iv) Once you have identified the root causes, it should then be possible to understand why the cause exists. One method of getting to the root of the reason the cause exists is to keep asking ‘why?’ (known as the “5 Ys”) until the reason is fully uncovered. You can ask ‘why?’ as often as it’s helpful; there is no need to stop at five – stop when asking ‘why?’ is no longer helpful in uncovering causes.

3.2.7 (v) Once you have uncovered the reasons the causes exist, the solutions can be identified. Identify and agree who will take what action to implement the solution.

3.3 PLAN, DO, STUDY, ACT (PDSA) CYCLE (also known as Plan, Do Check, Act – PDCA – and Deming cycle)

3.3.1 The PDSA approach achieves a balance between process and behavioural aspects of work.

3.3.2 The PDSA Cycle is a systematic series of steps for gaining valuable learning and knowledge for the continual improvement and is also known as the Deming Wheel, or Deming Cycle, as the concept and application was first introduced to Dr. Deming by his mentor, Walter Shewhart of the famous Bell Laboratories in New York.

3.3.3 The cycle begins with the Plan step. This involves identifying a goal or purpose, formulating a theory, defining success metrics and putting a plan into action. These activities are followed by the Do step, in which the components of the plan are implemented. Next comes the Study step, where outcomes are monitored to test the validity of the plan for signs of progress and success, or problems and areas for improvement. The Act step closes the cycle, integrating the learning generated by the entire process, which can be used to adjust the goal or change methods. These four steps can be repeated over and over again as part of a never-ending cycle of continual improvement.

3.3.4 Plan.

- Think about where you are now and where you need to be
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- Record what you want to achieve, who will be responsible for what, how you will achieve your aims, and how you will measure your success
- Decide how you will measure the outcome in relation to what you set out to achieve
- Remember to plan for changes and identify any specific legal requirements that apply to you

3.4.5 Do

- Identify your risk profile
  - Assess the risks, identify what could cause harm in the workplace, who it could harm and how, and what you will do to manage the risk
  - Decide what the priorities are and identify the biggest risks

- Organise your activities to deliver your plans. In particular, aim to:
  - Involve workers and communicate, so that everyone is clear on what is needed and can discuss issues
  - Provide adequate resources, including competent advice where needed

- Implement your plan
  - Decide on the preventive and protective measures needed and put them in place
  - Provide the right tools and equipment to do the job and keep them maintained
  - Train and instruct people in the changes, to ensure everyone is competent in the new ways of working
  - Have a plan to ensure that arrangements are maintained

3.4.6 Study/Check

- Measure your performance
  - Make sure that your plans have been implemented, ‘paperwork’ on its own is not a good performance measure
  - Assess how well the risks are being controlled and if you are achieving your aims. In some circumstances formal audits may be useful

- Investigate the causes of accidents, incidents or near misses

3.4.7 Act

- Review your performance
  - Learn from accidents and incidents, ill-health data, errors and relevant experience, including from other organisations
  - Revisit plans, policy documents and risk assessments to see if they need updating

- Take action on lessons learned, including from audit and inspection reports
3.4.8 A series of cycles can take place until the goal is achieved.
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3.4 PROCESS MAPPING

3.4.1 A process is a structured set of activities that transform inputs into outputs. An example of an input is an application form, and an example of an output is a decision on the application. Processes assist us in defining responsibilities, internal controls, and work standards for consistency, performance and where necessary, compliance.

3.4.2 A ‘process map’ visually describes the flow of activities of a process. A process flow can be defined as the sequence and interactions of related process steps, activities or tasks that make up an individual process, from beginning to end. A process map is read from left to right or from top to bottom.

3.4.3 Mapping should be the first step in designing a process or in documenting a procedure, because, to improve a process, you must understand it and most of us understand a graphical picture better than a written procedure.

3.4.4 Process maps are used to develop a better understanding of a process, to generate ideas for process improvement or stimulate discussion, build stronger communication, and — of course — to document a process. Often a process map will highlight problems and identify bottlenecks, duplication, delays, or gaps. Process maps can help to clarify process boundaries, process ownership and responsibilities.

3.4.5 Some things cannot be avoided, for example, students tend to arrive in October and will inevitably cause a significant increase in the volume of work. However, understanding how the pressure of work can be smoothed out by streamlining the processes relating to the spike in volume will improve the working environment.

3.4.6 People who draft process maps for a living have a wealth of symbols to explain different aspects of a given process. An example is provided at 3.6.11. It is not necessary to use the full lexicon of symbols to be able to understand where your processes work well and where they fall down; usually arrows with text boxes (often sticky notes stuck to a wall as shown below) is sufficient. The most frequently used are the flow line arrow, the ‘process’ box to describe an activity, and possible the ‘decision’ diamond.

3.4.7 You know where things start and end. The process mapping lists the steps in between. Use a verb to start describing each step in the process or task. Ensure that all the steps and tasks are represented in the order that they occur in practice.

3.4.8 Where a process under scrutiny involves other schools, teams, sections or departments, it is important to ensure all those involved in the process are involved in defining it, and identifying any problems with it. It is important to have agreement between stakeholders on any potential redesign.
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3.4.9 To prepare for a process mapping exercise, allow a minimum of 2 hours and a maximum of 4 hours. Include refreshments. The space needs to include a room with a long empty wall where several people can stand, and on which you can pin several sheets of flip-chart paper or a long paper sheet from a roll. Equip all participants with sticky notes and marker pens.

3.4.10 Once you have the process defined, it will be easier to pinpoint the bottlenecks or where errors occur. At this point a new pathway can be designed to reduce the problem, perhaps a new stage needs to be added, or stages need to be removed to avoid complicating what should be a simple process.

3.4.11 Sometimes the redesigning of a process indicates changes that need to be made in other parts of the organisation. Perhaps revised governance arrangements need to be considered to accommodate the new process, or a new risk assessment needs to be undertaken to ensure all factors are considered before implementing a new process.

3.4.12 An example of typical symbols used in process mapping is shown below.
3.5 SENDING SUBJECT-SPECIFIC QUESTIONNAIRES

3.5.1 Sometimes survey results can pinpoint specific problem areas such as pressure of work or other aspects of work which impact on staff health and wellbeing or the perceived work environment. There are some subject-specific questionnaires available externally which can be used, or you may want to design something bespoke to the situation in your school or department.

3.5.2 If your school or department survey results suggest staff experience a pressure of work, there are Health and Safety Executive (HSE) questionnaires that can be undertaken to provide more information on the nature of the pressure perceived. The HSE website includes the questionnaires (indicator tools), analysis tools, advice on developing action plans, holding wellbeing related focus groups and links to an online forum. The link to the site is [http://www.hse.gov.uk/stress/standards/downloads.htm](http://www.hse.gov.uk/stress/standards/downloads.htm).

3.5.3 Designing a questionnaire for other specific needs may be more challenging. The tips below are designed to help you to focus the questions, and minimise the burden of analysis whilst providing you with the information needed to address specific areas of concern.

3.5.4 Qualitative free-text answers to questions provide rich data, however they are more difficult to analyse and interpret or draw general conclusions from. Quantitative questions with scaled responses are more easily analysed and compared.

3.5.5 The rule-of-thumb process for designing a questionnaire is –

- Specify the aims and any background-hypotheses (for example, ‘we suspect deadlines are met because large pieces of work are required to be completed at the same time’)
- Review any background data, other evidence and work-of-mouth informants’ ideas
- Design the questionnaire wording and measures to provide the information sought (for example, multiple choice answers, or a range of strength of opinion from strongly agree to strongly disagree, ‘yes or no’ etc)
- Pilot the questionnaire on a group of people not affected, explain the background and design and amend following their feedback and review of the results
- Maximise response rates by explaining the benefits, keeping the survey short and specific, and if necessary, anonymising the responses.

3.6 CULTURAL INDICATORS

3.6.1 This tool helps to facilitate discussion on the culture in your school or department, including what should change or not change. It first helps members to identify the consensus of the current culture from a range of perceptions and experiences, and look for areas that might be impeding the school or department, or individuals, from achieving their goals.

3.6.2 It might be useful for the members of a school or department to reflect first on what culture they want and is appropriate before beginning this process.

3.6.3 The template below can be used by individuals to prepare, and by groups to initiate discussion (copied on the next page). To make it manageable, the school or department might be broken into sections or teams for discussion. This might also reveal a variety of cultures experienced within the school or department.
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<table>
<thead>
<tr>
<th>Current Position</th>
<th>Things to Continue</th>
<th>Things to be Reinforced</th>
<th>Things to Stop</th>
<th>Things to Start</th>
</tr>
</thead>
<tbody>
<tr>
<td>Visible signs</td>
<td></td>
<td></td>
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<tr>
<td>Attitudes</td>
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<tr>
<td>Beliefs</td>
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</tr>
<tr>
<td>Behaviours</td>
<td></td>
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</tbody>
</table>

3.6.4 Each cell should be filled through discussion. Work across the template in columns, for example, start with the 'current position'. Conversations in this column might indicate consensus in others before moving on to those columns which is fine, but come back to the items in the first column until they are finished. Then move on to those cells not yet completed on the right of the current position.

3.6.5 ‘Visible signs’ refers to anything which can be seen that distinguishes one person or group of people from another, such as office space or parking space, equipment or facilities.

3.6.6 ‘Attitudes’ is less easy to define and the discussion might be more sensitive. For more information on opening discussions and ensuring they are not felt to be threatening, see item 3.1(t) on asking questions in focus groups. A team discussion on aspects of culture does not need to be run like a focus group, however, the advice on asking questions is helpful in this context.

3.6.7 ‘Beliefs’ are the foundations of the school or department values. They can be identified from throw-away comments heard such as “the best way to succeed is to get on with the job and don’t rock the boat”, or “everyone works hard”.

3.6.8 ‘Behaviours’ refer not only to individual behaviours (such as always acknowledging or always not acknowledging emails), but to school or department ‘behaviours’ such as strong or weak divisional lines of decision-making, or a command and control or laissez faire style of management.

3.6.9 Once the group has a consensus on the current position, what should continue, be reinforced, started and stopped, there needs to be a discussion on how this is to be achieved. It is not always easy to stop things, or to start new things. It might be necessary to formalise an action plan and assign and agree responsibilities across the school or department, or specific teams. It might be necessary to review governance of specific processes to ensure the risk of stopping or starting things is minimised.
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## CULTURAL INDICATORS TEMPLATE

<table>
<thead>
<tr>
<th>Current Position</th>
<th>Things to Continue</th>
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<td>Behaviours</td>
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</table>
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4 Toolkit for assessing readiness for and implementing change

4.1 FORCE FIELD ANALYSIS

4.1.1 The purpose of this tool is to identify the various forces acting for and against an issue to be resolved by a group. The tool can be used with a group that has a specific problem or issue to resolve and is unsure how to set about doing so. It helps to identify those forces that act to promote a resolution of the problem – called the driving forces, and those that act to foil a resolution – called restraining forces.

4.1.2 With a group, clarify the precise nature of an issue that needs to be resolved.

4.1.3 The template below can be used to analyse the driving and restraining forces. State the issue in the centre, and state on each arrow what it represents.

<table>
<thead>
<tr>
<th>Score</th>
<th>Driving Forces</th>
<th>Issue</th>
<th>Restraining Forces</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
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<td></td>
</tr>
<tr>
<td>TOTAL SCORES</td>
<td></td>
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<td></td>
<td></td>
</tr>
</tbody>
</table>

4.1.4 Provide each person a copy of the template below (copied on the next page with an explanation of driving forces to help you). Describe some example driving and restraining forces. For example, what is driving a change in a particular local process (or whatever the issue identified in the staff survey results as needing to change), and what is restraining it. Encourage participants to consider the forces from the perspectives of different members of the school or department to include a variety of forces. Put against each arrow a score which indicates the strength of the force. Add the scores to establish readiness for change; a higher driving force than restraining force score indicates a higher level of readiness than if the scores were reversed.

4.1.5 The next stage is to identify what can be done to tip the balance in favour of implementation, either by reinforcing the driving forces or by reducing the restraining forces. The aim is to build greater momentum towards change.

4.1.6 The analysis can be extended to understand the needs of the different stakeholders represented in the driving and restraining forces – who would benefit from the changes? What is the downside if any for others? What can be done to make the result fairer? It is also useful to align the outcome of this local change to the benefits for the University as a whole.
Force field analysis is a way of evaluating the forces responsible for acting on a problem or issue. Some forces push towards a solution to that problem (driving forces) and other tend towards preventing a solution (restraining forces).

Analysing those forcing is an excellent first step towards finding a solution. The forces may be people, events, circumstances or anything else that may have an influence on whether a solution can be reached. What are the things that are driving towards a solution to the problem or issue in hand? How can these be enhanced? What are the things that are restraining you from finding a solution? How can these be reduced or eliminated? (Do they change the scores?)

<table>
<thead>
<tr>
<th>Score</th>
<th>Driving Forces</th>
<th>Issue</th>
<th>Restraining Forces</th>
<th>Score</th>
</tr>
</thead>
<tbody>
<tr>
<td>1</td>
<td>Driving force 1</td>
<td></td>
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<td></td>
</tr>
<tr>
<td></td>
<td>Ways to enhance</td>
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<td></td>
<td>Ways to enhance</td>
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<td>3</td>
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<td>Ways to enhance</td>
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<tr>
<td></td>
<td>Ways to enhance</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**TOTAL SCORES**
4.2 APPRECIATIVE INQUIRY FOR CHANGE

4.2.1 The purpose of this tool is to discover positive aspects of the school or department and its culture that should be protected in the event of change. It differs from other tools in so far as it does not seek to question the history of the rationale for change, instead it is a rapid change process for renewal that focuses on what is already good and needs to continue.

4.2.2 Appreciative inquiry (AI) focuses on leveraging an organisation's core strengths, rather than seeking to overcome or minimise its weaknesses. AI is not a “top down” or “bottom up” change process, but rather a “whole system” approach.

4.2.3 AI sessions can last a few days, or a few hours if participants have an understanding of the steps to be taken and the area to be scrutinised. There are no rules about who the participants should be, but may be dependent on what you are trying to achieve (i.e., the area of focus).

4.2.4 The AI method is a sequential journey focusing on a specific area. The steps are labelled (i) “define” (ii) ‘discover’, (iii) ‘dream’, (iv) ‘design’ and (v) ‘deliver’ (also known as ‘destiny’), otherwise described as (i) confirm what is being scrutinised and what is not, (ii) appreciate past examples which represent your best experiences of the area of focus, (iii) analyse the examples from the group to pinpoint common characteristics of what made them good, (iv) form ‘provocative propositions’ – statements of aspirations and intent – based on the analysis, and envision what might be and what is possible for the future, and (v) find ways of making it happen and doing it.

4.2.5 In each step, different questions can be asked to build on the work in the previous step. It is important that participants understand that you are not pretending that there is no bad in the school or department – perhaps this needs to be acknowledged before the day of the AI session. What is crucial to understand is that you get what you focus on. Therefore, the focus is on what’s positive in order to build the change people desire, based on best experiences of the school or department.

4.2.6 This focus on the ‘positive core’ of school or department life is considered to be the best, and least used, resource when bringing about change. In the AI process, participants collaboratively create the future, consciously, using positive core strengths of the school or department. Linking the energy of
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this core directly to any change initiative, quickly creates and mobilises people to engage actively in implementing change in areas where previously it was thought there was resistance.

4.2.7 The diagram below simply describes the stages of the AI process.

4.2.8 The first step is to define what is being focused on – what is the area of change required or desired. It is important to present it in a positive way (known as the ‘affirmative topic’ choice). This will become the focus of the intervention and the subsequent stages. The topic will likely evoke conversations about the desired future. This does not have to be agreed – it might be a regulatory or other imperative, but should not be presented as a negative. Questions such as ‘what is the best way to achieve this?’ will help maintain a positive focus.

4.2.9 The second step is to discover what people’s good experiences are. The primary task in the Discovery phase is to identify and appreciate the best of “what is.” The distinguishing factor of AI in this phase is that every carefully crafted question of the topic choice is positive. This task is accomplished by focusing on peak times of organisational excellence, when people have experienced the organisation as most alive and effective. Seeking to understand the unique factors (e.g., leadership, relationships, technologies, core processes, structures, values, learning processes, external relationships, planning methods, and so on) that made the high points possible, people deliberately “let go” of analyses of deficits and systematically seek to isolate and learn from even the smallest wins. Example questions for this stage include –

- What has been a high point of your involvement with this school or department?
- Why was it a high point?
- What do you especially value about the school or department?
- What do you consider the core factor that makes for excellence here?
- What first drew you to your school or department and what has most encouraged you to stay?
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- What do you consider some of the most significant trends, events, and developments shaping our future?
- What has inspires you about working here on a daily basis?
- What do you most hope you can contribute to your school or department?
- What question, if answered, could make the most difference to the future of the school or department?
- What’s important to you about the school or department and why do you care?
- What draws us to this inquiry?

4.2.10 The responses need to describe precisely what happened, who was involved, what difference staff were able to make, which of their strengths and talents were called upon, what contributed most to the success of the effort being described and what people learned about school and department changes?

4.2.11 With a collection of responses on the best experiences, participants can move to the dream step. Once the ‘positive core’ is established, the dream step helps participants to imagine and envision the future for the school or department. The dream phase accomplishes this step. AI is different from other visioning or planning methodologies because its images of the future emerge from the factual examples of experiences established in the discovery step. For many members of the school or department, this is the first time they will indulge in thinking “great” thoughts and create “great” possibilities for its future. It is an invigorating process, and the following questions are useful in progressing this –

- Imagine that by 2020 your school or department has established its reputation as the leading example of good practice in its area of work –
  - What has contributed most to making that distinction possible?
  - How is it making a difference to the future of the University to have such an accolade?
  - What bold decisions were made? Who set this leadership direction?

- Imagine a time in the future when people look to our school or department as an exceptional example of a thriving, attractive place where a diverse cross section of people engage as owners of our future –
  - In this exciting future, how do we engage in school or department life?
  - What is sustaining our dedication?
  - What kinds of systems and structures are most encouraging this?
  - What are you most proud of having helped to accomplish?

- What opportunities can you see in this situation?
- What do we know so far and still need to learn about this development?
- What are the opportunities in this development?
- What assumptions do we need to test or challenge?
- What would someone who had a very different set of beliefs than we do say about this development?

4.2.12 The design phase, participants will engage in creating the ‘ideal’ (of whatever topic is being discussed) in order to achieve its dream. Images of the future will emerge from the examples given from participants’ experiences of what is positive from the past. ‘Good-news’ stories can be used to
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craft ‘provocative propositions’ that bridge the best of ‘now’ with a collective aspiration of ‘what might be’. This phase is essential for sustaining positive change and responding to the school or departmental most positive past and highest potential. Questions to help establish this might include:-

- What communication structures would need to be put in place to draw attention to this development?
- What’s our intention here?
- What’s taking shape?
- What’s emerging here?
- What new connections are you making?
- What had real meaning for you from what you’ve heard?
- What surprised you?
- What challenged you?
- What else do we need to include?
- What do we need more clarity about?
- What’s the next level of thinking we need to do?

4.2.13 The deliver step creates the specific actions and responsibilities to make the change happen in the way that is most beneficial according to the discussions so far. This phase delivers on the new images of the future and is sustainable because members of the school or department co-own the creation of its future image with shared ideals and experiences. The momentum and potential for innovation are extremely high by this stage in the process. Individuals and groups discuss what they can and will do to contribute to delivering the ‘dream’ previously ‘created’. Useful questions might include –

- Who will provide leadership to this effort?
- What specific ways would you like to contribute to realizing this dream?
- What’s the first thing that’s needed to make it happen?
- What small changes could we make right now that would really encourage more families to get engaged with improving our community?
- How would you personally like to be involved in expanding citizen leadership here?
- What would it take to create change on this issue?
- What needs our immediate attention going forward?
- If our success was completely guaranteed, what bold steps might we choose?
- How can we support each other in taking the next steps?
- What unique contribution can we each make?
- What challenges might come our way and how might we meet them?
- What additional skills or support do you need to enable you to meet these objectives?
- What will you commit to accomplishing over the coming year and how it will support us achieve our goals?
- What support and resources do we need to enable us to accomplish this?

4.2.14 The building of responses in a series of steps will enable you to build the process for implementing change that is co-designed by members of the school or department, who will then have an interest in sustaining it and police activities not thought to be aligned with its original intention.
4.3 UNDERSTANDING AND SUPPORTING STAFF THROUGH CHANGE

4.3.1 Change is the new norm. Change has become a fact of working life. Universities in general, including Kent, have been undergoing rapid change with the introduction of the TEF, changes to funding and scrutiny. This guide relates to the people aspects of change rather than the technical organisational aspects.

4.3.2 Engage with people. Successful change management depends on properly engaging with the people involved. This section aims to help those managing staff experiencing change with some change management essentials.

4.3.3 Attend to people’s different feelings. It is essential that the human dimension to managing change is recognised right from the outset. Failure to do this results in loss of trust between managers and staff, recruitment and retention problems, poor performance and a failure to learn from the process. It is also important to remember that management perceptions of a change and its effects on staff may not be the same as staff perceptions. Reality may be markedly different to its perception. When people are worried, they do not perform at their best and they will need patience and support to continue with the usual day-to-day work.

4.3.4 Communication is king in the process of managing change. It is the only way to prevent rumours taking precedence over fact. If staff have access to the facts then rumours will not be as likely to become their main source of knowledge. Communication should be frequent, repeated, honest, relevant and most importantly, two-way. It is particularly important for senior managers to be in agreement about the process and to be seen and heard to be in agreement. This includes agreement about the management style to be used across the school or department.

4.3.5 Say what you mean, mean what you say. Attention should be given to the human and emotional aspects of change. Staff will automatically fear change and this fear will be encouraged by rumour, worries about working practices and new management. During a time of change people are
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particularly attuned to what is being said and done and will base their expectations on what they see and hear. It is extremely important to consider carefully what is said – saying only what you mean and meaning what you say.

4.3.6 **Change tends to cost more, take longer, and result in fewer benefits than originally anticipated.** The change process and embedding change into the day-to-day running of an organisation will take longer than predicted. It always does, so prepare for this.

4.3.7 **Once you start it, don’t leave it.** Change is not completed when the actual physical change takes place. The organisation and its staff may well take up to two years to adjust and come to terms with it. The senior manager responsible for managing the change process should maintain that role well beyond the physical change taking place in order to be available for staff and to manage issues that arise.

4.3.8 **Be mindful of the effects of change on staff health and wellbeing.** Major change has a short-term negative effect on staff health, no matter what the type of institution. The impact on an individual can be life altering and, in some cases, health threatening. Suitable action taken by senior managers to alleviate the mental and physical impact on staff can ensure that both organisation and staff emerge from the process in at least as good a state as when it started. The University's Occupational Health Service provides advice to individuals and managers on work related health problems, and health problems that can affect work. Occupational Health is a distinct branch of preventative health care, which specialises in the relationship between work and health. The team can help you with advice and information. The Occupational Health web pages for policies and procedures to support staff welfare are at [https://www.kent.ac.uk/safety/oh/](https://www.kent.ac.uk/safety/oh/)

4.3.9 **Involve staff in the development of change as much as possible.** Change such as major reorganisations will inevitably result in one set of staff feeling themselves to be the victims and these will feel the effects of the change to a greater extent than the other staff involved. Managers will need to manage this carefully in order to minimise, as much as possible, the feelings of hostility that are often exacerbated if one change follows another when they could have been dealt with together. Research has found that the staff involved still refer to ‘them’ and ‘us’ as many as ten months after a major change. This can be reduced through the involvement of members of the school or department. The various tools in this toolkit can help with this.

4.3.10 **Be prepared using this checklist.** All change is difficult for almost everyone affected. Aim to –

- have a clear and explicit rationale for the change that is being attempted
- communicate that rationale simply, intelligibly and honestly
- repeat the rationale for a long time – in both the run up to the change and after its implementation
- communicate to staff groups, trade union representatives, and associates affected by the change
- understand staff emotions and the dip in performance that is usual in the run up and immediately afterwards
- ensure multiple channel and two-way communication that concentrates on short-term benefits
- plan for and resource the extra workload that the change process will involve for senior managers

**Phase 1:**

4.3.11 **Pre-change discussions.** Before any change takes place, initial scoping work should be carried out to identify issues such as cultural differences or similarities that might affect the success of the change strategy, benefits sought from the changes to be made and the rationale for the process. Once this has been done there should be a school or department announcement of the proposed change. To prepare, attend to these questions
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- think carefully about why you are instituting the changes and what you expect to deliver through them
- can you explain the purpose of the changes intelligibly to others?
- how are you going to support staff through the change?
- can you put in place the resource(s) to continue support beyond the end of the process for several months?
- set the right tone from the start by ensuring that staff are communicated with as early as possible
- ensure that the first communication is done in person and face-to-face by senior management
- involve the trade union representatives and do not let the change proposals come as a major surprise
- decide what the message is going to be - it must be the same to all groups to support consistency
- tell staff what it is, what you do not yet know, and how you intend to go about finding out
- not all staff will be able to attend so supplement the briefing with a written one for all staff
- do not make any promises you or the organisation cannot keep and keep those you make

Phase 2:

4.3.12 Implementation. This is the time for putting plans in to action. Before you start, check whether you –

- have a strategy for managing the change
- have the senior team signed up and agreed on the reasons for change and manner of implementation
- have appointed a senior manager to oversee the implementation
- and be the first point of reference for staff concerns
- have staff on board and fully involved in the communication process
- Talk with your HR Business Partner or Adviser to support you plan for managing staff through the process
- have in place methods for assisting the staff groups and individuals who may suffer anxiety and stress
- take time to sharpen up messages for staff and other stakeholders
- take a long hard look at where there might be potential barriers to achieving your aim
- consider what measures you can take to deal with barriers
- take account of feedback from all sources and where necessary respond by adjusting your key messages
- organise regular team briefings and put in place a mechanism for information to feed up as well as down
- ensure that senior management is visible across the school or department
- use existing communications channels, such as newsletters, to supplement the information flow
- arrange face-to-face meetings where change is going to affect a particular staff group or work area
- post Q&As on noticeboards and online so everyone can read them

4.3.13 Ensure staff are aware of the support available. Put in place methods for assisting staff who may have difficulty in coping with the change. There are counselling services available to staff. The Counselling Service is an integral part of the welfare services offered on campus free of charge to part-time and full-time staff and students. The address is Counselling Service, LG2 Keynes College, CT2 7NP, telephone number 01227 823206 or 01227 764000 ext. 3206. This needs to be in place before the change programme is launched so as not to be seen as an afterthought, or something only adopted to deflect criticism from staff after the event.
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4.3.14 Adjust your expectations. Be aware that there will be a performance dip at all levels of the school or department going through the change process. Try to obtain additional resources to help the process and continue the normal operations. If possible, a change co-ordinator should be appointed at management level who will be responsible for delivering the benefits of change and also be the person that staff can approach with their concerns about the process. See the change curve in 4.3.3.

4.3.15 Celebrate the past and achievements. This will enable those involved to build something positive in the future if they know their achievements are valued.

Phase 3:

4.3.16 Post-implementation The periods just before and after change has been implemented are critical in managing expectations of staff. Early management actions are strongly symbolic and staff will be very anxious to be given clues as to how the new regime will differ from the earlier one. It is because of this that all senior staff must be seen and heard to say what they mean and mean what they say. In this sort of atmosphere even informal remarks may be given a weight and significance that they would not achieve under any other circumstances. At this stage actions often speak louder than words and any variance between actions taken and the stated aims and values of the change programme will be picked up by staff and increase distrust at a time when it is already higher than usual.

4.3.17 Look after the middle managers. In any change programme, the most vulnerable staff are middle managers and professionals who have to simultaneously manage the day-to-day work, support their staff through change and manage their own insecurities relating to the changes. Top managers are usually so tied up in managing the change process and the organisation that they have little time or energy to spare for the middle managers and professionals Suggestions for managing the situation are provided in this checklist –

- provide additional resources to cope with the extra workload or renegotiate deadlines where possible
- provide confidential coaching or counselling for middle managers, professionals and their staff (as above)
- set up support groups such as action learning sets for middle managers and professionals to discuss solutions to difficulties during the change and embedding period

4.3.18 Fair and consistent treatment: It may be necessary to take resolute action to challenge staff who are persistent in resisting change and unable to move on from it positively. If left unchallenged, their behaviour could adversely affect the morale of colleagues and this, in turn, could cultivate resentment and disillusionment. It is essential to be fair and consistent in dealing with staff in this position, respecting their right to have a view even if it does not meet with the new way in which things are done. They also have to appreciate that things have changed and they must change with them.

4.3.19 Key messages for managers:

- communicate honestly, openly, consistently, two-way and continually
- set the right example by matching what you say with what you do
- appoint a dedicated change co-ordinator to maximise the benefits of change
- provide extra support for middle managers and professionals
- boost provision of experiential development opportunities
- plan for visible early wins in the first six to 18 months after the change is introduced
Phase 4:

4.3.20 **Patience when living with change.** Working through the full benefits of major change takes years rather than months. Restoration of mood and performance will not take place until there is widespread acceptance of the new situation as a whole. Research suggests that you should expect this process to take at least two years. One review of 100 change programmes found that the peak level of change was reached in years four and five.

4.3.21 **Remind people of the benefits by celebrating and publicising successes.** Effective and supportive management across the organisation should enable an organisation to rebuild performance and morale within two years and to achieve most, if not all, of the benefits of change within four to five years. During this period it is sometimes useful to reiterate the benefits that were being sought and to flag up those that have been achieved. It is helpful to the organisation and to staff to make the most of the gains so that all can see what their pain, stress and hard work has achieved in the past and use this as a base for focusing on improving the future.

4.3.22 **Key messages** for top managers at this stage are –

- identify and address priority health needs of staff at all levels
- manage the long-term process of change
- maintain effective two-way communication with staff
- make the most of effective HR advice from HR Business Partners and Advisers [https://www.kent.ac.uk/human-resources/staff/?tab=employee-relations-and-business-partnering](https://www.kent.ac.uk/human-resources/staff/?tab=employee-relations-and-business-partnering)
- make the most of development and team dynamics interventions from Learning and Organisational Development [https://www.kent.ac.uk/human-resources/staff/?tab=organisational-development](https://www.kent.ac.uk/human-resources/staff/?tab=organisational-development)

4.3.23 Further advice can be found at [http://www.acas.org.uk/media/pdf/k/m/Acas-How-to-manage-change-advisory-booklet.pdf](http://www.acas.org.uk/media/pdf/k/m/Acas-How-to-manage-change-advisory-booklet.pdf)

4.4 **DEALING WITH PEOPLE-CHALLENGES**

4.4.1 **Why you must deal with difficult situations.** A challenging situation will not get better if it's left unaddressed, it usually gets worse. Conflicts simmer, rather than go away if ignored. Whilst most of the time they may lie just below the surface, they will erupt at any provocation and are counter-productive. When an eruption occurs, people will go into shock initially. Whenever people are treated unprofessionally, their shock will fester into something worse. It is important that you take some time to understand exactly what is happening. Deciding to live with the situation long term is not an option for either party or manager. Those affected by the conflict may feel so much pain that any effort to address the situation could become irrational. It’s far better to address a challenging while people can maintain some objectivity and emotional control.

4.4.2 **Work places can be fraught,** and therefore do not always bring out the best in people. We've probably all experienced or witnessed destructive behaviour of a colleague or boss which has taken us by surprise. If there is someone behaving badly in your school or department, or you are having difficulty not behaving badly, here are some tips to help.

4.4.3 **Remember that we’re all human beings.** It's important to remember that we all have off days and times in our life when things are trickier, and this may on occasion lead us to be less than lovely to people at work (and others might be less than lovely to us). So patience and some time may be all
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that is needed for the individual to get themselves through a sticky patch. Rather than a knee-jerk
response to their bad behaviour, instead ask them how they are as you want to make sure they are
OK. This is incredibly disarming – and as they see that your aim is to be supportive and not a threat,
they may well decide to see you as an ally rather than an adversary.

4.4.4 **Separate the person from the issue.** The benefit of doing this is that you establish yourself as a
strong problem solver with excellent people skills, winning more rapport, cooperation and respect.
How is this done? In every communication situation, there are two elements; (i) the relationship you
have with this person, and (ii) the issue you are discussing. An effective communicator knows how to
separate the person from the issue, and be soft on the person and firm on the issue. For example:

“I want to talk about what’s on your mind, but I can’t do it when you’re yelling. Let’s either sit down
and talk more quietly, or take a time out and come back this afternoon.”

“I appreciate you putting a lot of time into this project. At the same time, I see that three of the ten
requirements are still incomplete. Let’s talk about how to finish the job on schedule.”

“I really want you to come with us. Unfortunately, if you’re going to be late like the last few times, we’ll
have to leave without you.”

When we’re soft on the person, people are more open to what we have to say. When we’re firm on
the issue, we show ourselves as strong problem solvers.

4.4.5 **Be upfront with others.** Some people are not very self-aware so maybe you just need to tell them
constructively what the problem is or what you need from them. For instance, if a colleague is making
barbed comments in your direction, then take them to one side, and ask them why. They’ll either be
apologetic as they genuinely didn’t realise it was a problem, or they’ll make some excuse or even try
to counter-accuse. Either way, they’ll know it will be risky for them to attempt this again without you
hauling them up on it and perhaps escalating it further.

4.4.6 **Manage your expectations.** It might be a colleague expecting emails to be answered at midnight or
your boss continually dumping urgent work on your desk just as you are heading for the exit. Choose
a quiet moment when you can talk to them about their expectations and agree on how you can best
work together, including what you can and can't do, realistic timeframes and, if needed, a system for
dealing with urgent issues. Having this conversation ahead of time enables a far more rational
discussion about what's needed, rather than one in the heat of a last minute panic.

4.4.7 **Put the spotlight on aggressors.** The benefit of this is that it’s proactive and balances power
between you. Apply appropriate pressure to reduce difficult behaviour. A common pattern with people
who are being difficult is that they like to place attention on you to make you feel uncomfortable or
inadequate. Typically, they're quick to point out there’s something not right with you or the way you
do things. The focus is consistently on “what's wrong,” instead of “how to solve the problem.” This
type of communication is often intended to dominate and control, rather than to sincerely take care of
issues. If you react by being on the defensive, you simply fall into the trap of being scrutinised, thereby
giving the aggressor more power while she or he picks on you with impunity. A simple and powerful
way to change this dynamic is to put the spotlight back on the difficult person, and the easiest way to
do so is to ask questions. For example:

Aggressor: “Your proposal is not even close to what I need from you.”
Response: “Have you given clear thought to the implications of what you want to do?”

Aggressor: “You’re so stupid.”
Response: “I won’t be able to stay if you continue to treat me with disrespect. Is that what you want?
Let me know and I will decide whether to stay or go.”
4.4.8 **Set consequences.** This shifts the balance of power, and wins respect and cooperation when appropriately applied. The ability to identify and assert consequences is one of the most important skills we can use to “stand down” a difficult person. Effectively articulated, consequences give pause to the challenging individual, and compels them to shift from obstruction to cooperation. In the example above, the consequence of deciding not to stay may be that you have to articulate to why a specific piece of work was not completed.

4.4.9 **Be tolerant of different approaches.** Every team needs a mix of different personalities and approaches – the pessimist who will point out the flaw in the plan, the ideas person who challenges the status quo, the person who applies themselves to ‘doing’ what needs to be done and is impatient with discussion. Perhaps your nemesis at work is simply someone whose approach is different from yours. Your styles may clash but that doesn’t mean to say they are dysfunctional – in fact it might be just what the team needs. (For more information on this approach, see Belbin at [http://www.belbin.com/about/belbin-team-roles/](http://www.belbin.com/about/belbin-team-roles/))

4.4.10 **Observe other people’s methods closely.** How does their approach compare with yours? Are they a detailed person, glass half full or empty, task orientated or relationship focused? Then adjust your style when you communicate with them. For example, if they tend to be a nit-picking pessimist, then they may be more receptive to your ideas if you focus on which might be the least worst of possible scenarios and supply lots of detail. Read up on neuro-linguistic programming to find out how to build rapport and influence the thinking of individuals with very different thinking styles. (See [http://www.nlplifetraining.com/find-products/free-videos](http://www.nlplifetraining.com/find-products/free-videos) or [http://www.nlpacademy.co.uk/what_is_nlp/](http://www.nlpacademy.co.uk/what_is_nlp/) for more information.

4.4.11 **Confront bullies (safely)** to reduce or eliminate harmful behaviour and increase your confidence and peace of mind. You might think this is easier said than done. The most important thing to keep in mind about bullies is that they pick on those whom they perceive as weaker, so as long as you remain passive and compliant, you make yourself a target. Many bullies are also cowards on the inside. When their victims begin to show backbone and stand up for their rights, the bully will often back down. When confronting bullies, it’s important to place yourself in a position where you can safely protect yourself, whether it’s standing tall on your own, having other people present to witness and support, or keeping a paper trail of inappropriate behaviour. In cases of physical, verbal, or emotional abuse, consult with counselling, legal, law enforcement, or administrative professionals on the matter. It’s very important to stand up to bullies, and you don’t have to do it alone. The University's Occupational Health Service provides advice to individuals and managers on health problems that can affect work. Occupational Health is a distinct branch of preventative health care, which specialises in the relationship between work and health. The team can help you with advice and information. The Occupational Health web pages for policies and procedures to support staff welfare are at [https://www.kent.ac.uk/safety/oh/](https://www.kent.ac.uk/safety/oh/). Remember that it’s not only staff who can feel bullied, managers also experience bullying and need help to challenge it.

4.4.12 **Be mindful of psychological health issues.** When an individual continually behaves in a way that is problematic or destructive, then the roots often lie deeper than whatever is happening at work. People are complex and it's worth remembering that according to Mind statistics, 1 in 4 people will experience a mental health problem each year. So where their behaviour seems emotionally charged or oddly disproportionate to the issue at hand, it may be that there are more deep-seated psychological issues at play. Sometimes just keeping your cool, using logic and rational argument will be sufficient to de-escalate a situation. However, someone needs to have an honest and supportive conversation with them about what is happening. If you are that person’s manager, then this means you. (If you are not that person’s manager, then you may need to bring it to the attention of someone...
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else in the school or department to deal with. Taking time to sit down with someone to ask them if everything is OK can be the first step for that person to find the support they need.

4.4.13 Manager as mediator. If you are the manager of two people who are in conflict, it may be necessary to mediate between them. This could be facilitated by an external mediator, or it may be possible for you to conduct an informal mediation. See these videos — https://www.youtube.com/watch?v=KTONZiFm1t4 and https://www.youtube.com/watch?v=KY5TWvz5ZDU for background.

If it is not possible to conduct a mediation meeting unless all parties are willing to participate. The process must be voluntary. Often people agree because they are desperate and feel it’s the last resort even though they don’t have much hope of it working. However, the mediation process has a high success rate.

The basic steps for undertaking a mediation discussion are —

(i) Meet with each party separately, state that you are impartial, that you will also be meeting with the other party, and want to understand what the issue is from each viewpoint

(ii) Ensure that you meet at a convenient time for each person in a place in which you will not be interrupted

(iii) Listen to each person in their individual meetings – suspend belief so that you can hear what each person is saying without prejudice – listen to understand from each person’s viewpoint

(iv) Help each person to separate their ‘position’ from their needs (for example “I refuse to work with him” is a position – ask what it would take to enable someone to work with another – what needs to happen? What does the person need to do? Or not do?)

(v) Once you have met with each party, and helped them establish their needs, ask them to prepare a short two-minute verbal presentation focusing on their needs, to prepare them for make a statement to start the meeting

(vi) Before the meeting, ask them to agree to a code of conduct – no sarcasm, no shouting, listen without interrupting, abide by the mediator’s instruction, maintain confidentiality after the meeting is finished whether or not a resolution was found – everyone will have a turn to speak and ask questions

(vii) Agree a day which is convenient for all parties – block out the whole day even if you don’t need it all – find a venue from work and ensure there are separate break-out rooms and refreshments

(viii) Invite each party to make their two-minute statement during which there must be only listening – this is an absolute role – stop the meeting if people interrupt and reconvene when they agree to listen when required

(ix) Once each party has made their statement, and each party understands the others’ needs, discussion can begin

(x) Your role is to moderate and seek clarification – ask questions for clarification – it may be tempting to make suggestions, but an agreement is stronger and more sustainable if it originates with the individuals, so only give your ideas if the parties are struggling to get anywhere

(xi) Once an agreement is made, clarify it by stating what your understanding it and checking it with each party, then write it down for each person for reference

(xii) If it has not been successful, or if the success is not sustained, it might be time to call in external mediators if the parties are willing to try again – or, as a manager in this situation, it may be time to arbitrate instead.
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4.5 HOW TO HOLD MUTUALLY BENEFICIAL APPRAISALS/RPDS TO SUPPORT CHANGE

4.5.1 The most important thing to understand is the benefit of having ‘Reflect, Plan and Develop’ meetings (RPDs) or ‘appraisals’. Without them people might not know how you appreciate and value their work and contribution to school or department, whether they are on the right track to meet their objectives or progress their careers.

4.5.2 The main benefits of conducting RPDs are –

- **Time focused on an individual.** This is an employee’s time, dedicated to the individual so that he or she can raise anything that’s important to them about working life in the school or department.

- **Targeting needs.** Performance appraisals can target a specific areas that need evaluating, developing and possibly redirecting. It can also serve as a valuable tool for establishing goals that will lead help on the path towards promotions and career advancement.

- **Charting progress.** Appraisals can be used to chart progress. Comparing performance appraisals from one benchmark period to another will provide both the school or department, and the employee, with measurable marks of improvement, or perhaps lack of improvement or regression in job areas which provide an opportunity to discuss the individual’s support requirements.

- **Building relationships.** Appraisals give the manager and employee the opportunity not often available in busy schools and departments, to sit down and discuss a whole range of things. Developing this rapport opens a line of communication for the employee to use in making future suggestions for the school or department and the opportunity to discuss and explore areas not previously planned but transpire to be important.

- **Motivating employees.** Appraisals often serve as motivational tools for employees, especially if time is given to the individual’s agenda, personal aspirations and development opportunities. It is important to offer improvement opportunities, such as training, seminars, mentorships or classes to employees wanting to improve and progress.

4.5.3 The RPD is also a perfect opportunity to share the vision for the future in the school or department, and to support staff understand their role in change and development of their work environments.

4.5.4 Most appraisal systems demand commitments to specific performance goals and skill growth over a specific period of time, often a year. Consequently individuals focus on achieving pre-set goals and acquiring skills that may become out of date.

4.5.5 Appraisal systems that result in clear achievable goals and a clear connection between current performance and future rewards influence behaviour. Appraisals can be a major force in making change efforts successful. Rapid successful change requires frequent alteration of what people do, and often in the skills that they have. One way to help ensure that this change occurs is to have a RPDs that are designed to support school or department change. In order to be change friendly, there are key features that RPDs should have. The following three identify the features of an effective appraisal system in a rapidly changing environment.

4.5.6 #1) It is critical that a change oriented appraisals focus on the skills that individuals need in order to be successful in the future. They should not focus on traditional job descriptions and just the skills that are needed for someone to execute their current job. The skill acquisition part of the system needs to be sure that the job holders have the skills they need to perform their current job, and, it also needs
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To be constantly pushing the frontier with respect to skills that are critical to the future. Given that the RPD process is annual, in addition, at least every three months, there should be a review of the skills that individuals should be learning, and an assessment of how their learning has gone over the last three months.

4.5.7 #2) Clear performance goals are a powerful motivator and should be the major focus of appraisals. For goals to be meaningful and motivate the right behaviour, they often need to be both short-term and long-term. Short-term goals can be 30-90-day goals, for example, while long-term may be 2 or more years. Short-term goals are particularly important in a rapidly changing environment because what individuals need to do in order to make a business succeed may in fact change every month or so. Long-term goals are also important because they can ensure that an individual doesn’t become overly focused on short-term results and fail to behave in ways that will build a longer-term successful schools and departments.

4.5.8 #3) It’s important in some instances to reward endeavour and careful risk-taking. All too often individuals fail to take risks and fail to change because they are concerned about punishments. The best way to get people to take risks and make change happen is to celebrate progress, even if intended changes are not wholly successful. Schools and departments need to build into their RPDs the concept of ‘good attempts’ as well as successes.

4.5.9 The type of appraisal that supports change requires a considerable amount of flexibility with respect to when and how it is done, and a considerable amount of information being shared in work areas. Only if this is done can the right goals be set and changed, the right skills incentivised, and ‘good attempts’ identified.

4.5.10 A change friendly RPD requires managers to become skilled in managing performance. Schools and departments must be willing to invest in developing managers and staff who are able to motivate and support change.

4.6 DEVELOPMENT OPPORTUNITIES TO SUPPORT CHANGE

4.6.1 Tools for Learning in Institutions. Every institution, school and department is unique so the learning ‘recipe’ for each will be different. This section describes some practical tools that can be used to encourage and enable learning at work.

4.6.2 Action Learning Sets. Action learning sets (ALS) are the mechanisms for using an action learning approach within or between schools and departments. ‘Sets’ are fixed-membership small groups comprising usually 5-8 people. Members attend voluntarily and decide how many meetings to have, where, for how long when to stop, how to evaluate progress, and so on. Members get together to discuss ‘live’ issue or problems each individual is experiencing at work. The set may be ‘self-managing’ or have a facilitator (often called a set adviser). The sets begin by establishing ground rules, presenting the issues, sharing perceptions about the issues, supporting members, questioning, and reviewing progress. Set members are encouraged to not give advice. At Kent, there are a number of ALS creating within leadership programmes, however, they can be created aside from these.

4.6.3 Mentoring. The idea of finding a mentor can be a manager’s, for example, through discussion during an RPD, or an individual’s, formed from considering options for learning and progression. The acquisition of a mentor can result from an individual’s informal approach to someone with a career path the member of staff is interested in, or an ability to bring about change or develop collaborations and networks the individual is interested in. A formal approach might be to join a mentoring network, such as the Kent network of mentors, which can be found at https://www.kent.ac.uk/learning/school-
A toolkit for managers responding to the staff survey support/apm.html for academics, or for all staff at https://www.kent.ac.uk/hr-learninganddevelopment/mentoring/.

4.6.4 **Networks.** Every organisation has informal networks that are not visible on structure charts and yet are very influential in the way the University works. Understanding these networks and working with them can be a powerful way of giving recognition to individual expertise, solving problems, improving effectiveness and learning. Examples, by no means an exhaustive list in Kent, include –

- the Researchers’ Network at https://www.kent.ac.uk/researchservices/ECRN/index.html
- Women’s Network at https://www.kent.ac.uk/hr-equalityanddiversity/networks/women-network.html
- EDI Network at https://www.kent.ac.uk/hr-equalityanddiversity/networks/women-network.html
- Kent Investors’ Network at https://www.kent.ac.uk/hr-equalityanddiversity/networks/women-network.html
- Change Academy Network at http://blogs.kent.ac.uk/change-academy/tag/collaboration/

4.6.5 **Case Study Development.** The development of case studies can be a powerful way of encouraging a reflective approach to working. The process involves selecting a situation from the school's or department's experience that examines the issues to be explored. A case study describes events in the form of a story. The text reflects on insights into the dilemmas or problems faced by the actors in the story. The case study normally includes key learning points. The learning points can be identified in a number of ways: the story can be told from a personal perspective with the learning points at the end; the learning points can come at the beginning of the story, with events leading up to the points coming next; or the case can be told from the personal point of view of several individuals before the learning points are reached.

4.6.6 **Secondment.** A secondment is a way of sharing technical and managerial expertise between schools and departments. Many secondments are applied for by an individual to gain personal experience for potential progression at a later date. The additional use of agreed learning objectives and a programme of focused activities would enable an individual from one school or department to maximise the learning benefits of spending time in another, and share them on return to the original place of work.

4.6.7 **Project Work.** The opportunity to join a project within a school (such as Athena SWAN) or department (such as Simplifying Kent) provides learning opportunities with the potential to implement lasting change. It enables working across school or department boundaries, finding a variety of approaches and methods, and building networks to support learning in different arenas.

4.7 **IMPLEMENTING CHANGE (LEWIN’S UNFREEZE, CHANGE, REFREEZE MODEL)**

4.7.1 Institutions 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 schools and departments. But how change is managed (and how successful it is) varies enormously depending on the nature of the school or department, the type of change, the people involved, and the support provided. And a key part of this depends on how well people within it understand the change process.

4.7.2 One of the cornerstone models for understanding organizational change was developed by Kurt Lewin in the 1940s, and still holds true today. His model is known as Unfreeze – Change – Refreeze, which refers to the three-stage process of change that he describes. Lewin, a physicist as well as a social scientist, explained organizational change using the analogy of changing the shape of a block of ice.
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4.7.3 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 reform the water into the shape you want (change). Finally, you must solidify the new shape (refreeze).

4.7.4 By looking at change as a 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.

4.7.5 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. (See the Force Field analysis in 4.1 above)

Unfreeze

4.7.6 This first stage of change involves preparing the members of the school or department to accept that change is necessary, which involves break 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 this is by pinpointing the dissatisfaction with the status quo. To do this, apply the 'change equation' – “dissatisfaction X desirability X practicality > resistance = change”.

<table>
<thead>
<tr>
<th>Dissatisfaction X</th>
<th>Desirability X</th>
<th>Practicality &gt;</th>
<th>Resistance</th>
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<tbody>
<tr>
<td>Refer to the things staff complain of and help people identify the things they would prefer to be different to enable them to begin to envision how things could be better.</td>
<td>The proposed solution must be attractive, and people need to understand what it is. If your team doesn't have a clear vision of what things will be like after the change, and why things will be better, then they probably won't be willing to work to deliver it. The clearer and more detailed you make this vision, the more likely it is that your team will want to agree with the change and move forward.</td>
<td>Your team must be convinced that the change is realistic and executable.</td>
<td>Resistance to change includes people's beliefs in the limits of the change (&quot;A new system won't fit with our unusual school or department environment or processes&quot;), stubbornness toward any change (&quot;I don't want to have to learn how to use a new system&quot;), and general inertia or lack of interest at the beginning.</td>
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4.7.7 To prepare the organization 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.
A toolkit for managers responding to the staff survey

4.7.8 By forcing the school or department to re-examine its core, you effectively create a (controlled) crisis, which in turn can build a 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

4.7.9 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 (see 4.3.3 above), focuses on the specific issue of personal transitions in a changing environment and is useful for understanding this aspect in more detail.

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

4.7.11 Time and communication are the two keys to the changes occurring successfully. People need time to understand the changes, and they also need to feel highly connected to the organization 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

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

4.7.13 The rationale for creating a new sense of stability in our ever-changing world is often questioned. Even though change is a constant in many institutions, 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.

4.7.14 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.
5 Human Resources Support
Business Partners (HRBP) and Learning & Organisational Development (L&OD)

5.1 The staff survey results will be aggregated for the University by HR, who will retain data according to all equality monitoring questions (not just gender) in order to amass the information for the University Athena SWAN submission, and will then be sent to schools and departments for dissemination to all staff within those schools or departments so that schools and departments can compare their local results with the results for their tranche and the aggregated University data. The data will be provided in a standard data pack for easy comparison. Sharing results between schools and departments will be encouraged. Deans and EG will also have access to the data.

5.2 Where there are particular issues revealed by the survey, HRBPs and L&OD Consultants will meet with the Heads of Schools and Departments to support use of this Toolkit and to provide additional advice and potentially devise and deliver or commission additional interventions to support action required depending on what the survey results reveal.