

Name of Framework	Framework for Leading and Managing Change at ACU
Description of Framework	This framework assists managers to successfully lead and manage all types of workplace change at ACU.
Framework applies to	<input checked="" type="checkbox"/> University-wide <input type="checkbox"/> Specific (<i>outline location, campus, organisational unit etc.</i>)
	<input checked="" type="checkbox"/> Staff Only <input type="checkbox"/> Students Only <input type="checkbox"/> Staff and Students
Framework Status	<input type="checkbox"/> New Policy <input checked="" type="checkbox"/> Revision of Existing Policy

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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. 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 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 implementing change successfully the same principles apply to major or minor change. 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 (including risks to health and wellbeing), 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, including at an early stage;
- 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.

The approach to change at ACU is informed by our Mission, having regard to our commitment to human dignity, the pursuit of knowledge and the common good.

1.2. OVERVIEW OF THE CHANGE PROCESS

The Change Process comprises 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.

- **Prepare**
The first step involves identifying the reason for change, the desired outcomes, assessing potential risks and benefits, estimating costs, and seeking endorsement.
- **Plan**
The second step requires careful planning, considering how the change will be implemented, involving staff and stakeholders, testing ideas, and finalising the change plan.
- **Implement**
The third step involves the actual implementation of new procedures and workflows, managing cultural dimensions, supporting staff, monitoring progress, managing costs, and implementing the change.
- **Evaluate**
The fourth step involves integrating the changes into the business as usual, evaluating and refining them, and reporting progress.
Throughout all steps, it is essential to consider feedback, adjust plans as necessary, and seek approval.

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 2022 - 2025 (Agreement)*, because of the impact requires more specific and detailed planning, consultation and documentation; while changes that are minor may not require as much formality or documentation, resulting in the change process progressing more quickly.

1.4. 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.

Change Plan is Required

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.

Change Plan is Not Required

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 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 a significant effect on staff?

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

1.5. 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.

Informal consultation is required before a draft change plan is developed.

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 (and, if relevant, what step you are taking under the enterprise agreement). 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 that 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.

1.6. ROLES AND RESPONSIBILITIES IN LEADING AND MANAGING CHANGE

Vice-Chancellor

Approve all Change Plans.

Senior Executive Group members

Sponsor and lead changes within portfolio including:

- Work in partnership with P&C throughout the change process;
- Lead informal consultation;
- 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:

- Lead or oversee consultation (including informal consultation), feedback and, the testing of ideas and options where relevant to the change;
- Work in partnership with the P&C Business Partner to develop the Case for Change, Change Plan, communication, consultation and implementation strategies;
- 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 and/or support communication and consultation processes ensuring staff are consulted informally and accurately informed about the planned changes;
- Test ideas and options where relevant to the change;
- Lead or support the implementation of change at the local level, monitor and report feedback, risks and impacts on staff, stakeholders and operations;
- Support staff who are affected by change; and,
- Support and encourage staff involvement in the change process as relevant.

ACU Staff Consultative Committee (ACUSCC)

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.

People and Capability

P&C 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 informal and formal 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 P&C 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
- Identifying informal consultation steps, completed and/or ongoing (in compliance with clause 8.4.2 of the enterprise agreement)
- 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 P&C Business Partner 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 P&C Business Partner and submitted to the relevant member(s) of the Senior Executive Group to seek endorsement to proceed.

Changes that 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.

A Case for Change is provided to staff and union representatives and the ACU Staff Consultative Committee and feedback is invited, in meeting the requirement for informal consultation under clause 8.4.2 of the enterprise agreement.

2.2. PLAN

Good planning creates transparency, provides opportunities for feedback and builds trust with staff and stakeholders, while effective consultation processes gain valuable information and ideas which can support the achievement of the change plan and manage 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 informally with affected staff and stakeholders
- Considering feedback and adjusting 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 P&C Business Partner.

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

The Draft Change Plan includes details about available options to mitigate the impact of any reduction in the size of the university's workforce (which, wherever reasonably practicable, will occur through natural attrition and voluntary measures such as voluntary redundancy, redeployment, relocation, training or retraining before consideration is given to involuntary retrenchment).

The Draft Change Plan also includes information about the proposed change (see the requirements in clause 8.4.3 of the enterprise agreement).

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 that 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 documentation or approval required for this step in the change process. Communication of progress to staff, stakeholders and 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.

Within 6 to 12 months after the Final Change Plan implementation, the relevant Member of the Executive or change lead is required to conduct a post-implementation review appropriate to the change, including of the effectiveness of informal consultation and whether the expected outcomes for the change were achieved. Staff directly affected by the change must be given a chance to participate in the post-implementation review. The review findings and staff feedback will be discussed at an ACUSCC meeting.

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.
- Evaluating the effectiveness of the change formally.

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. Feedback from staff directly affected by the change is given an opportunity to provide feedback.

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

Changes that are minor (not requiring a Change Plan) do not require a documented evaluation but should be monitored to ensure 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 be progressively added to the kit.

4. Further Assistance

Any staff member who requires assistance in understanding this framework should first consult their nominated supervisor who is responsible for the implementation and operation of these arrangements in their work area. Should further information or advice be required staff should visit [Service Central](#).