The effective change manager

The Change Management Body of Knowledge

FIRST EDITION

Change Management Institute

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The mission of the Change Management Institute (CMI) is to promote excellence in the management of change by setting standards, educating and supporting change management practitioners and organizations and promoting the value of change management.

We are an independent professional organization that is uniquely positioned to advance the interests of change management. Since 2005, CMI has been providing opportunities for change management professionals to build knowledge and skills and network with other professionals.

We provide:

- **Education** – developing the capability of change practitioners
- **Networking** – hosting a range of networking opportunities
- **Accreditation** – developing standards and recognizing excellence in the management of change

As a member-owned organization we focus on delivering real benefits to our members and offer:

- **Credibility** – membership and affiliation to a professional industry organization
- **Capability** – access to professional development opportunities
- **Connection** – local connection within a global community
- **Discounts** – special member prices on events and benefits

Our organization is built upon the support and effort of our incredible volunteers. We truly are members supporting members and offer a strong peer network of change professionals. We hope that you will become part of CMI and support the evolution of the change management industry together with us.

Change Management Institute

www.change-management-institute.com

Foreword

I am delighted to introduce you to the first official and independent Change Management Body of Knowledge for the Change Management profession. Our members and stakeholders told us the time had come to define the knowledge that our profession relies on. Newcomers to Change Management told us they needed a reliable and independent single source of truth to guide their professional development. To experienced practitioners this feels like a 'coming of age' for Change Management.

The feedback we have had on this first edition is encouraging. There were comments, such as:

'[The CMBok]... strikes a good balance between being 'professional, theoretical and credible' with being 'accessible, understandable and practical' for practicing or aspiring professionals'

'I thoroughly enjoyed reading this content. It is well written, gave me some timely reminders about the varied aspects of an effective Change Manager's work and inspired me to seek out some new readings.'

'Very, very impressive!'

Now we want to hear from you. As with all our standards, this one has been carefully developed and tested over a long period involving a wide range of stakeholders. We know our profession is still growing so it is constantly open for feedback and we'd love to hear what you think. Tell us if we've missed something or if you have a great book or article that you refer to frequently so we can share this information with your colleagues across the profession and across the world.

Finally I would like to add a personal thank you to the team involved in writing, managing and reviewing this incredible resource. Creating it has been a three-year journey for CMI and it would not be in your hands now without the hard work (most of it unpaid) of a group of dedicated people.

Now turn the page and enjoy! I guarantee you'll learn something. I did.

Caroline Perkins
President, Change Management Institute

Introduction

Change Management has its roots in the second half of the 20th Century. Changes in social and organizational structures, frequently driven by changing technology, created an environment of rapid and discontinuous change. Business leaders, managers and professionals from a range of disciplines recognised the challenge of creating and sustaining value in this challenging environment. It became a commonplace observation that change in organizations frequently became chaotic; it destroyed value, rather than creating it.

Organization Development practitioners and academics approached change from the perspective of psychological and social disciplines. Half a century of social science research was plundered to gather insights that might help organizations to engage people more effectively in the change process. The human side of change became a key driver of success.

Project and Programme Management professionals, drawing on operational research and other well-developed academic disciplines approached change from a different perspective. Their fast-developing profession provided powerful tools to define, plan and control change initiatives in organizations. They offered structures and processes that reassured organizations that change could be managed.

Systems theory, chaos theory and other powerful strands of thought also made their contributions to understanding change and shaping the way it is managed. Large consulting firms began assigning their most capable practitioners to support organizations approaching significant changes. The literature of Change Management became more and more prominent in business and universities began to offer courses dedicated to Change Management.

From these diverse professional backgrounds, a number of individuals began to define themselves as Change Specialists or Change Managers. Organizations, struggling to maintain or increase value through times of change started to employ people in roles identified as 'Change Manager', either internally or through external recruitment processes. Consultants advertised their Change Management services and were engaged to provide guidance. The discipline of Change Management began to form.

Change Management is an emerging profession

Change Management is an interdisciplinary profession

There is a substantial and growing body of literature about organizational change. However, it is clear that effective Change Management draws on the expertise of a wide range of other professional disciplines. The history of Change Management illustrates some of the disciplines that contribute to the effective management of organizational change. In this Change Management Body of Knowledge (CMBoK) we have sought to identify, recognize and calibrate those elements on which the Change Management profession relies.

The specific context of any change initiative or process will determine which of these elements are most significant. That context includes the national, ethnic and organizational cultures in which the change takes place. It also includes the particular nature of the change and the forces that are driving – and resisting – it. It certainly includes the people involved, especially those leading the change process, and the outcomes that are required.

Because of this variation in the context, no single definition of the knowledge required to underpin effective Change Management will meet with universal approval. Professionals with different orientations, from different cultures and facing different challenges will (unsurprisingly) reach different conclusions about the 'correct' content of a CMBoK.

In this edition we have built on eight years of Change Management Institute research which has defined what effective Change Managers actually *do*. This research has drawn on the experience of more than six hundred Change Management professionals in thirty countries, and is published as a competence framework for a Change Management practitioner (www.change-management-institute.com).

In developing this CMBoK we have engaged in further research with a similarly global constituency to define and balance ideas about what Change Managers must know in order to display those competences effectively – and to deliver change successfully. Our decisions about what to include, and with what emphasis, will not please everyone – but the results are based on strong global foundations. We believe it to be a worthwhile contribution to defining this emergent profession.

The Change Management profession is no longer embryonic and is readily identifiable in organizational, and especially in business literature. Nor is Change Management in its infancy. Early faltering footsteps and hesitant speech have given way to a sense of balance about the profession and to a clear voice that articulates a strong contribution to thought leadership. Perhaps, however, we could say that Change Management is in its adolescence. It is no longer dependent on its parent disciplines – such as organization development and project management – and is becoming 'its own person'. Parental influences are still strong, but it is now making substantial and distinctive contributions to the world around.

However, the Change Management profession is itself in a state of rapid change and growth. Our research shows that the numbers of explicitly Change Management jobs is growing, and more organizations are actively seeking to build Change Management capacity and capability. The shapes of these initiatives are many and varied; the knowledge and competence of the effective Change Manager still needs to evolve to meet the resulting demands. New ideas and innovative approaches –spread by online forums faster than printed literature can keep up – are rushing around the globe and are driving behaviour which varies from thoughtful and highly sophisticated to reflexive and faddish.

This is a good time to identify the best in the developing Change Management profession. We have taken an 'agile' approach in the CMBoK. We have chosen not to wait until all is clear and the evidence is universally agreed. This first edition is a work in progress. As we publish we are already gathering data and insights from the global Change Management community, which will shape the second edition. Through this iterative process we aim to maintain a clear, current, convenient and valuable reference to what organizations require of an effective Change Manager.

Change Management is an **developing** profession

What is a 'Body of Knowledge'?

Change Management knowledge that underpins effective practice

A 'Body of Knowledge' is a document produced by a professional association to describe and define the knowledge that underpins effective practice in a trade or profession.

The CMBoK:

- Identifies the Knowledge Areas required to practise effectively as a Change Manager across a range of situations;

- Provides definitions and descriptions of each of these Knowledge Areas, including a clear indication of the depth of knowledge required in each area;

- Shows how areas of knowledge relate to one another, and to their practical application in the Change Management Institute competence model; and

- Offers a reliable, reputable and realistic range of reference sources in which these Knowledge Areas can be found and studied.

PURPOSE

A Body of Knowledge for Change Management that provids a firm foundation for organizations, practitioners, authors and academics

This CMBoK is designed for practitioners, employers, authors and academics. It provides:

1. Practising Change Managers – or those aspiring to practise as Change Managers – with a recognized outline of the required knowledge (for those seeking accreditation through the Change Management Institute's professional accreditation scheme it describes the knowledge applicants must display in their work);

2. People employing Change Managers (or contracting for Change Management services) with a description of the areas of expertise they can reasonably expect of an applicant; and

3. Authors and academics with well-researched information on which to base books and courses.

THE CMI CHANGE MANAGEMENT MATURITY MODEL AND THE CMBOK

The CMI Organisational Change Maturity Model outlines three levels of maturity in our discipline:

1. **Project** change management
2. **Business** change readiness, and
3. **Organizational** change leadership.

The table at Appendix A (see page 186) summarises how this guide relates to all three maturity levels.

In response to feedback from members we have focused this first edition of the CMBoK on project change management and the role of the Change Manager as outlined in our Change Management Practitioner Competency Model. Where it is relevant we have made reference to concepts from the organizational and business domains (such as Change Management Offices, emergent change and change leadership) but not covered them in detail.

As the body of knowledge develops we expect to incorporate the feedback we receive to expand on the specific knowledge underpinning practice in the business and across the organization.

THE CMI CMBOK IN CONTEXT

Practitioners from across the world have developed CMI's independent Change Management standards and these have been in use for several years. They include two models:

1. The Change Management Practitioner Competency Model (issued in 2008, updated in 2010 and 2012) defines what a practitioner does; and

2. The Organizational Change Management Maturity Model (issued in 2012) outlines what a mature organization does.

Information about both models can be downloaded from:

https://www.change-management-institute.com/tools-models

The CMBoK describes the knowledge that underpins Change Management practice across both domains.

The CMBoK supports the project level of the CMI Organisational Change Management Maturity Model

The CMBoK complements the Practitioner Competency Model and the Organisational Maturity Model

PRACTITIONER ACCREDITATION

CMI offers accreditation of Change Management practitioners against a well-established global benchmark. Accreditation provides colleagues and employers with an independent validation of a practitioner's ability to perform a Change Management role effectively. The accreditation scheme was developed in response to an ongoing call from practitioners for a high quality, robust and reliable assessment process to recognize excellence in the management of change. Those that have been awarded their accreditation tell us it creates a greater respect for them and the profession and it helps them to stand out from the crowd when applying for new roles. Employers tell us how relieved they are to have an independent assessment of a candidate's workplace performance to rely on.

Practitioners with typically three or more years' experience aim for the ACM (Accredited Change Manager). The benchmark standard used is the CMI Change Management Practitioner Competency Model. The assessment process involves both a written and face to face assessment, as well as reference checks.

Less experienced practitioners (typically with one to three years' experience) aim for our foundation level accreditation. They provide evidence of Change Management knowledge (based on this CMBoK) as well as examples of their experience in a novice level Change Management role.

Go to the CMI website to find more about accreditation.

THIS IS JUST THE BEGINNING

Our profession is built on a foundation of consultation and this has been demonstrated in the way the CMBoK has been developed. The content reflects the views of CMI members and stakeholders over a three year period from 2010 to 2013.

Our profession is constantly developing and this is reflected in the way we manage this body of knowledge. We see it as a constant 'work in progress' always being updated with feedback from our community. In line with this, and the approach we take with all our standards, the CMBoK is always open for feedback and will be updated regularly. As this is the first issue we anticipate an update towards the end of 2014, then another every two years after that. Keep an eye on the CMI website for deadlines!

You can provide input at any time and there are two ways to do this:

1. Complete the short 10 minute survey on the CMI website (available at: https://www.change-management-institute.com/cmbok); and

2. Send us an email at cmbok@change-management-institute.com. Please provide the relevant page and section references so that we can use the feedback you provide. If you would like to see specific literature references included please provide full details following the format used in this document.

The CMBoK reflects a developing profession and is a constant 'work in progress' that will be updated regularly

Acknowledgements

The CMBoK is a collaboration between CMI and the APMG and is a product of the effort, enthusiasm and dedication of a team of expert leads, authors and reviewers

CMI would like to thank APMG International for the partnership and support demonstrated throughout this project. Given CMI's independent status the decision to partner with another organization was not taken lightly and involved several months of negotiation. We have been delighted with the cooperation and collaboration demonstrated between the two organizations throughout.

Believers

The global Change Management community would like to recognize the vision, energy and determination of the leaders of both organizations in taking this from a good idea to a valuable contribution to the global practice of Change Management.

Caroline Perkins (CMI), Richard Pharro & Keith Williams (APMG)

Authors

CMI would like to recognize the authors of the document who worked tirelessly to turn everyone's contributions and suggestions into a valuable coherent reference.

Dan Skelsey, David King, Ranjit Sidhu, Richard Smith

The authoring team appreciates the consistent support of their work given by Gavin Webb (APMG).

CMBoK Leads

CMI would like to recognize the contribution of the CMBoK Leads who set the tone for the collaborative development and delivered a quality product to a seemingly impossible deadline.

Helen Campbell (CMI), Richard Smith (APMG)

Review panel

CMI knew that Change Managers were keen to get their hands on this first edition, so we used the data from three years of consultation to develop an initial draft. Then we asked all those responding to the CMBoK survey "Who would you trust to review the first draft of the CMBoK on your behalf?" The responses drove the composition of the review panel with reviewers coming from the UK, the USA, from Europe, Australasia and China. The panel included academics, practitioners and Change Management experts as well as CMI Board members, CMI Country Leads and CMI Accredited Change Managers (ACMs).

This CMBoK, like every other CMI initiative, is the product of many hours of hard work given freely by volunteers. While this document is the product of many people's input CMI particularly recognizes the significant contribution, and many hours of work invested in the review, by the following people:

Arnab Banerjee	Dr Elizabeth Short	Dr Janet Cole
Bithika O'Dwyer	David Miller	Jo Millott
Caroline Perkins ACM	Emma Hansford ACM	Melanie Franklin ACM
Chantal Patruno	Fran Leys ACM	Nicola Busby
Chris Bayley ACM	Gillian Perry ACM	Patrick Mayfield
Chris Macdonald	Helen Campbell ACM	Phil Angell
Dr Christina Kirsch	Ira Blake ACM	Tanja van den Akker
Clare Ellis	Jane Judd	

Editorial and practical information about the CMBoK

ORGANIZATION OF THE CMBOK

'Knowledge Areas' and 'Knowledge Components'

For the purposes of the CMBoK, 'knowledge' relating to effective Change Management is organized into thirteen *Knowledge Areas*. Each Knowledge Area describes a major aspect of the underpinning knowledge and practical experience expected of an effective Change Manager.

Within each Knowledge Area there are three or more *Knowledge Components* – distinct but related subsets of the Knowledge Area under which they are described.

TOOLS AND TEMPLATES

Where to find help with practical tools and templates

Tools and templates are an important resource for Change Managers; their knowledge helps them to decide which specific tools or templates to use when. The Change Management Institute is an independent professional body and therefore does not endorse any specific toolsets or methodologies. However, in support of our members we have collected a number of generic tools, templates and models, which are available on our website at: www.change-management-institute.com/tools-models.

COMMON TERMS USED IN THE CMBOK

Organizations describe their change plans in different ways

Organizations use a wide variety of terms when describing the plans associated with change processes. This is influenced by their approach to project, programme and portfolio management. For consistency we have adopted the following terminology throughout the CMBoK:

Change initiative: except where the context requires an alternative, we have used this term as a general expression to include any intentional change process, including those constituted formally as a change portfolio, change programme or change project.

Change management plan: we have used this term for a plan that typically includes change impact, the organization's change readiness, capability and capacity for change, meeting key learning needs and achievement of outcomes.

Benefits realization plan: we have used this term for a plan that typically identifies the benefit owners, includes a summary of the benefits of a change initiative, states the timing of their expected realization and schedules benefit reviews.

The Change Management Institute

Delivery plan: our use of this term applies to a plan that can be created at various levels of a change initiative (programme or project) and typically includes the timing and sequence of key implementation tasks, delivery of outputs and transition to the business.

GENERAL REFERENCES

The references used throughout this edition are those that practitioners have often cited as being of significant value. A number of these cover several of the areas of knowledge in the CMBoK and are listed below for ease of access.

Cameron, E. and Green, M., 2012. *Making Sense of Change Management: a complete guide to the models, tools and techniques of organizational change.* 3rd ed. London: Kogan Page.

Huczynski, A.A. and Buchanan, D.A., 2007. *Organizational Behaviour.* 6th ed. Harlow: Pearson Education.

Kotter, J.P., 2012. *Leading Change.* 2nd ed. Boston, MA: Harvard Business Review Press.

Reference should also be made to related CMI publications:

CMI, 2012. *Organisation Change Management Maturity.* [pdf]

CMI, 2012. *Change Management Practitioner Competencies v.2.2.* [pdf]

Both are available at:

www.change-management-institute.com/tools-models

EDITORIAL NOTE ON SPELLINGS

During the review process we received strong feedback about our use of 'z' in spelling words (such as 'organization'). Several reviewers expressed the opinion that these words should be spelt with 's'. Although the 's' spelling of organization and similar words is common in the UK and Australia, both 's' and 'z' spellings are acceptable in British English. In fact, the Oxford English Dictionary uses the 'z' spelling for its own 'house style'. We have adopted the same convention.

Contents

You don't have to read the CMBoK from front to back – all the Knowledge Areas can be read separately. Use the navigation trees throughout the CMBoK to find your way to the topics of most interest to you

1/

Knowledge Area 1:
A Change Management Perspective
The overarching theories behind change

BACKGROUND

A thorough knowledge of change principles and how to apply them is a key reason that change managers exist as a distinct professional group. They do not work in isolation, but connect intentionally and systematically with professionals in a range of disciplines to enable effective change to take place. However, the wide understanding that effective change managers have of different perspectives on change enables them to contribute to the organization's success by:

- Advocating appropriate and effective change management practices;

- Defining change, placing it in context;

- Engaging people to the extent necessary for the change initiative to succeed;

- Helping manage the benefits of a change to both the unit and the wider organization;

- Supporting development and execution of comprehensive plans for change initiatives;

- Facilitating the change process for individuals, teams and the wider organization;

- Ensuring that change becomes embedded in the organization – the new 'business as usual'; and

- Advising and coaching senior colleagues who are sponsoring or leading change initiatives.

Change managers are aware of research findings since the 1990s showing the high proportion of change initiatives that fail to deliver the promised benefits. They use this to highlight the importance of a relentless focus on good change management practices, which have been shown to increase the probability of successful change by a factor of four. They understand how to structure a change initiative, and how to work with operational managers to ensure that it has the best possible chance of delivering the expected benefits.

Turning from benefits to costs, the direct costs of a change initiative are often relatively easy to identify. It is, however, also easy for change sponsors to 'miss' some major categories of cost which will prove critical to successful

change implementation. Change managers understand research on the factors that impact the success rates of change initiatives. They use this information to influence colleagues, ensuring that *realistic* assessments are made of the costs of implementing change.

Effective change managers are able to apply to their organization a range of research (theories and models) about change at all levels – from the strategic to the human-scale of individuals and small groups. This applied understanding leads to greater engagement of everyone involved in the change process. Change managers also understand the procedural and structural 'levers' an organization can use to facilitate change. They understand how to apply these to organizations to drive and sustain the required outcomes.

Because change managers understand the overarching theories behind change, they can help protect organizations from beginning or continuing with flawed initiatives. They support organizations in applying the best available practice in managing the change process. They also greatly improve the realization of the benefits of change, helping organizations to deliver full value from the initiatives they do undertake.

KNOWLEDGE COMPONENTS

These Knowledge Components are essential aspects of a change management perspective:

1. Why change management matters

2. Change and the individual

3. Change and the organization

4. Key roles in organizational change

5. Organizational culture and change

6. Emergent change

CHANGE MANAGEMENT IN PRACTICE

Effective change managers have a broad understanding of organizational change that helps an organization's leaders and managers work through change. This awareness is maintained by following developments in change management thinking (concepts and theories), research and best practice. Change managers often spend time with people to explain how change can be successfully managed through adoption of different models of and approaches to change. This also involves them in working closely with Organizational Development (OD) and Human Resources (HR) professionals, to ensure that people involved in or affected by change are understood, supported and motivated.

A key responsibility of change managers is to help senior managers select suitable approaches from a range of change models. They ensure the right people are involved in the right change 'steps' and know that building 'agility' throughout an organization (such as cross- boundary working) increases the

culture and capacity for continuous renewal and change. Change managers also understand the distinctive contributions that different individuals and groups make to successful change. They act as 'agents' for change and work with individuals and groups, at different levels, to help them make appropriate contributions.

Effective change managers recognize the nature and effect of 'cultural sensitivities' on change in an organization. This enables them to help leaders and managers develop appropriate strategies for developing the culture, promoting change and addressing resistance.

Effective change managers understand that not all change can be scheduled and planned and help senior managers in an organization recognize the features of complex 'emergent change'. They help create a supportive environment for leading and effecting such change.

**HOW THIS KNOWLEDGE AREA SUPPORTS
THE CMI CHANGE MANAGEMENT PRACTITIONER COMPETENCIES**

Related Change Manager Practitioner Competencies	1.1 Why change matters	1.2 Change and the individual	1.3 Change and the organization	1.4 Key roles in organizational change	1.5 Organizational culture and change	1.6 Emergent change
Facilitating change	O	O	O		O	O
Strategic Thinking	O		O		O	O
Thinking & Judgement		O	O			
Influencing Others	O	O	O	O	O	
Coaching for Change	O	O	O	O	O	O
Project Management	O				O	
Communication Skills	O	O	O			
Self Management		O				

KEY REFERENCES FOR THIS KNOWLEDGE AREA

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Knowledge Component 1.1:
Why change management matters

Change success rates and how to improve them

'It is not the strongest of the species that survives, nor the most intelligent that survives. It is the one that is the most adaptable to change.'
Charles Darwin
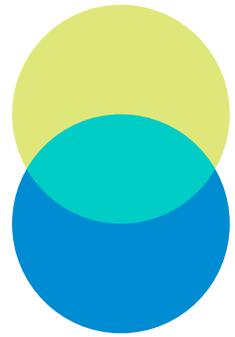
DEFINITION

The knowledge required to offer clear, concise and well-evidenced information about the role of effective change management in enabling successful change in organizations.

EXPLANATION

Knowledge in this area is necessary because effective change managers must be able to advocate the importance of good practice. They also need to articulate clearly the high-level factors that lead to effective change implementation.

When organization leaders or managers seek to initiate change, they are often optimistic about the process. They can see clearly how beneficial the proposed change will be, and assume others will see it just as easily. They have confidence that the skill they and their team have developed in (relatively) steady-state situations will transfer easily to change implementation. Often they define too narrowly the range of people who are likely to be affected. The change manager's ability to offer caution, based on good research, can help to define change more realistically.

However, it is not sufficient for change managers to disrupt unwarranted optimism. They must be able to explain in a few sentences – the 'elevator pitch' – what research shows about how to achieve successful change. This forms the basis of change managers' confidence that they can help their line colleagues to achieve a successful outcome.

KNOWLEDGE

The knowledge expected of an effective Change Manager is:

1. Current information about the success rates of change across a range of organizations. For two decades it appears this has been stuck at around 30% of change initiatives that are mostly or wholly successful although this figure is difficult to verify (Hughes, 2011).

2. The factors that have been shown to impact positively on the probability of change delivering the intended outcomes for the organization, and evidence of how effective change management practices support these factors (Prosci, 2012; PricewaterhouseCoopers, 2004; and LaClair and Rao, 2002).

See also:

Knowledge Component 4.3: Managing relationships and mobilizing stakeholders

Knowledge Area 7: Change Readiness, Planning and Measurement

3. The critical importance of preparing the organization and its people for change, and of the research that supports this.

4. The key considerations in designing the change process (such as Balogun and Hope Hailey, 2008).

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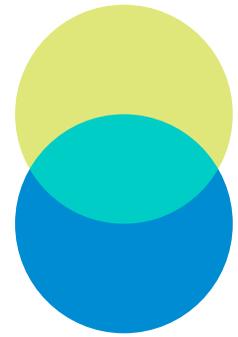
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Knowledge Component 1.2: Change and the individual

Major models of the individual change process

'All changes, even the most longed for, have their melancholy; for what we leave behind us is a part of ourselves; we must die to one life before we can enter another.'
Anatole France

DEFINITION

Knowledge of key insights from the fields of psychology and sociology about how individuals (and groups or teams of individuals) experience change and how these insights can be used to support people through change processes.

EXPLANATION

Social science research over more than fifty years provides information about how people respond to change. One of the distinctive contributions effective change managers make to their organization is their understanding of the human side of change. It is their role to ensure that these research insights are applied effectively to the organization's change initiatives.

Models of individual and group change see change as a function of time – people go through a process. The many individuals affected will each experience the change in their own unique ways, and each of these may be different from the change process as seen from an organizational perspective. In many cases effective change managers have an educational role. They must help managers and leaders at all levels to focus on doing the things that engage, support or challenge people appropriately. They may also provide help for individuals facing change.

In applying their expertise in this area, change managers may have the support of Organization Development (OD) or Human Resources (HR) professionals. Effective change managers make full use of this professional expertise from supportive colleagues. However it is the Change Manager's task to ensure that those who are sponsoring or leading change recognize and understand the people-side of a change initiative, and that those who are charged with designing and implementing it manage it effectively.

One key aspect of individual change is the learning process. Learning theory helps change managers to understand the steps that they can take to improve the rate and effectiveness of learning. It allows them to factor into their plans the impact on performance of people learning new knowledge, skills and behaviour patterns.

KNOWLEDGE

The knowledge expected of an effective Change Manager is:

1. A range of perspectives on human motivation, including:

   - The use and limitations of rewards and sanctions as sources of motivation to change;
   - The individual drives that shape behaviour, and their role in helping or hindering change; and
   - Expectancy theories of motivation (see Huczynski and Buchanan, 2007, pp.251–254).

2. One or more models of individual difference that enable the Change Manager to tailor messages to meet the needs of different people, and to engage people with different personal styles. Common examples include Learning Styles and the Myers-Briggs Type Indicator® (MBTI®).

3. The core psychological conditions needed to enable individuals to change, grow and develop (Rogers, 1967).

4. The difference between 'planned change' and 'human transition', and the implications of this for change initiatives. The effective Change Manager is able to describe appropriate leadership for people at different stages of this process (Bridges, 2009).

5. The Transition curve (also called 'change curve' or 'coping cycle') and its contribution to understanding the human response to change, including:

   - The ability to identify the main behaviour patterns associated with different stages of the curve; and
   - An understanding of appropriate and inappropriate responses from supervisors and leaders to those behaviour patterns (Adams, Hayes and Hopson, 1976).

6. Typical ways in which individuals express their resistance to change, how to identify these and how to respond appropriately (Block, 2000).

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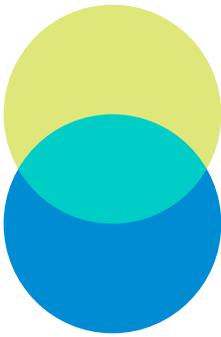
Knowledge Component 1.3: Change and the organization

Major models of the organizational change process

'No great improvements in the lot of mankind are possible, until a great change takes place in the fundamental constitution of their modes of thought.'
John Stuart Mill

DEFINITION

Knowledge of key insights about organizational change and how it can be made effective, drawn from a range of approaches.

EXPLANATION

To be effective in their role, change managers need to understand how organizational change works – and why it often does not. This goes beyond the need to explain the value of change management and addresses the way change actually works in the organization.

Observations of, and research into, this area have long roots. Effective change managers distinguish the scope and scale of change and calibrate the change approach accordingly. They understand Kurt Lewin's classic 'unfreeze–change–refreeze' model and ensure that the right actions are in place at each phase to achieve lasting change. They can apply one of the 'n-step' approaches to change, such as John Kotter's '8-step process for leading change' (Kotter, 1995 and 2012b), ensuring that the right people are involved, and that they attend properly to each step. They are also familiar with approaches based on systems theory. They can nurture small scale initiatives, growing and shaping them into wider, more effective and more far-reaching initiatives.

Finally effective change managers understand that some organization structures and cultures tend to restrict change, while others enable it. They know how to help build an agile organization, where change is embedded in the design of the organization as a continuous process of renewal (Kotter 2012b).

KNOWLEDGE

The knowledge expected of an effective Change Manager is:

1. How change initiatives vary, and require different approaches. Local and narrowly-defined changes need effective change management, as do corporate transformations; however, the strategy for the change and the effort applied must be tailored to the circumstances.

2. The different beliefs about organizations that leaders might hold based on engineering, sociological, ecological or other metaphors. How these may be used to inform thinking about a variety of change processes from simple IT systems implementations to fundamental cultural transformation (Morgan, 2006).

3. Organization culture, and its ability to support or inhibit the change process.

4. The way that Lewin's 'unfreeze–change–refreeze' model can be applied to a change process and the actions managers, leaders and change agents need to take at each stage to facilitate effective change.

5. One or more of the prescriptions for organizational change (so-called 'n-step' models) including the key people and roles at each stage, and the main business to be concluded at that stage.

6. How application of 'systems thinking' can help develop and embed sustainable change initiatives. This includes understanding the role of feedback systems and the concept of the 'learning organization'.

7. How the boundaries inherent in traditional hierarchical organization structures can inhibit change. How alternative and parallel structures can be used to enable change to happen more freely.

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Knowledge Component 1.4:
Key roles in organizational change

Sponsors, change agents and other key players

'There is nothing more difficult to take in hand, more perilous to conduct, or more uncertain in its success, than to take the lead in the introduction of a new order of things. The challenges of change are always hard. It is important that we begin to unpack those challenges that confront this nation and realize that we each have a role that requires us to change and become more responsible for shaping our own future.'
Niccolo Machiavelli, The Prince (1532)
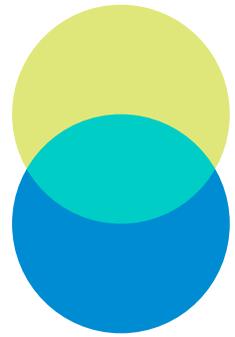
DEFINITION

How the roles of individuals and groups associated with a change initiative may be defined and fulfilled in order to maximise the probability of the initiative's success.

EXPLANATION

*NOTE: This section of the CMBoK is **not** about leadership as such. Leadership principles are addressed elsewhere (see sidebar). This section is about role clarity for all involved in successful change.*

There can be many triggers for change in an organization. These include business performance, external threats, market opportunities, customer requirements and many others. However, all change initiatives start with an idea that leads to a proposal for change. The source of the idea might be an individual or (sometimes) a group of people.

To gain traction in an organization the idea must be picked up by someone with the authority and drive to make something happen – a sponsor. There is substantial research to suggest that having appropriate and effective sponsorship may be the single most significant determinant of the success of a change initiative.

Senior and middle management, supervisors and people at all levels who are impacted by the change need to be involved appropriately for the change to be implemented and embedded. Effective Change Managers:

- Understand the distinctive contributions that these different individuals and groups make to successful change;

- Are able to articulate and clarify the main expectations of each;

- Know how to act themselves as agents for change; and

- Coach, enable and support others who need to perform this function at various levels of the organization – sometimes without formal authority or recognition.

KNOWLEDGE

The knowledge expected of an effective Change Manager is:

1. The key activities of leaders and contributors to change, who are:

   - Originators of proposals for change;
   - Senior sponsors of change;
   - Line managers and leaders at various levels;
   - People impacted by change; or
   - Others who support the change process (such as change agents).

2. The role of the sponsor in:

   - Maintaining a profile for the initiative and championing it in a consistent manner;
   - Obtaining the resources required;
   - Gaining the continuing commitment and involvement of senior and line management;
   - Aligning the organization's infrastructure, environment and reward systems with the initiative; and
   - Ensuring alignment of the particular initiative with other organization initiatives and with its wider strategic goals.

3. The role of the change agent. This includes aspects of both the role of the change manager and the roles of others who may act as change agents in support of the change. Change managers need:

   - A well-developed concept of what the role of the change agent is (and what it is not);
   - A clear model of the process associated with change agency or consulting, especially of contracting with those in formal leadership positions;
   - A practical understanding of organizational culture and how it is maintained;
   - Insights into sources of power in organizations, and how to achieve influence without authority; and
   - An applied understanding of how to coach colleagues.

4. The ways in which middle management can be engaged and become effective advocates for change within their areas. The ways in which they can become barriers to, or distorters of, effective communication.

5. The ways in which the variety of team structures found in organizations can be made more effective and can be used to support change.

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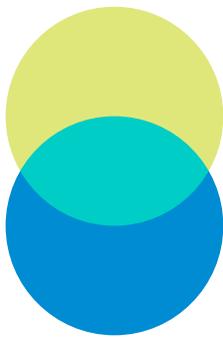
Knowledge Component 1.5: Organizational culture and change

How cultural factors affect the change process

'In today's business environment, significant transformation cannot happen without the simultaneous transformation of a critical mass of leaders' and employees' mindsets and behaviour. Conscious transformation means attending to the consciousness of the people in your organization, including your own.'
Beyond Change Management
Dean Anderson and Linda Ackerman Anderson

DEFINITION

Organizational culture is the unspoken, often unrecognized, system of beliefs and expectations that structures the way in which the people in the organization view what is appropriate, or even possible behaviour. Although more deeply-embedded than this suggests, culture has been described as 'the way we do things around here'.

EXPLANATION

Organizational culture does not arise by accident. It is the accumulation of (perfectly valid) organizational experience and belief about 'what works'. This creates a value system that can be strong. However, this deeply-embedded system of values and beliefs, established under one set of (necessarily past) circumstances, frequently comes into conflict with the requirements of the organization to adapt for the future.

Organizational agility (itself a cultural characteristic) results from careful attention to helping people to regard change as a positive and valuable thing. Inattention to developing such agility means that even simple, mechanistic changes of procedure can meet resistance that has its roots in a cultural lack of agility.

More complex changes are likely to include elements that touch not only on beliefs about change itself, but which conflict with particular beliefs in the organization about the way things 'should' be or the way they 'should not' be done, creating additional resistance. Effective change managers identify the cultural sensitivities that a particular change impacts on. They develop strategies for promoting change in both the specific cultural 'artefact' that is creating resistance and in the culture of the organization with regard to change more generally.

An awareness of culture, the insight to recognize its contribution to change readiness and resistance, and the understanding of strategies leaders can use to shape culture are all part of the personal toolkit of effective change managers.

KNOWLEDGE

The knowledge expected of an effective Change Manager is:

1. A clear definition of 'culture' in an organizational context.

2. A useful mental model that describes some of the key dimensions of culture (such as Hofstede, 2010; Trompenaars and Hampden-Turner, 2012).

3. The impact of organizational culture on different types of change and on the ease with which each can be implemented.

4. The role of organizational leadership in establishing, maintaining and changing culture, including the cultural 'levers' available to senior leaders.

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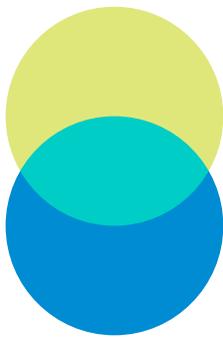Schein, E.H., 1985. *Organizational Culture and Leadership.* San Francisco, CA: Jossey-Bass.

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Knowledge Component 1.6:
Emergent change

Change that cannot be scheduled

'One way to find food for thought is to use the fork in the road, the bifurcation that marks the place of emergence in which a new line of development begins to branch off.'
William Irwin Thompson, Philosopher

DEFINITION

Emergent change occurs when a need for changed patterns of values and behaviour in the organization is identified, when the direction of such change is specified, and when organization leaders take coordinated action to stimulate, encourage and reinforce these new patterns.

EXPLANATION

While effective change requires focused and intentional effort by senior leaders, not all change can be scheduled and planned. Where the core of the change is to systems, structures, processes and practices, then planning and scheduling is possible. However, where that core change is in the discretionary decisions people make about their patterns of values and behaviours, no dates can be fixed in advance. People will engage with new patterns of behaviour individually and in their own time.

This does not mean that change managers and organization leaders are helpless. Careful thought can be given to the direction of change that is required, and to the indicators which will show that progress is being made. Leaders can be intentional about their own words, challenging existing paradigms and supporting new ones. They can be sure that their own actions model consistently the new expected behaviours. They can celebrate and mark milestones on the journey and remain open to new data that may lead to redefinition of the direction. Changes in values and behaviour are seldom linear or predictable.

Effective change managers help their senior colleagues and organization leaders to:

• Set appropriate direction

• Find relevant behavioural indicators

• Identify tipping points, and

• Create an environment supportive of the new values and behaviour.

In these ways they are able to support these complex processes.

KNOWLEDGE

The knowledge expected of an effective Change Manager is:

1. Categories of change that are likely to contain components of 'emergent change' and how to define those components.

2. Ways to define and describe the patterns of behaviour and values that will characterize the organization when the change has been successful.

3. Leadership strategies to achieve change in a world that is 'volatile, uncertain, complex and ambiguous' (VUCA).

4. How the concepts of critical mass, 'nudge' and 'tipping point' can be used to maintain momentum towards the desired and defined future state.

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