<table>
<thead>
<tr>
<th>Name of Framework</th>
<th>Framework for Leading and Managing Change at ACU</th>
</tr>
</thead>
<tbody>
<tr>
<td>Description of Framework</td>
<td>This framework assists managers to successfully lead and manage all types of workplace change at ACU.</td>
</tr>
<tr>
<td>New framework</td>
<td>Revision</td>
</tr>
<tr>
<td>Description of Revision</td>
<td></td>
</tr>
</tbody>
</table>

| Original Effective Date | 27 April 2015 |
| Review Due Date | 30 June 2017 |
| Revision Effective Date | |
| Approval Date | 27 April 2015 |
Table of Contents

1  Introduction.................................................................................................................................2
   1.1 Principles for Effective Change...............................................................................................2
   1.2 Overview of the Change Process..............................................................................................2
   1.3 Application of the Change Process..........................................................................................3
   1.4 Consultation during change.........................................................................................................4
   1.5 Roles and Responsibilities in Leading and Managing Change.............................................5
2  The Change Process.........................................................................................................................6
   2.1 Prepare........................................................................................................................................6
   2.2 Plan...........................................................................................................................................7
   2.3 Implement.................................................................................................................................8
   2.4 Evaluate.....................................................................................................................................9
3  Templates and Resources Toolkit .................................................................................................9
4  Further Assistance.............................................................................................................................9
5  Appendix – Section 8.4, ACU Staff Enterprise Agreement 2013-2017.......................................10
1 Introduction

The ability to be flexible and adapt is a critical factor in ensuring ACU remains relevant and competitive in changing contexts.

Change is constant and is part of the process of continuous improvement and/or adjustment to external factors. Change occurs within organisations every day, from the way in which tasks are undertaken, the development of strategies and new products, to the systems and processes that affect work, to changes in the regulatory environment.

This framework assists managers in leading and managing change in the workplace, whether the change is major or minor the change. In particular, this framework provides:

- Steps and tools to successfully navigate the change process at the University;
- Clarity on the requirements to manage major change as well as relatively minor change in the process of continuous improvement;
- Clarity around the roles and responsibilities of members of the Executive, nominated supervisors, and others who support change processes;
- Resources and templates to support members of the Executive and nominated supervisors to prepare and successfully implement change as well as approaches to effective communication and involvement of staff in change.

1.1 Principles for Effective Change

When it comes to implementing change successfully the same principles apply regardless of whether change is major or minor. Change requires people to transition to new ways of working and managers play a key role in supporting staff through the process.

Successful change requires:

- Clarity about why change is needed, what is to be achieved by changing and who is impacted;
- An understanding of the risks, costs and opportunities to determine the scope and timing of change;
- Consideration of how stakeholders and decision makers can be effectively involved in the process to initiate, develop and/or test ideas and options;
- Communication and consultation strategies that are tailored to the nature and scale of the change and the needs of stakeholders (not a one size fits all);
- Attending to the structural, operational and cultural dimensions of change to ensure that outcomes are sustained over time;
- A planned approach to implementation, ensuring there are clear procedures for decision making, timelines and accountability;
- Responsiveness during implementation, encouraging feedback and dealing promptly with questions and issues as they emerge; and,
- Evaluation to assess outcomes, the degree to which changes are embedded into day-to-day activity and other actions to ensure change is sustained.

1.2 Overview of the Change Process

The Change Process is comprised of four key steps designed to encourage good preparation and planning prior to effecting a change process.
The following presents an overview of the process. Each step is further detailed in section 2 of the framework.

- Identify why change is required and outcomes to be achieved
- Assess impacts, risks, opportunities and benefits;
- Assess readiness for change
- Estimate costs
- Document the Case for Change
- Consider how change will be implemented
- Consider how staff & stakeholders will be involved
- Test ideas & options
- Document the Change Plan
- Consult with staff & stakeholders
- Consider feedback & adjust plan, where relevant
- Finalise the plan, costs & impacts
- Implement new structures, procedures, workflows & training
- Manage the cultural dimensions of change
- Support staff to adapt
- Monitor progress & resolve issues
- Manage costs
- Integrate into business as usual
- Evaluate and refine

1.3 Application of the Change Process

The above change process can be applied to successfully manage all types of workplace change in a proactive, transparent and constructive manner. Each step can be tailored to the nature and scale of the change.

Major change, including changes likely to have a significant effect as defined in sub-clause 1.3 (xxviii) of the ACU Staff Enterprise Agreement 2013-2017 (Agreement), because of the impact requires more specific and detailed planning, consultation and documentation; while changes that are relatively minor may not require as much formality or documentation, resulting in the change process progressing more quickly.

1.3.1 Documenting change

When do I need to write a formal Change Plan?

A Change Plan is required when proposed changes in production, program, organisation, structure or technology are likely to have a significant effect on staff.

<table>
<thead>
<tr>
<th>Change Plan is required</th>
<th>Change Plan is not required</th>
</tr>
</thead>
<tbody>
<tr>
<td>When there is likely to be a significant effect on staff for reasons such as: • major changes in the composition, operation or size of the workforce or the skills required; • the elimination or diminution of job opportunities or job tenure; • the alternation of hours of work; • the need for retraining or transfer of staff to other work or location; and; • the restructuring of jobs.</td>
<td>Evolutionary changes as a result of ongoing and continuous improvements in the quality of programs and services, and to support the University’s strategic objectives. For example: • a change of supervisor; • reclassification of positions; • changes to a vacant or individual position; • changes to work methods or technology that does not fundamentally change the position; and, • relocation of work groups / activities to another</td>
</tr>
</tbody>
</table>
organisational unit that does not result in a fundamental change to positions or organisational structure.

These changes can be addressed at the workplace level through direct local discussion and consultation with individual staff and/or work groups.

What documentation is required for changes not likely to have significant effect on staff?

The documentation required varies depending on what changes are being made. However all workplace changes should be appropriately documented in order to:

- provide clarity of purpose;
- support a transparent, equitable and planned approach;
- ensure relevant approvals are obtained;
- support communication and consultation processes; and,
- provide a written record / history of changes to an organisational unit.

1.4 Consultation during change

Engagement and involvement of staff and stakeholders should occur early and throughout the change process. Staff involvement enhances the quality of outcomes and increases positive participation in change.

Effective consultation involves the consideration of how staff and stakeholders can be meaningfully involved in the process and outcomes of change. This can be achieved by:

- Being clear on what you are consulting staff on and why. This ensures that staff are clear on the range of matters they can influence;
- Tailoring approaches to consultation. Consultation can take many forms based on the nature, impact of the change, and different groups may be involved at different points in the consultation process;
- Ensuring staff and stakeholders are consulted on changes which affect them, regardless of whether the change is major or minor; and
- Providing staff with an opportunity to respond to the proposed changes and inviting feedback on how the change could be more effectively achieved and/or how adverse effects could be mitigated.
### 1.5 Roles and Responsibilities in Leading and Managing Change

<table>
<thead>
<tr>
<th>Position</th>
<th>Role and Responsibilities in Leading and Managing Change</th>
</tr>
</thead>
<tbody>
<tr>
<td>Vice-Chancellor</td>
<td>Approve all Change Plans.</td>
</tr>
</tbody>
</table>
| Senior Executive Group members    | Sponsor and lead changes within portfolio including:  
  - Work in partnership with HR throughout the change process;  
  - Endorsement of the Case for Change;  
  - Provision of resources and staff to support the change process;  
  - Approval of Draft Change Plans, Project Plans etc;  
  - Endorsement of communication and consultation strategies;  
  - Lead communication and engagement of staff and stakeholders in the change;  
  - Monitor progress, costs, risks and impacts;  
  - Endorsement of Final Change Plan following feedback; and,  
  - Evaluation and support for post implementation strategies.  
  In addition to the above, where changes are significant and/or impact multiple portfolios in the University:  
  - Sponsor and lead University-wide changes;  
  - As necessary establish mechanisms to consult as a group in relation to the change; and,  
  - Endorse Draft and Final Change Plans, Project Plans etc as a group. |
| Executive Deans / Directors       | For changes within Faculty or Directorate:  
  - Work in partnership with the HR Relationship Manager to develop the Case for Change,  
    Change Plan, communication, consultation and implementation strategies;  
  - Lead or oversee consultation, feedback and, the testing of ideas and options where relevant to the change;  
  - Monitor progress of change and associated costs, risks, impacts on staff and operations; and,  
  - Lead the evaluation of change.  
  In addition to the above, where changes are significant and/or impact multiple portfolios in the University:  
  - Oversee and support University-wide change processes within Faculty / Directorate ensuring staff are informed about the planned changes;  
  - Develop clear statements about how change work will be performed and affect in other areas of the University; and,  
  - Monitor and report key issues, impacts and risks to the Senior Executive Group. |
| Nominated Supervisors             | Lead or support the implementation of change at the local level, monitor and report feedback, risks and impacts on staff, stakeholders and operations;  
  - Lead and/or support communication and consultation processes ensuring staff are accurately informed about the planned changes;  
  - Test ideas and options where relevant to the change;  
  - Support staff who are affected by change; and,  
  - Support and encourage staff involvement in the change process as relevant. |
| ACU Staff Consultative Committee  | The ACUSCC (comprised of staff, management and union representatives) is notified of significant changes and are invited to put forward comments, other strategies, suggestions and proposals for improving the Change Plan or for averting or mitigating any potential adverse effects of the change for the consideration of the University. |
| Human Resources                   | HR supports both major and minor change in the University through:  
  - Advice on how the change process can be applied to achieve sustainable outcomes;  
  - Advice on consultation, placement, recruitment, redeployment and redundancy processes required;  
  - Advice and management of industrial matters arising from a change process;  
  - Support in preparing change documents such as the Case for Change, Change Plans, communication and consultation strategies;  
  - Coordination of employment documents and records such as position descriptions, placement and appointment letters, updating of HR records; and,  
  - Advice on any training, support or cultural change programs to support the change process and this may involve third party providers. |
| Other ACU Service Providers       | Provision of specialist advice and support related to the change and its implementation, such as infrastructure, website, marketing collateral etc. |
2 The Change Process

2.1 Prepare

Effective preparation ensures the need for and impact of the proposed change is clearly identified and defined, building a clear and reasoned case for change. Clarity of purpose and outcome ensures that the change process is appropriate and the ‘right’ issues are addressed to achieve the outcomes. By assessing the impact of the proposed change and the organisation’s readiness for change, relevant strategies can be identified to support the change process.

What does this step involve?

✓ Describing why change is required and the context for change;
✓ Describing the outcomes to be achieved in terms of issues or challenges to be addressed, improvements to be achieved, opportunities to be realised and/or benefits and value to be gained.
✓ Identifying the risks of the change and any mitigation actions including the placement process(es) that will be used;
✓ Identifying the scale of change in terms of its impact on people, process, structure and technology;
✓ Identifying the impact of proposed changes on other work units in the University where relevant (staff, stakeholders and other work units);
✓ Working with the HR Relationship Manager to discuss the proposed change, assess the impact of the change and determine if the change will have a significant effect;
✓ Assessing readiness for change to identify the factors that may impact the effectiveness of change, such as the work group culture and value system, current environment and other change processes occurring, leadership styles, engagement of managers in the change, success of past change programs; and,
✓ Identifying how the change process will be resourced, the estimated costs and/or savings of the change and timeframes.

What documentation and approvals are required?

A documented Case for Change is required for major changes (as described in section 1.3.1 of this framework). The Case for Change is developed in collaboration with the HR Relationship Manager and submitted to the relevant member(s) of the Senior Executive Group to seek endorsement to proceed.

Changes which are not defined as major can be documented via a memorandum, letter or email. Some changes will require the endorsement of the relevant member(s) of the Senior Executive Group or member of the Executive in accordance with the University’s Delegations of Authority and Policy Register.
Good planning creates transparency, provides opportunities for feedback and builds trust with staff and stakeholders, while effective consultation processes gains important information and ideas which can support the achievement of the change plan and managing the period of implementation and transition.

**What does this step involve?**

- Planning how the proposed changes will be implemented in terms of timing and sequence, based on the drivers for the change, the scale or impact of the change and the outcomes to be achieved;
- Testing ideas and new models of operation with others to develop or refine proposed changes where relevant;
- Developing communication and consultation strategies that are tailored to the type and scale of the changes proposed and involve staff in a meaningful and productive way;
- Documenting the proposed changes in preparation for staff and stakeholder consultation;
- Consulting with affected staff and stakeholders;
- Considering feedback and making adjustments to the changes (in content or implementation) as relevant. Firming up timelines, resources and anticipated costs;
- Submitting final changes for approval where relevant; and,
- Communicating the approved changes and implementation process.

**What documentation and approvals are required?**

A formal Change Plan is required for major changes (as described in section 1.3.1 of this framework). The Change Plan is developed in collaboration with the HR Relationship Manager.

The Change Plan issued for consultation is identified as a Draft Change Plan and approved by the relevant member(s) of Senior Executive Group member. Changes which impact multiple portfolios in the University or are significant are endorsed by the Senior Executive Group.

After consulting with staff and stakeholders including ACUSCC, the Change Plan is updated to reflect any adjustments to proposed changes following feedback and becomes the Final Change Plan. The Final Change Plan is approved by the Vice-Chancellor.

Changes which are not defined as major can be documented via a memorandum, letter or email to staff and stakeholders.
2.3 Implement

Successful implementation of change requires a planned approach, regular communication and responsiveness to issues as they emerge. A well-managed and supportive approach to implementation will ensure that productivity is maintained during the period of change and that staff make the transition to new ways of working as quickly as possible.

**What does this step involve?**

- Implementing new structures and roles, work processes, training etc as per the approved Final Change Plan;
- Monitoring, evaluating and communicating progress to staff and stakeholders;
- Responding to issues as they emerge and adjusting implementation plans or timelines as needed to ensure effectiveness;
- Being accessible and supporting staff during the change-over period by clarifying work expectations and priorities;
- Recognising that change is personal. Enabling and supporting staff to adjust to changes;
- Celebrating milestones during implementation; and,
- Ensuring changes are recorded or updated in documents such as performance plans, position descriptions, organisational charts, work schedules/rosters etc.

**What documentation and approvals are required?**

There is no particular documentation or approval required for this step in the change process. Communication of progress to staff, stakeholders and to the relevant member(s) of the Senior Executive Group will depend on the nature of the change. Major changes are often accompanied by a project plan with reporting of progress against project deliverables and timelines whilst implementation of other changes can be reported through meetings or email as appropriate.
2.4 Evaluate

Evaluation facilitates the formal end of the change process and ensures the changes that have been implemented and embedded into business as usual. By evaluating the change, refinements or adjustments can be made as part of the ongoing cycle of continuous improvement.

What does this step involve?

✓ Consulting with staff and stakeholders to evaluate outcomes. Communicating what has been achieved, whether adjustments are needed and how these will be managed;
✓ Monitoring to ensure the change is enduring and where it is not, identifying root causes and taking corrective actions;
✓ Modelling the new way of working and continuing to coach and support staff to adapt to the change; and,
✓ Marking the end of the change process by identifying and communicating when the change process or program is completed.

What documentation and approvals are required?

An evaluation report is documented and provided to the relevant member(s) of the Senior Executive Group. The evaluation should outline the extent to which the purpose and outcomes have been achieved, outstanding actions and/or other improvements needed to sustain the change; and key learnings on how the change was managed, communicated and implemented.

Key outcomes of the evaluation are communicated to staff and stakeholders as appropriate.

Changes that are relatively minor do not require a documented evaluation but should be monitored to ensure to that changes are effective and sustained.

3 Templates and Resources Toolkit

A toolkit of templates and resources to support the change process has been developed. Additional resources will progressively added to the kit.

4 Further Assistance

Staff considering initiating a change process should contact their HR Relationship Manager to discuss the application of this Framework to the proposed change.
5 Appendix – Section 8.4, ACU Staff Enterprise Agreement 2013-2017

8.4 CHANGE MANAGEMENT PROCESSES AT ACU

8.4.1 Principles and Practices of Change Management

8.4.1.1 The University and its staff will pursue ongoing improvements in the quality of University programs and support services, and in support of the University’s strategic objectives. The University and staff recognise that change will occur as the University evolves over time and as circumstances require. Many changes that take place in the workplace can be relatively minor and, as a consequence, will be addressed at the workplace level through direct local discussion and consultation with individual staff and/or the work group.

8.4.1.2 It is acknowledged that the sound management of workplace change is enhanced by the involvement of the people who will be affected by that change. The University seeks to manage change in a proactive, transparent and constructive manner, which minimises any adverse effects on the University workplace community while ensuring that the University is able to adapt appropriately to changing circumstances.

8.4.1.3 A staff member may choose to seek advice or assistance from a person of their choice, including a staff representative or their Union, throughout the course of discussions on such changes, provided that person is not currently a practising solicitor or barrister.

8.4.2 Consultation

8.4.2.1 Where the University has made a decision (including a decision in principle) to introduce major changes in production, program, organisation, structure or technology that are likely to have significant effects (as defined in sub clause 1.3) on staff, the University will notify and consult with the staff members who may be affected by the proposed changes, their staff representatives and the Unions.

8.4.2.2 The University will provide relevant information to the affected staff as part of the consultation process. A draft Change Management Plan will be distributed to relevant staff. The draft Plan will include information about:

(i) The proposed change to occur,
(ii) The rationale for the change in terms of the expected outcomes;
(iii) The anticipated effects on staff, including potential benefits or possible adverse effects, if any;
(iv) A statement about how changed work will be performed in the future including the anticipated effects on staff in other work units;
(v) Suggestions for avoiding or mitigating any potentially adverse effects on staff;
(vi) The anticipated timeframe for consultation and implementation,
(vii) Any other relevant information, and
(viii) Whether a post implementation review is appropriate.

8.4.2.3 The University will seek feedback from affected staff and will consider any input from the University workplace community, staff representatives and the Unions when considering change plans; including whether to proceed with the proposed change, (either in its original or a revised form). The University will provide a response to the feedback received.

8.4.2.4 Where the proposed change is significant in nature, the University will place the matter on the agenda of the ACUSCC. The ACUSCC may put forward comments, other strategies, suggestions and proposals for improving the change plan or for averting or mitigating any potential adverse effects for the consideration of the University.

8.4.2.5 Following the consideration of the ACUSCC, the final version of the Change Management Plan will be submitted to the Vice-Chancellor for approval. A copy of the approved Change Management Plan will be provided to staff, staff representatives and the Union/s. The University will consult with the affected staff and their representatives and communicate strategies and timelines for the implementation of change; and if appropriate, a subsequent review of the process and/or change.

1 (cxxxviii) “Significant effects” include termination of employment; major changes in the composition, operation or size of the University’s workforce or in the skills required; the elimination or diminution of job opportunities, promotion opportunities or job tenure; the alteration of hours of work; the need for retraining or transfer of its staff to other work or locations; and the restructuring of jobs. Provided that where this Agreement makes provision for alteration of any of these matters an alteration is deemed not to have significant effect.