



**Call identifier:** H2020-GERI-2015-1  
**Type of Action:** Coordination and Support Action (CSA)  
**Project n°:** 710534  
**Project Acronym:** SAGE  
**Project title:** Systemic Action for Gender Equality  
**Project Co-ordinator contact:** edrew@tcd.ie  
**Start Date of Project:** 01/09/2016  
**Duration of Project:** 36 Months

---

## D4.1 – Change Management Model

---

**Work Package:** 4 – Implementation  
**Due date of Deliverable:** 30/09/2017 (Month 13)  
**Actual Submission date:** 28/11/2017 (Month 15)  
**Dissemination level:** P (Public)  
**Type:** R (Report)



Acknowledgment: This project has received funding from the European Union's Horizon 2020 research and innovation programme under grant agreement No 710534

**The SAGE Consortium comprises:**

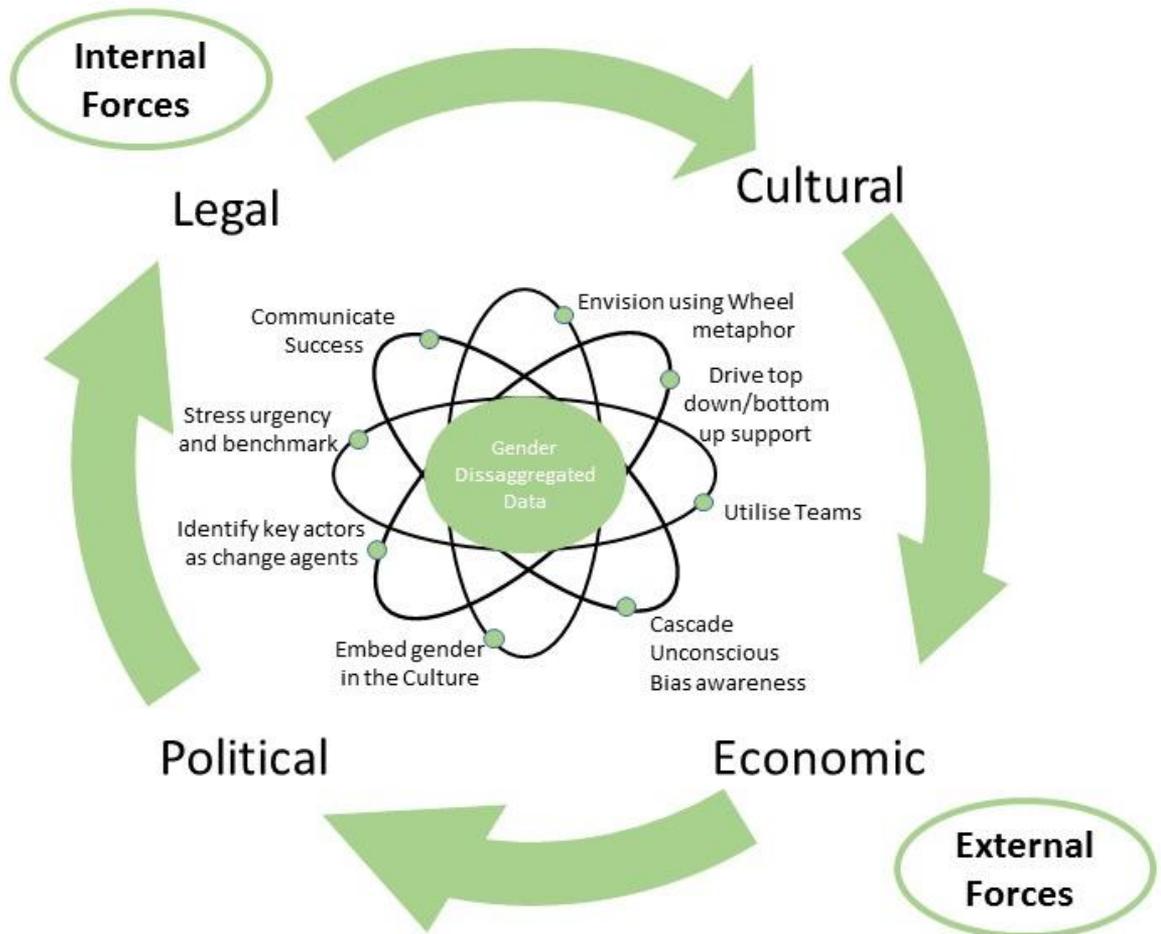
(Coordinator)	Centre for Women in Science & Engineering Research (WiSER), Trinity College Dublin	Ireland
	Università degli Studi di Brescia	Italy
	Kadir Has University	Turkey
	Instituto Universitário De Lisboa	Portugal
	Sciences Po Bordeaux	France
	International University of Sarajevo	Bosnia and Herzegovina
(Evaluator)	Queen's University Belfast	UK

## Table of Contents

SAGE Project Change Management Model	4
Introduction	6
1. Change is the Only Constant	6
2. Forces supporting change	7
3. Change is a never-ending process	9
4. Resistance to change	11
5. Managing change: the building blocks	15
6. Coping with change	17
7. Being a change agent	20
8. Relevance of the 9'S's to HEIs	21
9. Case Study of UCL's application of Kotter's 8 Step Change Model	23
10. Lessons from INTEGER	25
Further reading	28

Change is the only Constant:

## SAGE Project Change Management Model



*Culture does not change because we desire to change it. **Culture** changes when the organization is transformed – the culture **reflects the realities of people** working together every day*

Frances Hesselbein

*Education is the most powerful weapon which you can use to change the world.*

Nelson Mandela

*Change is the law of life and those who look only to the past or present are certain to miss the future*

John F. Kennedy

## Introduction

In the context of the implementation of Gender Equality Plans (GEPs), which is a central purpose of the Systemic Action for Gender Equality (SAGE) project, a change management model has been designed to aid adoption and integration of the GEPs within partner institutions, and all those seeking to achieve structural transformation for gender equality.

The experiences, learning and outputs of the FP7 INTEGER project, in which TCD was a partner, have been harnessed and built upon still further to inform this next phase of transformation, represented by SAGE.

Adoption and implementation of the GEPs requires that they be embedded into the institutions' structures, systems and cultures, followed by monitoring of activities (including resistance) and reacting with ongoing adjustments. The forms of adoption of the GEPs are thus informed by change management frameworks, and are aligned with quality/excellence models and a recognized gender equality award.

The drivers of the change process within partner institution will be SAGE Teams, appointed to implement the GEPs and monitor equality between men and women, with representation from Faculty HR, academic and non-academic staff and students. These teams will be enabled, through this Change Management Model and other SAGE tools, to advocate gender equality initiatives, overcome resistance encountered, and pave the way for lasting transformation.

<b>1. "Change is the Only Constant" (Heraclitus 535-475 BC)</b>
---

In historical terms change has always been with us. The issue for modern universities is that the rate of change has accelerated so rapidly that those managing it need support in coping with such change. Hence the web sites, publications, workshops and training programmes which address the issue. Stability has been overtaken by turbulence, and this trend is evident in HEIs throughout Europe. Consequently, there is a particularly acute urgency to understand how the forces which make change inevitable, can be harnessed to achieve the desired outcomes - dynamic equilibrium rather than organisational chaos. The achievement of gender equality can be regarded as both a challenge and a mechanism for changes in research performing organisations. In the context of advancing gender equality in the research landscape, Šidlauskienė and Butašova (2013: 60) state that: *"Structural change in universities and research institutions refers to increasing gender-awareness in human resource management in universities and research institutions, thereby modernising their organizational culture. This has important implications for equal opportunities, full realization of talent, appeal of scientific careers, and quality of scientific research. It implies systemic, integrated, long-term approaches rather than piecemeal short term measures. A structural change may be as simple as restructuring the institution to meet the needs of academic and research staff more effectively"*.

Globally, Higher Education Institutions (HEIs) are competing for the best students, undergraduate and postgraduate, researchers and academic / professional staff at a time when funding and other resources are diminishing. This requires that they ensure that they can attract the diverse talent available through proactively promoting gender equality and diversity.

In Moss Kanter's (1983) view "change" is close to the idea of innovation: *"Change involves the crystallisation of new action possibilities (new policies, new behaviours, new patterns, new methodologies, new products, or new market ideas) based on reconceptualized patterns in the organisation"*

## 2. Forces supporting Change

Pressures for change can originate from inside or outside the university.

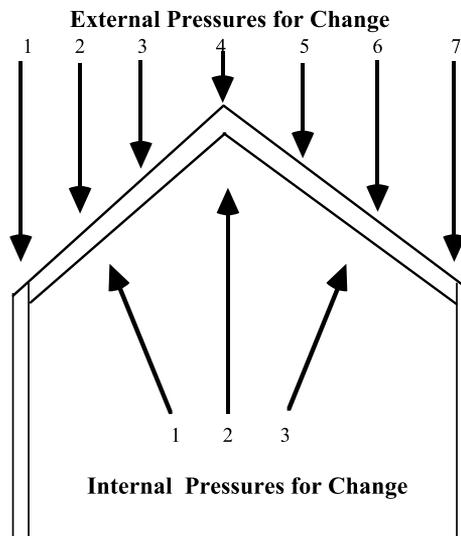


Figure 2.1 Pressures for Organisational Change

### EXTERNAL FORCES

- **Markets**
- **Competitors**
- **Suppliers**
- **Owners/Shareholders**
- **Government**
- **Public Opinion**
- **Labour Market**
- **Technology**
- **Economic Conditions**

While Moss Kanter acknowledges the environment as important, it does not, in her view, "cause" change either automatically or directly:

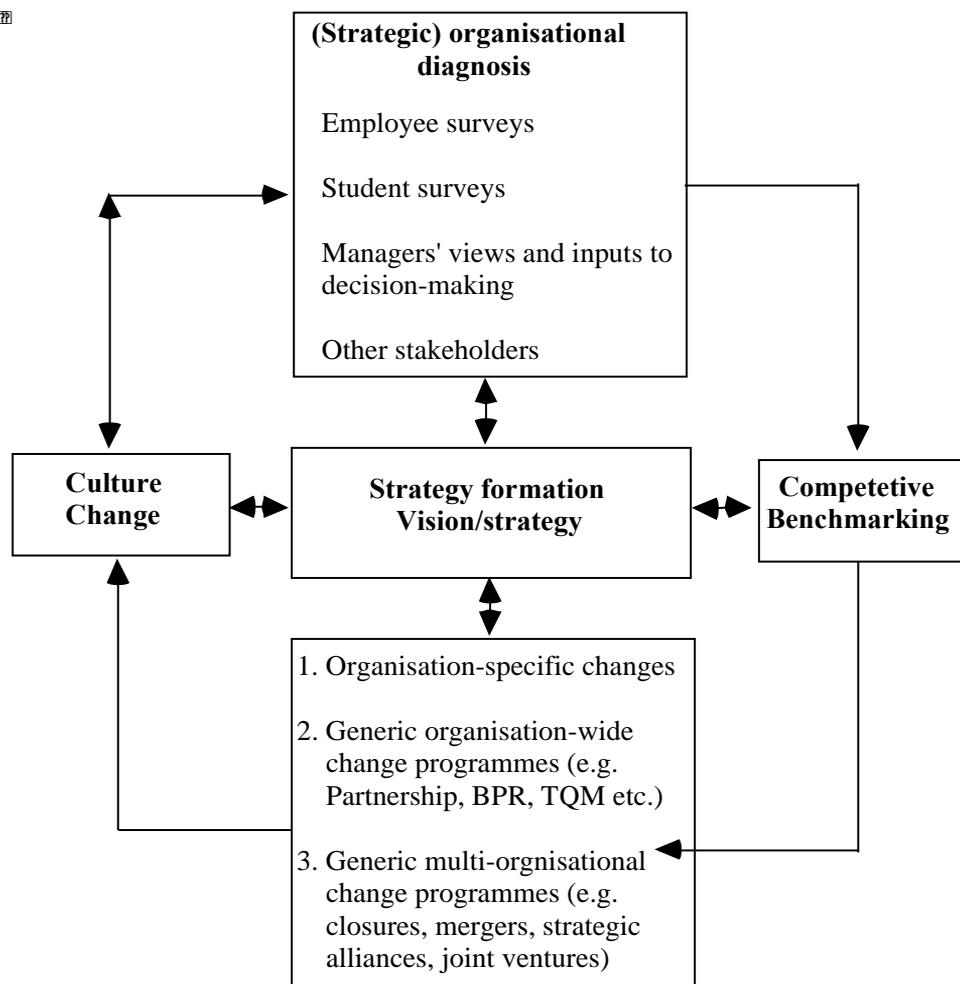
*"Organisational change is stimulated not by pressures from the environment, resulting in a build-up of problems triggering an automatic response, but by the perceptions of that environment and those pressures held by **key actors**".*

A university may selectively pick up on external cues as a means of defining what important actions, (e.g. to increase their rankings), must be made. However strategic choices are not automatically driven by the environment. Many organisational choices are based on university leaders' own areas of competence and career payoff rather than the best response to what is occurring in the environment.

**INTERNAL FORCES**

- **Management**
- **Employees**
- **Technology**
- **Performance**
- **Structure**

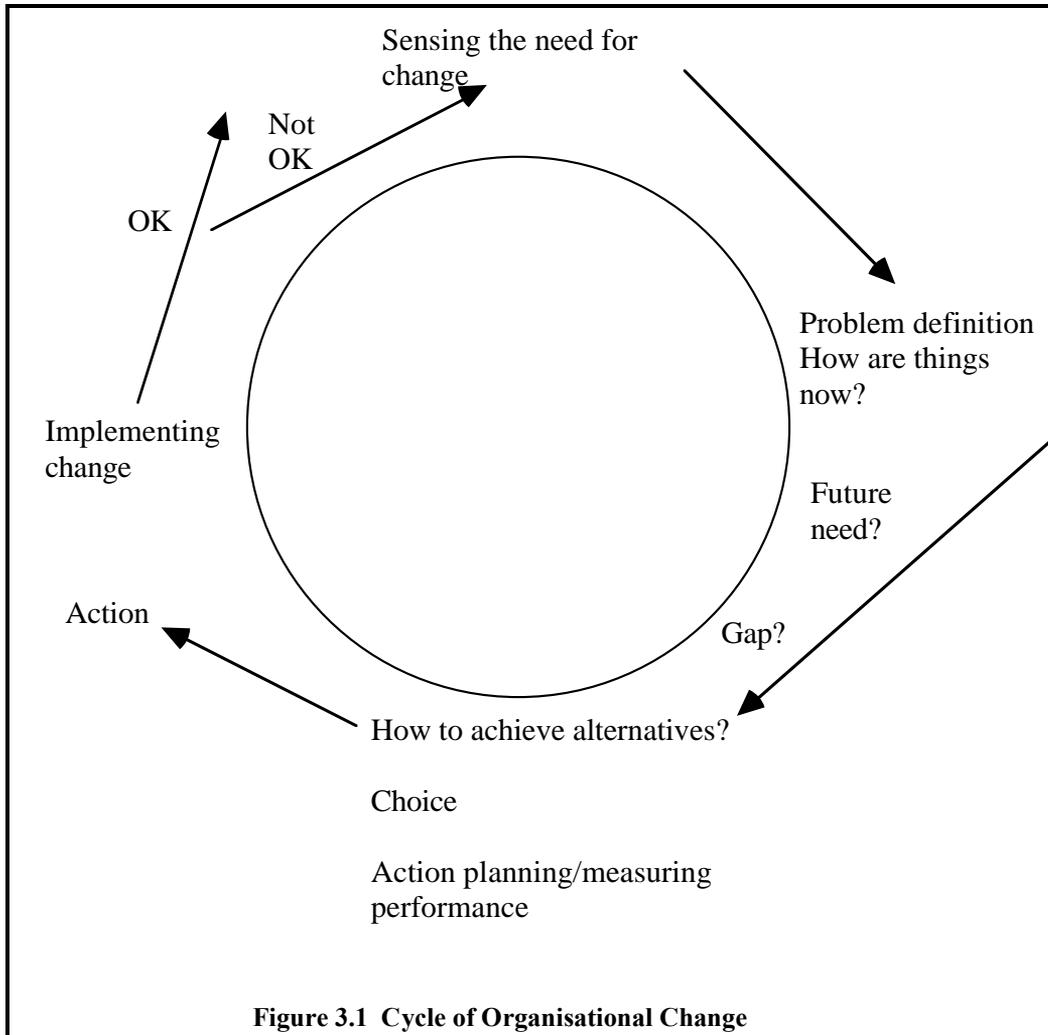
Given the broad range of potential and actual pressures for change in universities a model for strategic change must acknowledge the importance of culture and the need for a vision of the future that places emphasis on gender equality, diversity and inclusion.



### 3. Change is a Never-ending Process

The process of change can be seen as a cycle (figure 3.1) in which certain distinct stages are experienced and require responses:

- 1. *Sensing the need for Change -***  
Change can come from outside and inside the university. Externally, the EU and national governments can trigger change. Internally, managers can be the initiators of change, in style, goals, approaches to planning/control, encouraging participation, adopting innovations e.g. technology, concepts like quality, equality. Or change can be initiated and accelerated by 'in house' gender equality champions, drivers, activists such as WiSER (in TCD), Equality, Diversity and Inclusions offices.
- 2. *Needing to define the problem/opportunity -***  
How are things now? Are there better ways - options to be more efficient, effective and a more satisfactory place to work? e.g. How far have women advanced in the occupational hierarchy; does this reflect their full potential?
- 3. *Evaluating the consequences of the alternatives -***  
There may be a range of possible courses of action to be reviewed and a choice of the most appropriate action made, e.g. targets set that can be monitored (raising the percentage of women in higher grades; introducing a 'core hours' policy to improve levels of work/life balance). Action planning needs to take account of what is feasible to implement in the context of organisational culture.
- 4. *Implementing Change/Action -***  
This is the 'doing' stage of actual change implementation. It involves action and the monitoring of whether things are going according to plan.



Change is not an occurrence. Seen as a process, there is a need for enough:

1. **Stability** to achieve current goals;
2. **Continuity** to ensure orderly change;
3. **Adaptability** to react to external threat/opportunity and internal change;
4. **Innovativeness** to allow the organisation to be proactive, that is to initiate, not just react to, change when required.

## 4. Resistance to Change

It should be expected that any efforts to generate significant change are likely to be met with resistance from some quarters. Carnall (2014) identifies a number of forces that act as blocks to problem solving, hence contributing to resistance to change:

### *Perceptual Blocks*

- (a) Stereotyping
- (b) Difficulty in isolating the problems
- (c) Tendency to limit the problem area too closely
- (d) Inability to see the problem from various viewpoints
- (e) Saturation
- (f) Failure to use all sensory inputs

#### 1. Perceptual Blocks

##### *(a) Stereotyping*

We are all susceptible to stereotyping and unconscious bias - we see what we expect to see and pigeon-hole people accordingly. This can hinder attempts to change (e.g. in hiring practices) where male dominated disciplines see no reason to trawl more widely. Training in Unconscious Bias awareness can help to address this.

##### *(b) Difficulty in isolating the problems*

Sometimes we expend too much energy in solving the wrong problems rushing into the 'how?' of doing the task instead of standing back and asking 'Why?' This points to the need for 'helicopter thinking' and being more strategic about why, for example, self-assessment teams should include more diverse membership.

##### *(c) Tendency to limit the problem area too closely*

All too often we define problems very narrowly. This can result in not facing up to the real problem e.g. the lack of success in recruitment or promotion of women may not be due to their unavailability but to the wording of advertisements/promotion calls and the failure to encourage a more diverse range of applicants.

##### *(d) Inability to see the problem from various viewpoints*

It is all too easy to develop 'blinkered vision' only seeing a problem from the perspective of our own profession, discipline or experience. This is why it can be useful to adopt 'different roles' to gain fresh perspectives on a problem. Exposure to unconscious bias awareness, role-playing and brainstorming can be useful to address this.

##### *(e) Saturation*

With the high volume information mountain, it is sometimes difficult to distinguish the vital few items from the irrelevant many, from all that are available. Hence, gender-disaggregated data for decision-making and policy-making needs to be presented in a clear, attractive and synthesised way.

*(f) Failure to use all sensory inputs*

This may prevent us looking for the most obvious and fruitful source of data e.g. what a similarly placed organisation is doing to address a problem that we face. For example, private sector organisations, such as McKinsey, have led the field in promoting diversity as being good for business and providing hard evidence making this case.

<b><i>Emotional Blocks</i></b>	
(a)	Fear of taking a risk
(b)	Incapacity to tolerate ambiguity
(c)	Preference for judging rather than generating ideas
(d)	Inability to incubate

**2. Emotional Blocks**

*(a) Fear of taking a risk*

Fear of failure/making a mistake is endemic in organisations and this can lead to the point where no one can feel empowered to 'take a risk'. Debates about gender targets often concentrate on the 'risk' of departing from the 'merit principle', thereby lowering standards, when this is not borne out by the evidence.

*(b) Incapacity to tolerate ambiguity*

Complex problems are often 'messy', there may be contradictions, insufficient data, misleading opinions and value judgements in play. Adopting too formal an approach may lead to ignoring promising ideas. Hard quantitative data on gender equality issues can be limited and should be supplemented by qualitative data collection, particularly to address attitudes and beliefs and the 'why'? and 'how'? questions.

*(c) Preference for judging rather than generating ideas*

Judging peoples ideas, before they are seriously considered, closes off the flow. We are all reluctant to 'take on board' new ideas, particularly if they challenge our expectations or perceptions about long held beliefs on gender roles and behaviours. Hence the need for 'brainstorming' conditions where all ideas are sought and none discarded and where none are rejected out of hand.

*(d) Inability to incubate*

Knowledge of the process of change suggests that we need time to adjust (from denial/rejection seen in Figure 6.2) to acceptance and integration of innovative suggestions. This requires sufficient time for ideas to incubate and to investigate best practice examples of what has worked towards gender equality, for instance, in other HEIs.

### ***Cultural Blocks***

- (a) Taboos
- (b) Focus rather than fantasy
- (c) Problem solving is a serious business
- (d) Reason and intuition
- (e) Tradition and Change

### **3. Cultural Blocks**

#### ***(a) Taboos***

Issues which cannot be discussed and therefore cannot be faced are 'taboo', such as adhering to the 'merit' principle in academe. Hence it becomes impossible and too sensitive to question whether correct decisions are being made, e.g. in appointments to University Chaired Professorships.

#### ***(b) Focus rather than fantasy***

Becoming adults means that we leave behind and reject the world of fantasy or 'what if?' for the safer one of practical necessity. As a result, we can sometimes miss out on creative/innovative apparently 'off the wall' ideas that could be worth utilising.

#### ***(c) Problem solving is a serious business***

Problem-solving doesn't ALWAYS have to be 'deadly serious'. Creativity and humour can not only be pleasant, they can open up apparently unrelated ideas 'stream of consciousness', 'bouncing ideas around' and leading to more creative and positive solutions.

#### ***(d) Reason and intuition***

There is a strong belief that only 'rational, logical and numerical' approaches must be deployed. Yet this approach is not always appropriate. For creativity and decision-making - we need a balance of rational and intuitive approaches. This has been complicated by the tendency to assign these characteristics to sex roles, whereby men are assumed to be logical, physical, tough and pragmatic while women are sensitive, emotional and intuitive. Creativity demands a balance of all these characteristics.

#### ***(e) Tradition and change***

Tradition is useful, yet it should not impede the need for change. In modern terms we need to be able to reject existing orthodoxies in order to make 'breakthroughs'. These are known as paradigm shifts such as occurred in the scientific discoveries of Galileo, Newton, Nightingale, Curie-Sklodowska and Einstein. Following the rules and adhering to tradition (and in some cases religious beliefs!) would have left us believing that the world was flat!

### ***Environmental Blocks***

- (a) Lack of Support
- (b) Not accepting and incorporating criticism
- (c) Bosses who know the answer

#### 4. Environmental Blocks

*(a) Lack of support*

Change can be seen as threatening, particularly in a non-supportive work environment in which innovation is stifled. If only rational and analytical responses exist to new ideas, they cannot contribute to creative problem solving, by all genders.

*(b) Not accepting and incorporating criticism*

Even creative and innovative people are not always able to accept and act upon criticism. This in turn closes off potential sources of support for an idea that could improve how it is adopted and applied. Hence, the need for trust and support so that ideas are valued and recognised to allow feedback to be generated in a positive, as well as, critical manner.

*(c) Bosses who know the answer*

Managers are expected to have good ideas and the ability to 'run with them', but not listening to their staff, and utilising their creativity, closes off other 'answers'. If managers are willing to listen they can tap into the creativity of their subordinates.

<b><i>Cognitive Blocks</i></b>	
(a)	Using the incorrect language
(b)	Inflexible use of strategies
(c)	Lack of the correct information

#### 5. Cognitive Blocks

*(a) Using the incorrect language*

Reverting to jargon, sticking with technical terms or sexist language – can alienate listeners and colleagues.

*(b) Inflexible use of strategies*

There are many strategies to support change and we may use them without being conscious of doing so, perhaps due to the blocks already listed. Providing the opportunities and tools to explore strategies in a safe environment by suspending disbelief and focusing on positive aspects e.g. of Gender Equality Plans (GEPs) should help to prevent premature and negative evaluation.

*(c) Lack of the correct information*

This can limit decision-making but doesn't always need to. There is a school of statistical thought that embraces 'Bayesian' modelling in which they seek to work around the confines of imperfect data and adopt pragmatic ways of working towards solutions even in imperfect conditions!

## 5. Managing Change - the Building Blocks

A "breakthrough" towards gender equality, diversity and inclusion, requires the interplay of a number of smaller changes often implemented via "logical incrementalism". In short, action first, thought later; experience first, making a "strategy" out of it second. Moss Kanter (1983: 289-301) saw the combination of 5 major building blocks present in organisational changes, to increase the capacity to meet new challenges.

### **Block A Departures from Tradition**

These can be orchestrated by innovators, or just "happen" to the organisation in a passive way. These departures provide the university with a *foundation in experience* to solve new problems or replace existing methods with more productive ones. For these departures to arise the organisation should be loosely enough controlled to promote local experiments and/or variations on a plan, for example a Gender Equality Plan (GEP). In themselves, even successful departures do not produce major change.

### **Block B Crisis or Galvanising Event**

This refers to "external" forces e.g. Brexit or "internal" forces e.g. policy changes, attitudes of employees. These can be used deliberately to create a change climate. For example, large-scale Japanese organisations have been prone to identify crises in order to galvanise marketing strategies.

### **Block C Strategic Decisions**

This is the area of "change management" or "strategic Planning" literature, the point at which leaders enter, strategies are developed that use Block A to solve problems inherent in Block B. It involves a deliberate and conscious articulation of a direction. Strong leaders articulate direction by creating a vision allowing themselves and others to see more clearly the steps to take, building on present capacities and strengths to get there. This can often involve a series of smaller decisions. The process is assisted by more integrative systems, innovations, communication channels and team mechanisms to keep gender equality ideas circulating. These forms of coalitions and co-operative traditions make it easier to get moving. "*The key is to allow a continual creative tension between grass-roots innovation in a free-wheeling environment and periodic strategic decisions by strong central leaders*". Strategic decisions help to set in motion the next 2 major forces/blocks in "change".

### **Block D Individual "Prime Movers"**

No strategy, no matter how brilliant or responsive, can succeed without someone giving it a push - hence the role of change agents who remain dedicated to their vision, keeping up the momentum and pushing beyond the actions of the innovating team. Prime movers operate, in part, by repetition, mentioning the new idea or practice on every possible occasion, in every speech, at every meeting. These can become draft corporate philosophies or management principles to stimulate

executive teams and employee groups to discuss the shared vision (as with Athena SWAN) <sup>1</sup>. The message is clear and unequivocal, indicating firm commitment. Where change emanates from outside, e.g. by EU/government regulation, the change must be internalised in a way that demonstrates how the necessary change will meet organisational needs, e.g. with targeted Gender Equality Plans. These must give rise to clear signals consistently supported to enable the organisation's culture and direction to change. Prime moving change agents need to push, but they also need ways to embody the change in action.

### **Block E Action Vehicles**

These are the mechanisms that allow the new action possibilities to be expressed. The actions cannot be allowed to reside as ideas or abstractions, but must lead to actual procedures, structures, communication channels, appraisal measures, work methods or rewards, incorporated into a Gender Equality Plan. This is necessary to "institutionalise" the GEP. Integrative actions to implement these changes utilise training and communication, whereby people learn how to use or incorporate the new activities. Devices such as cascading, networks, conferencing, road shows, informal visits, can be used to relay information from the converted to participants. Rewards have to be adjusted to support new practices. Structures similarly have to alter through the flows of information, division of responsibility, holding regular meetings, composition of teams etc. All of these mechanisms create *momentum* and critical mass in convincing people to adopt new practices.

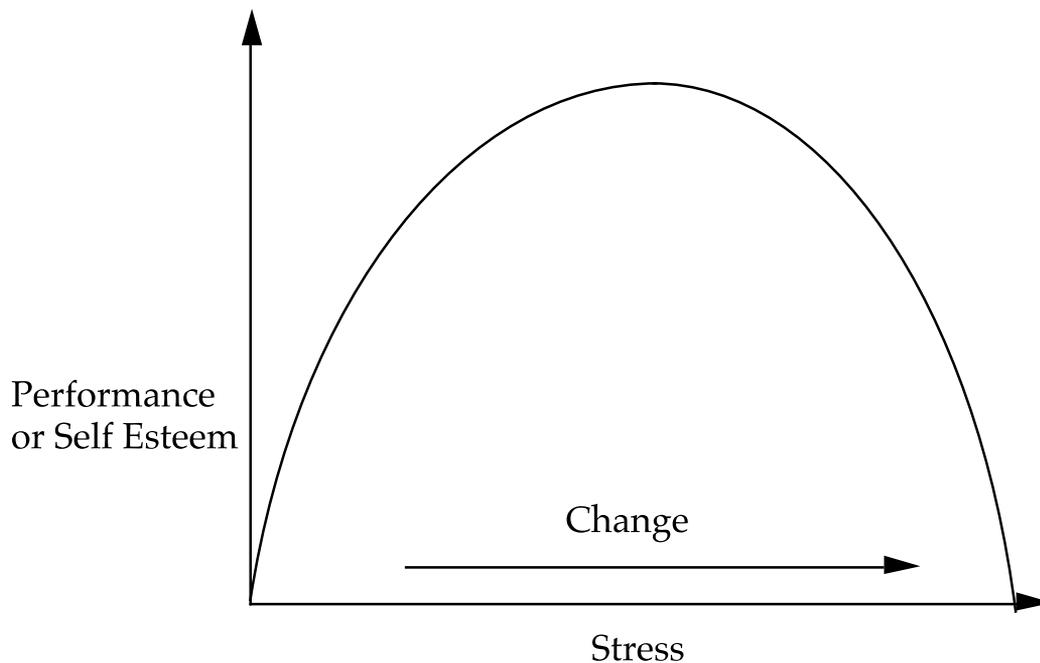
**Failure of many organisational change efforts has more to do with the lack of these kind of integrating, institutionalising mechanisms than with inherent problems in an innovation itself.**

---

<sup>1</sup> **Athena SWAN** (Scientific Women's Academic Network) is a charter established by the British Equality Challenge Unit in 2005 and implemented by the UK Resource Centre that recognises and celebrates good practice towards the advancement of gender equality: representation, progression and success for all.

## 6. Coping with Change

This concerns all levels of employees who must be involved in the implementation of change, whether or not they have participated in the planning of it. The problem is broader than viewing people's resistance to change. It is more complex and potentially more positive. Change creates fear, anxiety, uncertainty and stress, even for those who are managing it and even in aspects of life which are not work related. Carnall suggests a way for managers to look at the relationship between self-esteem, performance and stress (figure 6.1).

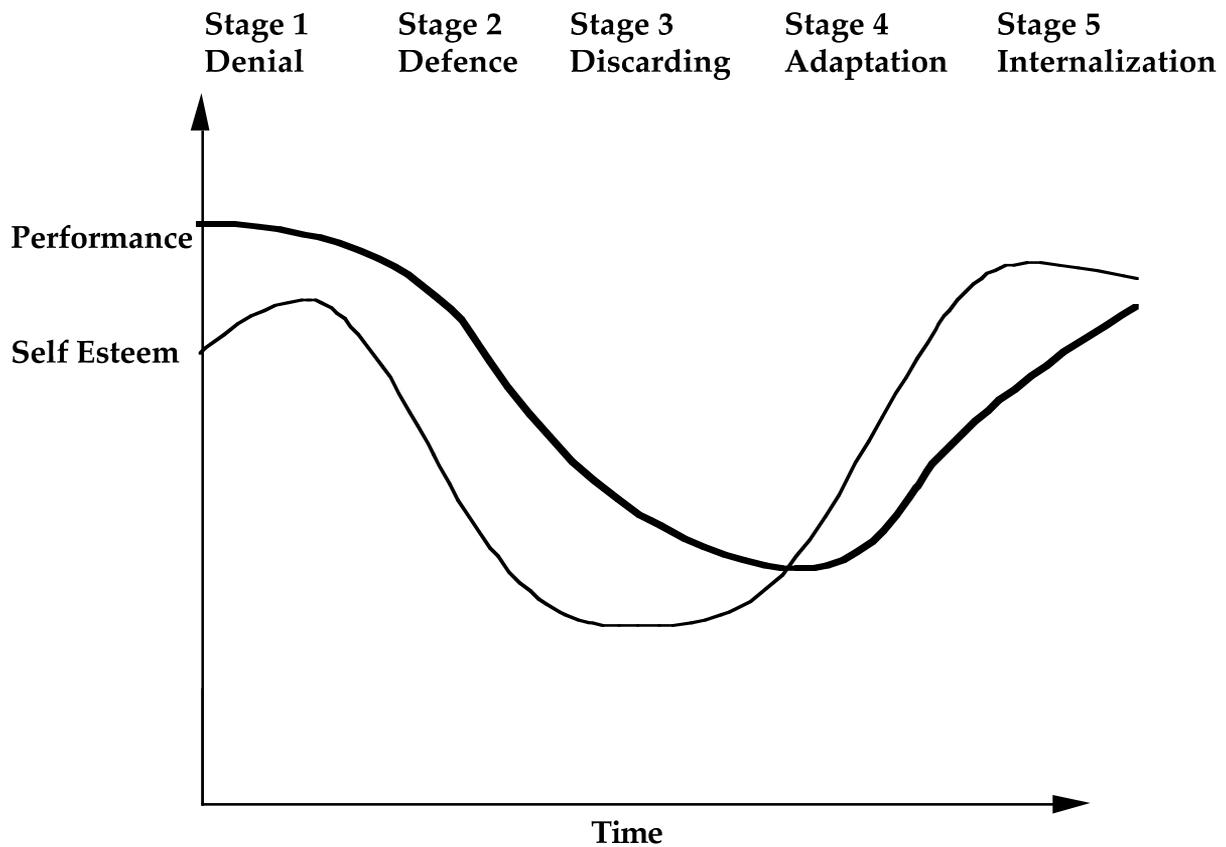


Self Esteem, Performance, Stress and Change

Figure 6.1

This pattern is observed due to the impact of stress/change on performance and self esteem. Learning new systems, processes, structures, takes time through the *learning curve effect* as people build up their performance through learning. There is also a *progress effect* as performance is enhanced. Self esteem is also affected negatively by organisational changes that impact on performance. The combined self-esteem, learning curve and progress effects can significantly effect performance.

This is best illustrated by Carnall's (2014) simple model of the "Coping Cycle" (figure 6.2):



## The Coping Cycle

Figure 6.2

### **Stage 1**      **Denial**

"We've always done it this way", "Why do we need a Gender Equality Plan?", "It wouldn't work here", "We tried that before and it didn't work" etc. These are all commonplace responses when change is mooted even when people have expressed deep concern or even complained bitterly about work situations. They retreat to the 'comfort zone'. Also the change may be so threatening that it is safer to pretend it can't/won't happen. A similar 'denial' stage occurs when people are evicted, experience a death in the family etc. The news of the event is so stunning that the recipient does not believe it has/will happen. Resistance to an external threat, such as pending redundancy, may bring out the pioneer spirit "we'll fight them on the beaches...etc." and even produce a sense of euphoria and lead to a rise in self-esteem. This can be sufficiently traumatic to produce a fall in performance or it may have no immediate impact on performance. As already stressed, people need time to adjust and managers have to recognise this to minimise the adverse outcomes.

### **Stage 2**      **Defence**

This is where reality takes over and people are faced with new: policies, systems, methods, a new head of unit, or programmes of change. At this stage, people have to 'come to terms' with the change and this can lead to depression and frustration along with defensive behaviour which attempts to resist the change(s). This may be a strategy through which people can adapt and cope.

### **Stage 3          *Discarding***

By discarding, people 'let go' of the past and look forward to the future in which support is available. It is not clear if the discarding stage is due to the realisation that the change 'will not go away' or that it is necessary and perhaps has some positive aspects to it. This stage marks a turning point in self-esteem as individuals come forward to take risks and often re-discover their own identity. Discarding requires experiment and risk, even when people realise that the new way has negative connotations. People need time so that they can 'grow' into the new situation.

### **Stage 4          *Adapting***

This is the stage when mutual adaptation occurs between the change (in policy, system, procedures, structure etc) and the individual's ability to try it out and learn. This may entail some modifications as problems are identified, all of which may use significant amounts of energy. Trial and error and setback can prove frustrating and lead to anger. Training and support are vital for this stage so that people develop the skills, understanding and attachment for the new change.

### **Stage 5          *Internalising***

Now that people have been involved in whatever the change has been, this creates new relationships so that they are no longer in awe/shock/alienation from the change. People experience change in different ways - initially as disturbance, even as shock, then coming to accept its reality, followed by testing it out and engaging in a process of mutual adaptation, finally coming to terms with change.

Not everyone goes through these stages neatly and chronologically and at a similar rate. Some may get stuck in 'denial'. What is common to everyone is that people do experience significant changes in these ways and this can lead to problems unless well handled/managed.

## 7. Being a Change Agent

For Moss Kanter the tools used in change *“are creative and interactive; they have an intellectual, a conceptual and a cultural aspect. Change masters [agents] deal in symbols and visions and shared understandings as well as the techniques and trappings of their own specialities”*.....*“Change masters [agents] are - literally - **the right people in the right place at the right time**”, with ideas they can form into visions, operating in integrative environments that support innovation, encourage building of coalitions and teams to support and implement visions. The right times are those moments when it is possible to reconstruct reality on the basis of accumulated innovations to shape a more productive and successful future”*.

For Moss Kanter (1983) those orchestrating change must: *“not only rely on blueprints and forecasts as tools, they must be able to appeal to human imagination, human faith and sometimes human greed - that needs to be made to get on board. Where change efforts raise concerns about loss and displacement - the negatives that people can easily imagine - they also have to take these issues into account.”*

Stewart (1983: 155-60) distilled the requirements for being a Change Agent into 4 steps:

1. *Create in the minds of the people who have to change a need for the change. Encourage them to be dissatisfied with the present state of affairs, and want things to be different.*

2. *Equip people to diagnose the problems and to talk about them in a common language, paying particular attention to abstract but important areas where people will use personal metaphors because a common language is not available.*

3. *Consider your resources - people, money, time - and what's possible with them. In the light of this information assign priorities.*

4. *Decide where you want to go, how you're going to get there, and how you'll know when you've got there.*

## 8. Relevance of the 9'S's to HEIs

Emerging from a 1970s 'quality' driven environment in which quality systems (e.g. SPC, ISO 900, Lean/6 Sigma) became the foundation for promoting a total quality/excellence movement. Atkinson (1990) sought a more holistic approach to effecting organisational change, building upon his Seven 'S's approach, adapted from Peters and Waterman (1982):

The 'HARD' 'S's:

**Strategy**

**Structures**

**Systems**

The SOFT 'S's:

**Staff**

**Skills**

**Style**

**Shared Values**

to which Atkinson (1997) added

**Symbols**

and

**Synergy**

For Atkinson, concentrating solely on the Hard 'S's (as many universities have done by introducing **Strategic Plans, Restructuring** Schools, Faculties and Departments and upgrading Student and Financial information **Systems**), reflects a business model which disregards the real changes that contribute to success.

Universities devote energy and resources to 'rebranding' and new logos to promote their image and differentiate them from competitor institutions. Images/logos are **Symbols** that appeal to our kinaesthetic senses to influence our first impressions and intuition. Hence the importance of the Athena SWAN symbol that is displayed by universities and research institutes (and their constituent departments/schools) that have received bronze/silver/gold awards.

The emphasis in quality literature on 'people as an organisation's greatest asset' can be readily observed in a university environment in which 'knowledge' needs to be recognised and valued: attracting and retaining the best students and **Staff** to meet the strategic needs of the university. This requires investment in staff in order to ensure that they are motivated and aligned with the university's goals.

Allied to motivation and embedding a team spirit, is the provision of training to enable staff to acquire/update the **Skills** necessary for their teaching, research and management/administration. These skills are not limited to technical areas but extend to training designed to manage and lead staff as well as to balance budgets and attract resources.

Atkinson rated **Style** as the most critical of the soft 'S's, an essential component of leading change in any organisation. Concentration on purely 'transactional' styles of management and leadership may be efficient in the short term but demotivating in the longer term. In a knowledge intensive

university environment, a strong 'transformational' leadership style is essential in implementing change through people: to develop, motivate and ensure cross-functional team working<sup>2</sup>.

Universities have long cherished their role in society through commitment to excellence in research and teaching as **Shared Values**. In embracing institutional transformation, the inclusion of gender equality, diversity and inclusion among those shared values is vital to achieving them.

Finally, Atkinson regarded **Synergy** as the mechanism for continuous improvement towards integrating the Hard and soft 'S's. "If we want to promote .... [Gender Equality] we have to go some way towards promoting a culture where people feel free to contribute ideas, where involvement in problem solving and decision making is the norm. **Culture is the set of values, behaviours and norms which make a [university] tick**".

Drawing upon Moss Kanter's work (1999) other change management proponents, Jones, Aguirre and Calderone (2004) further reinforced the alignment of an organisation's "culture, values, people and behaviors". They referred to long-term structural transformation (such as is sought in HEIs towards gender equality, diversity and inclusion) as having four characteristics: **scale** – the change affects all, or most of the organisation; **magnitude** (it involves significant alterations of the status quo); **duration** (lasting for months, if not years) and **strategic importance**. They also stressed that change must occur at the level of the individual to be effective. The authors' "Top 10" list of guiding principles for change management represent a systematic comprehensive framework:

1. Address the "human side" systematically
2. Start at the top
3. Involve every layer
4. Make the formal case
5. Create ownership
6. Communicate the message
7. Assess the cultural landscape
8. Address culture explicitly
9. Prepare for the unexpected
10. Speak to the individual

While change management researchers like Moss Kanter, Carnell, Stewart, Atkinson among others, paved the way in modelling how change needs to be managed, there has since been a proliferation of additional and mainly derivative models available including that of Kotter (2012), which is reviewed and applied in Section 9. A common feature of these models is that they relate to change mainly within the private sector, particularly in manufacturing companies. One exception to this is the model by Eckel and Kezar (2003) for institutional transformation in higher education. They identified five core strategies for HEIs:

1. Active participation of senior administrators (leadership, key administrators);
2. Involvement of key stakeholders (broad participation, lobbying, partnering);
3. Flexible vision (being strategic, framing);
4. Staff development (expertise);
5. Visible actions and outcomes (broad participation).

Kotter's model is closely aligned to these strategies which are constructed in 8 steps.

---

<sup>2</sup> **Transactional leaders** focus on the role of supervision, organization, and group performance. They are concerned about the status quo and day-to-day progress toward goals. **Transformational leaders** work to enhance the motivation and engagement of followers by directing their behavior toward a shared vision.

## 9. Case Study of UCL's application of Kotter's 8 Step Change Model

Kotter's (2012) 8-Step Change model has been used by University College London (UCL) in their Athena SWAN award process. This section outlines (a) the 8-Steps and (b) how these were translated into UCL's process of cultural change to embed gender equality principles and practices.

**Step 1: Establishing a Sense of Urgency** to spark the initial motivation. Like Moss Kanter (1983), Kotter recommends identifying potential threats/opportunities, developing future scenarios, generating discussions and providing people with convincing reasons for change, aligned with support from external stakeholders. He stresses that this requires high level "buy in" along with time and energy.

*UCL generated a sense of **urgency** by linking the UK Medical Research Council's threat of research funding being linked to holding an Athena SWAN Silver Award to get the momentum for Bronze and subsequent Silver (2009) and Gold (2016) Athena SWAN awards.*

**Step 2: Creating a Guiding Coalition** through strong leadership and visible support from key people (stakeholders/leaders) in the organisation's hierarchy, bringing them together as a "change coalition" working as a team to build urgency and momentum for change, appealing for their emotional commitment. The team should comprise a mix drawn from different departments and levels.

*UCL set up the **Athena SWAN Steering Group** reflecting the mix of staff (academic /technical /administrative) and levels in the university.*

**Step 3: Developing a Vision and Strategy** that people can understand and remember through determining the values that are central to change and providing a short summary of what the vision should be.

*At UCL the adopted mantra was: [gender equality as] '#simply good practice'.*

**Step 4: Communicating the Change Vision** is about bringing the change vision message frequently and powerfully to all involved, addressing people's concerns and anxieties, openly and honestly, applying the vision to all operations and leading by example.

*UCL **communicated** their **Athena SWAN Vision** by embedding AS updates at LMCB<sup>3</sup> meetings, through a new web site, events and triennial surveys.*

**Step 5: Empowering Employees for Broad-based Action** by identifying any processes or structures that are barriers to change, thereby empowering people to execute the vision and move change forward. This can be achieved through new appointments (including change leaders), examining the structures, job descriptions and performance and compensation systems, recognising and rewarding

---

<sup>3</sup> <http://www.ucl.ac.uk/lmcb/athena-swan>

people engaged in change, identifying 'resistors' and helping them and generally removing barriers human or otherwise.

*UCL empowered others to act on the vision through new procedures (appraisal, minutes, action tracker); new tools (list of female seminar speakers, career timelines, postdoc & student groups, new parents pack etc); new actions (encouraging female applications for GL positions, supporting extension fellowships, bullying and harassment, wellbeing interventions etc.)*

Step 6: **Generating Short-term Wins** early in the change process to help convince critics and negative thinkers, via smaller, inexpensive and achievable targets, having reviewed the pros and cons of each change initiative. Kotter also advocated rewarding the people who help in achieving the targets.

*In implementing this step UCL codified successes: nominations for awards, annual promotions, bonuses and fellowships, Athena SWAN awards every 3 years to provide kudos within UCL.*

Step 7: **Consolidating Gain and Producing More Change** by looking for more things to improve, based upon previous successes, analysing every win (what went right? what needs improvement?), setting goals to continue building momentum, adopting a continuous improvement philosophy (kaizen) and keeping ideas fresh by bringing in new change agents and leaders to form a coalition.

*UCL consolidated improvements and produced still more change through surveys, new actions, developing next stage Athena SWAN plans/applications and sharing the mantra.*

Step 8: **Anchoring New Approaches in the Culture** to ensure that they are part of the core of the organisation, hence the values behind the vision show in day-to-day work through continuous improvement in every aspect of the organisation. For Kotter, leaders, new and existing staff, have to continually support the change by talking about progress and success stories, incorporating change ideals in hiring/training new staff and acknowledging key members contributions. Replacement of key leaders as they move on was also seen as crucial.

*UCL adhered to institutionalising new approaches with the Laboratory for Molecular Cell Biology (LMCB) acting as champion and demonstrating beacon activities, speaking, consultation, reading draft applications. In 2016 LMBC were awarded GOLD Athena SWAN status, the first UCL Department to be recognised as working at this level of excellence and held by only a few other University Departments. This essentially demonstrates a cultural shift in attitudes and working practices so that good practice is the norm (#simplygoodpractice).*

## 10. Lessons from INTEGER on Change Management for effecting Gender Equality in HEIs

It is important to reflect upon how ideas, which developed for use in private corporations over at least five decades, can be applicable within a contemporary higher education setting. All of the change models and literature reviewed have at least some resonance and relevance to driving gender equality.

*INTEGER partners all used the availability of resources, for the duration of the EU FP7 funding to create a sense of **urgency** and to reinforce the high level policy shift that each institution had to activate, through **key actors as change agents** in WiSER (Women in Science and Engineering Research) TCD, the Mission des Femmes (CNRS) and the Centre for Gender and Women's Studies (CGWS) Siaulai University.*

*In each institution it was recognised that **top strategic level 'buy in'** was critical to ensuring changes at **all levels**. Each INTEGER institution invited their President to attend and present at INTEGER 'Exchange of Experience' Project meetings (2012-2013), to which **distinguished guest speakers** from US/EU were invited (Nancy Hopkins, Paul Walton, Alice Hogan, Anne Laure Humbert, Lithuanian MP) to present the case for institutional transformation for gender equality and **embed gender into the University's culture**. To further reinforce **strategic commitment**, TCD ensured that the Athena SWAN initiative was incorporated into the university's **Strategic Plan 2014-19**. As part of the INTEGER Project, a video *Driving Excellence through Gender Equality*<sup>4</sup> featured the Provost and Vice Provost pledging their support for gender equality and diversity in Trinity College Dublin.*

*All INTEGER partners: WiSER (TCD), the Mission des Femmes (CNRS) and the CGWS (Siaulai University) formed **INTEGER Teams** to effect changes. In TCD, the team composition (for the University and 3 Schools) was modelled on Athena SWAN Self Assessment Teams, after conducting **site visits to Athena SWAN award holders**: University of Edinburgh, Imperial College London and Queens University Belfast. Team membership changes as members exit and are replaced by new entrants – all with a commitment to the Athena SWAN process and who can continue in their role as **prime movers**.*

*The underlying **vision** in each INTEGER institution was enshrined in the acronym/logo: INstituting Transformation for Effecting Gender Equality:*



*Data were deemed essential to **defining the problem and identifying opportunities**. Each INTEGER institution embarked upon a thorough **data collection** exercise (through Focus Groups and Survey) and **review** of policies, procedures and practices, to identify barriers to gender equality and to draw up the actions necessary to address these. In order to make the necessary gender equality actions*

<sup>4</sup> <https://www.tcd.ie/tcgei/resources/multimedia.php>

(outlined in an EXCEL spreadsheet format) more accessible and comprehensible, TCD produced the **visual metaphor** of the **INTEGER Wheel** as the roadmap action plan framework to be followed. The TCD Wheel was then used and adapted by/for CNRS and Siaulai University.

Initially, change was driven by **internal forces** underlain by WiSER's mantra of: recruiting, retaining and progressing women students and staff in STEM. To change attitudes and behaviours that can impede progress towards gender equality, namely **perceptual, emotional, cultural and cognitive blocks**, external experts/speakers were invited to lead **Unconscious Bias Awareness** sessions in all 3 INTEGER institutions. TCD adopted a **cascade** process, working from the **top-down** with key segments of the university: Executive Officers Group; Fellows; Faculty members in Engineering, Mathematics and Sciences; Junior and Senior Promotion Committees; and Heads of School.

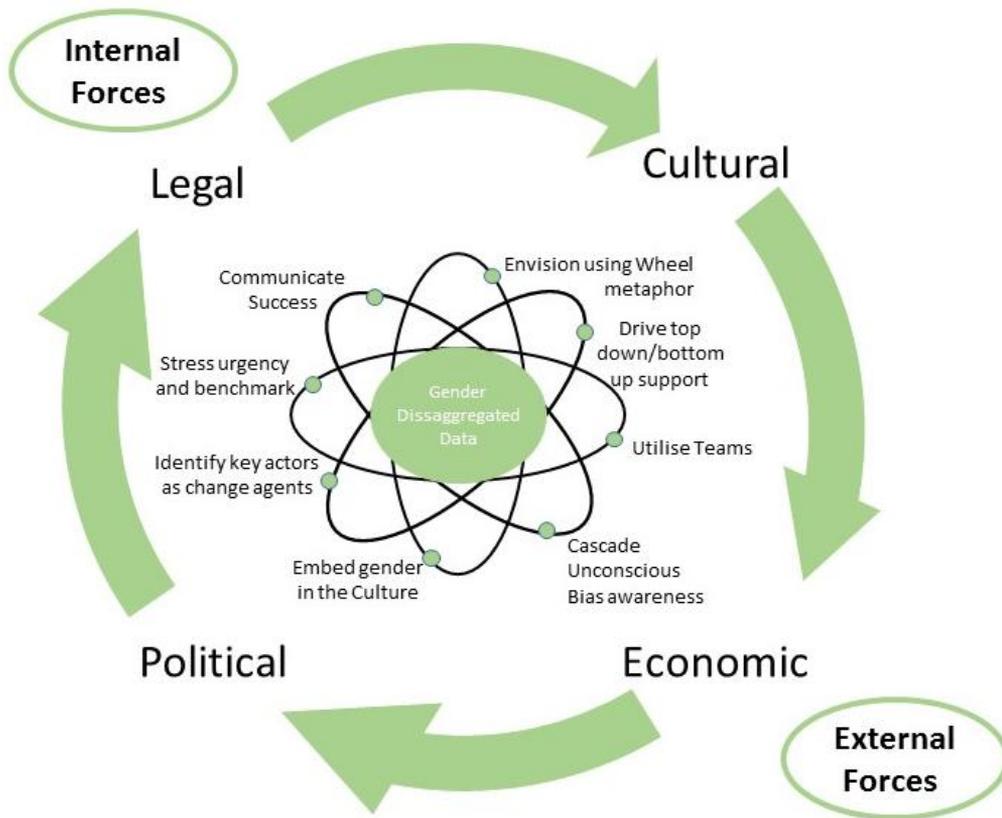
In TCD, it became clear that in order to **anchor/institutionalise the gains** from INTEGER and build upon them required an **external** stimulus which was provided by the establishment of a Athena SWAN national committee which led to the extension of the Athena SWAN awards to Irish HEIs. A further and significant **external force** emerged in the form of the Report of the Expert Group HEA (funding body for all Irish HEIs) National Review of Gender Equality in Irish Higher Education Institutions<sup>5</sup> (June 2016). This high level report acknowledged the importance of the Athena SWAN process and, in a number of key recommendations, will require awards for access to HEA and national research funding.

INTEGER introduced important and timely **Action Vehicle communications in the form of: cascading, networking, conferences and exchanges of experience, site visits, presentations of survey findings/recommendations for action and, most importantly, their adoption by governing bodies (Council and Board).**

---

<sup>5</sup> [http://hea.ie/assets/uploads/2017/04/hea\\_review\\_of\\_gender\\_equality\\_in\\_irish\\_higher\\_education.pdf](http://hea.ie/assets/uploads/2017/04/hea_review_of_gender_equality_in_irish_higher_education.pdf)

Figure 10.1 SAGE Model for Institutional Change in HEIs



## Further reading

- Atkinson, Philip (1990), *Creating Culture Change: the key to successful total quality management*, IFS: Milton Keynes.
- Atkinson, Philip (1997), *Creating Culture Change Strategies for Success*, Rushmere Wynne: Leighton Buzzard.
- Carnall, Colin and Todnem, Rune C. (2014), *Managing Change in Organisations*, Pearson: Harlow.
- EIGE (2016), *Gender Equality in Academia and Research: GEAR Tool*, European Institute for Gender Equality: Vilnius.
- Jones, John, Aguirre, DeAnne and Calderone, Matthew (2004) *10 Principles of Change Management*, Booz&Co. Resilience Report
- Kanter, Rosabeth Moss (1984), *The Change Masters Corporate Entrepreneurs at Work*, Allen and Unwin: London.
- Kanter, Rosabeth Moss (1993), *Men and Women of the Corporation*, BasicBooks: New York.
- Kotter, John (2012), *Leading Change*, Harvard Business Review Press: Cambridge Mass.
- Peters, Thomas and Waterman, Robert (1982), *In Search of Excellence: Lessons from America's best-run companies*, Warner: New York.
- Šidlauskienė, Virginija and Butašova, Katarina (2013), "Designing gender equality as institutional transformation at a higher education institution", in *Gender Studies & Research*, 2013, Vol. 11, p50-69.
- Stewart, Valerie (1983), *Change: the Challenge for Management*, McGraw-Hill: New York.