The Prosci® ADKAR® Model
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Change Management Practitioner
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Agenda for presentation

- Defining change management
- Individual change management
- Organizational change management
- Who is involved in managing change
- Change management and project management
- Explanation of the ADKAR elements
- Application of the ADKAR Model
- 10 steps to manage resistance
“Everyone thinks of changing the world, but no one thinks of changing himself.”

Leo Tolstoy
Change Activity

What are the changes you are facing at your organization?
Change management is:

*The process, tools and techniques to manage the people side of change to achieve the required business results.*
Prosci® PCT™ Model

- **Leadership / Sponsorship** provides guidance and governance

- **Project Management** gives structure to the technical side of the change

- **Change Management** supports the people side of the change

*All three elements must be present for project success*

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Leadership and sponsorship

- Leadership and sponsorship is the responsibility of executives and senior managers in the organization who authorize, fund and charter the top-down organizational changes that end up as projects or initiatives.

- They are primarily responsible for making decisions, providing direction, and demonstrating their own and the organization’s commitment to the particular change - whether it is a new product, an ERP system, a reorganization or any number of organizational changes.

- The role of 'sponsor of change' is not one that can be selected or assigned; it is tied to and dictated by the actual change that is being implemented.

- From an organizational perspective, leadership is key in establishing the strategy and direction. Effective changes are clearly aligned with the vision and strategy of the organization.

- From a project perspective, leadership must support both the project management side (the technical activities to manage the development of a solution) and the change management side (the specific activities to help manage the people side of change) of a project or initiative.

- Leaders play key roles in supporting both the other disciplines represented by the connections in the Prosci® Change Triangle™.
Project management

- Project management is the set of processes and tools applied to business problems or opportunities to develop and implement a solution.

- One of the key components is having a change defined – you must know what is changing (processes, systems, job roles, organizational structure, etc.) in order to manage that change effectively.

- Project management involves understanding the tradeoff between the time, cost and scope of change that can be achieved.

- Finally, project management is the application of the discipline called 'project management' that is a structured approach for managing tasks, resources, and budget in order to achieve a defined deliverable. Successful changes apply project management tools and processes to their initiatives.
Change management

• Change management is the application of a set of processes, tools and practices that are used to manage the *people side* of a change. Change management is the bridge between “implementing a solution” and an organization ultimately realizing the benefits associated with the change.

• Change management requires two perspectives – an *individual* perspective (how people experience change) and an *organizational* perspective (how groups can be managed through a change).

• Change management is the process of helping employees transition from the *current state* to the *future state* (as defined by the change) in a way that minimizes productivity loss, negative customer impact and employee turnover, while at the same time maximizes the speed of adoption and ultimate utilization of the change throughout the organization.

• Tools like communication, sponsorship and coaching are used to help employees make their own individual transition.

• Business results are only achieved when employees are *involved* and *participating* in the change. Change management is the final element of realizing change effectively.

Prosci® PCT™ Model
Organizational change can be represented as three states of change

**States of change**

- **Current State**: How things are done today
- **Transition State**: How to move from current to future
- **Future State**: How things will be done tomorrow
In reality, each impacted employee has his or her own current and future state.

**Organization**

<table>
<thead>
<tr>
<th>Current State</th>
<th>Transition State</th>
<th>Future State</th>
</tr>
</thead>
<tbody>
<tr>
<td>How I do my job today</td>
<td></td>
<td>How I will do my job after the change is implemented</td>
</tr>
</tbody>
</table>

**Individual**

<table>
<thead>
<tr>
<th>Current State</th>
<th>Transition State</th>
<th>Future State</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
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</tbody>
</table>

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The organization’s future state is actually the collection of many individual future states.

- Documented and Managed Processes
- New Operating Model
- Specialists in the Call Center
- Supplier Website Integrated into Supply Chain
- Merged Organization
The focus of change management is helping individuals make their transition.

Change management drives project success by supporting individual transitions required by organizational projects and initiatives.

Individuals:
- Andy
- Becky
- Charlie
- Debbie
There are consequences of not managing the people side of change

• Lower productivity
• Passive resistance
• Active resistance
• Turnover of valued employees
• Disinterest in the current or future state
• Arguing about the need for change
• More people taking sick days or not showing up
• Changes not fully implemented
• People finding work-arounds
• People revert to the old way of doing things
• The change being totally scrapped
• Divides are created between ‘us’ and ‘them’
Primary Reasons for Applying Change Management

- **Increase** probability of project success
- **Capture** people-dependent ROI
- **Manage** employee resistance to change
- **Build** change competency into the organization
Change management perspectives

• Individual perspective
  – Understanding how one person makes a change successfully

• Organizational perspective
  – The tools that project teams and managers have to support the ‘people side’ of change
Managing individual change with ADKAR®

• ADKAR® describes the key building blocks for successful change
  – Personal or professional

• Success with change requires all elements of the ADKAR® Model to be present

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The Five Building Blocks for Successful Change

ADKAR and “Awareness Desire Knowledge Ability Reinforcement” are a registered trademarks of Prosci, Inc. All rights reserved.
ADKAR® forms the foundation of successful organizational change

- Ultimately, for a project or initiative to be successful, individuals in the organization have to do their jobs differently
- ADKAR provides a framework for understanding how individuals change
- Managers and project teams can use ADKAR to:
  - Guide organizational change management plans
  - Diagnose gaps and root causes of resistance
  - Develop corrective actions
Prosci’s organizational change management process

- A structured process for managing the ‘people side’ of change on a project or initiative
  - Research-based
  - Holistic
  - Easy-to-apply
  - Scalable
Phase 1 - Preparing for Change

**Main Activities:**
- Conduct readiness assessments
- Perform risk analysis
- Anticipate resistance areas
- Design special tactics
- Develop overall strategy
- Architect team structure
- Prepare your team
- Assess sponsorship

**Why?** To develop a customized and scaled approach with the necessary sponsorship and team structure.

**Phase 1 – Preparing for Change**

Define your change management strategy

Prepare your change management team

Develop your sponsorship model
Phase 2 - Managing Change

Why? To create and implement plans that will move the organization and individuals through change.

Main Activities:

- Create plans for
  - Communications
  - Sponsorship
  - Coaching
  - Training
  - Resistance management
- Integrate into project plan
- Execute plans

Phase 2 – Managing Change

Develop change management plans

Take action and implement plans
Phase 3 - Reinforcing Change

Why? To ensure that the change is adopted and sustained.

Main Activities:

- Proactively collect feedback and listen to employees
- Audit compliance with the “new way of doing things”
- Identify gaps and areas of resistance
- Implement corrective action
- Celebrate successes
- Move to “new” business as usual

Phase 3 – Reinforcing Change

Collect and analyze feedback

Diagnose gaps and manage resistance

Implement corrective actions and celebrate successes
Understanding the Why

**Change Management Activities**
- Communications
- Sponsor Roadmap
- Coaching
- Resistance Management
- Training

**Individual Outcomes**
- Awareness
- Desire
- Knowledge
- Ability
- Reinforcement®
Who is involved in managing change

- The change management resource on a project plays the role of enabler
  - The conductor of the orchestra
  - The director of the play

- Effective change management requires involvement and action by many in the organization

- Executives and senior managers
- Middle managers and supervisors
- Change management resource/team
- Project team
- Employees
Senior leaders

• Why is this group important?
  – Active and visible sponsorship is identified as the top contributor to overall project success in Prosci’s five benchmarking studies
  – Senior leaders are one of two preferred senders of messages about change

• What is this group’s role?
  – Participate actively and visibly throughout the project
  – Build the needed coalition of sponsorship with peers and other managers
  – Communicate the business messages about the change effectively with employees
• Why is this group important?
  - The project team designs and develops the ‘change’ – they are the ones who introduce new processes, systems, tools, job roles and responsibilities
  - This group provides much of the specific information about the change to the other ‘gears’

• What is this group’s role?
  - Provide timely, accurate and succinct information about the change (or project)
  - Integrate change management activities into project management plans and activities
Employees

• Why is this group important?
  – Employees will ultimately make changes to how they do their day-to-day work
  – Their acceptance and use of the solution determines the success of the project and the ongoing benefit derived from the change

• What is this group’s role?
  – Seek out information related to the business reasons for change and the personal impact of the change
  – Provide feedback and reaction to the change and the change management efforts
  – Take control of the personal transition (using an individual change management model like ADKAR)
Managers & supervisors

• Why is this group important?
  - Managers and supervisors are the other preferred sender of messages about change
  - This group has a unique and well-developed relationship with the employees being impacted by the change

• What is this group’s role?
  - Communicate the personal messages about the change with their direct reports
  - Conduct group and individual coaching sessions
  - Identify, analyze and manage resistance
  - Provide feedback to the rest of the change management ‘gears’
Change management is like project management

- However, it is the ‘people side’ of change

- Both aim to deliver value to the business by supporting initiatives and projects
Successful change requires both the technical and people sides.
Comparing Change Management and Project Management

**Focus:**

**Technical side** of moving from current state to future state

**Focus:**

**People side** of moving from current state to future state

**Project Management**

**Process:**
- Initiation
- Planning
- Executing
- Monitoring/controlling
- Closing

**Tools:**
- Statement of work
- Project charter
- Business case
- Work breakdown structure
- Budget estimations
- Resource allocation
- Schedule
- Tracking

**Change Management**

**Process:**
- Organizational:
  - Preparing for change
  - Managing change
  - Reinforcing change™

**Tools:**
- Individual change model
- Readiness assessment
- Communication plans
- Sponsor roadmaps
- Coaching plans
- Training plans
- Resistance management
- Reinforcement

**Focus:**

**Current state**

**Transition state**

**Future state**
The right amount

• How much *project management* is needed?
  - Depends on the complexity and degree of change to processes, systems, organization structure and job roles

• How much *change management* is needed?
  - Depends on the amount of disruption created in individual employees’ day-to-day work and the organization attributes like culture, value system and history with past changes
Integrating change management and project management activities

• Project management and change management activities are most effective when they are integrated.

• Unfortunately, in many instances change management is an add-on after the project has experienced obstacles.
Entry Point Scenarios

Project Management Steps

- Problem or Opportunity
- Planning
- Design
- Development
- Implementation
Entry Point Scenarios

Change Management Process

- Assessments
- Team and Sponsors
- Communications
- Coaching and Feedback
- Resistance Management
Entry Point Scenarios

Project Management Steps

Change Management Process
Entry Point Scenarios

Project Management Steps

Change Management Process
“Organizations don’t change – people within organizations change.”

- New strategy
- Focus on the customer
- New marketing approach
- Online HR benefits system
- New ERP
- Updated IT systems
- New product
- Mergers and acquisitions
- Productivity improvement initiative

Any business change requires individuals to do their jobs differently to be successful.
Individual perspective

From page 1 of the ADKAR book*:

The secret to successful change lies beyond the visible and busy activities that surround change. Successful change, at its core, is rooted in something much simpler: **How to facilitate change with one person.**

You cannot manage change at an organizational level until you know how to manage change with a single individual.

* ADKAR: A model for change in business, government and our community by Jeff Hiatt
Prosci® ADKAR® Model

5 Elements
ADKAR represents the five elements of change that must be achieved for the change to be a success.

Change Patterns
ADKAR was developed by Prosci after studying the change patterns of more than 700 organizations.

Individual and Organizational Levels
ADKAR is an effective tool for managing change at an individual level and guides activities at an organizational level.
The Five Building Blocks for Successful Change

- **Awareness (A)**
- **Desire (D)**
- **Knowledge (K)**
- **Ability (A)**
- **Reinforcement® (R)**

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The Five Building Blocks for Successful Change

Change Begins with Understanding Why

Awareness

What is the nature of the change?

Why is the change needed?

What is the risk of not changing?
The Five Building Blocks for Successful Change

Change Involves Personal Decisions

Desire

What’s in it for me (WIIFM)?

A personal choice

A decision to engage and participate
The Five Building Blocks for Successful Change

Change Requires Knowing How

Knowledge

Understanding how to change

Training on new processes and tools

Learning new skills
The Five Building Blocks for Successful Change

Change Requires Action in the Right Direction

**Ability**

The *demonstrated capability* to implement the change

Achievement of the desired change in *performance or behavior*
The Five Building Blocks for Successful Change

Change Must Be Reinforced to Be Sustained

Actions that *increase the likelihood* that a change will be continued

Recognition and rewards that sustain the change
Without Awareness and Desire you will see:

- Employees asking the same questions over and over
- Lower productivity & higher turnover
- Hoarding of resources and information
- Delays in implementation

Without Knowledge and Ability you will see:

- Lower utilization or incorrect usage of new systems
- Employees worry whether they can be successful in the future
- Greater impact on customers and partners
- Sustained reduction in productivity

Without Reinforcement you will see:

- Employees revert back to old ways of doing work
- Ultimate utilization is less than anticipated
- The organization creates a history of poorly managed change
ADKAR describes the key building blocks for successful change – personal or professional.

Success with change requires all elements of the ADKAR model to be present.
ADKAR® Defines Success: For One Person or Organization-Wide Changes

Change with one person

Or five people...

Or twenty people...

Or 1000 people...
ADKAR applications

- Change management planning
- Diagnosing gaps
- Developing corrective actions
## Individual Change Management Outcomes

<table>
<thead>
<tr>
<th>When you create:</th>
<th>You hear:</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Awareness</strong></td>
<td>“I understand why...”</td>
</tr>
<tr>
<td><strong>Desire</strong></td>
<td>“I have decided to...”</td>
</tr>
<tr>
<td><strong>Knowledge</strong></td>
<td>“I know how to...”</td>
</tr>
<tr>
<td><strong>Ability</strong></td>
<td>“I am able to...”</td>
</tr>
<tr>
<td><strong>Reinforcement</strong></td>
<td>“I will continue to...”</td>
</tr>
</tbody>
</table>
Using ADKAR for change management planning

- Organizational change is successful when:
  - Everyone who is impacted by the change has the five ADKAR building blocks

- The goal is to build A, D, K, A and R
Organizational change management

- Five **levers** for organizational change management
  - Communication
  - Sponsorship
  - Coaching
  - Training
  - Resistance management

- Using the **right** tools, you can move the organization through ADKAR
  - You *can’t* train desire
  - You *can’t* communicate ability
Why are these activities for managing change important?
Mapping ADKAR to change management tools

Change Management Activities

- Communications
- Sponsor Roadmap
- Coaching
- Resistance Management
- Training

Individual Outcomes

- Awareness
- Desire
- Knowledge
- Ability
- Reinforcement®
Diagnosing gaps with ADKAR

• ADKAR describes the building blocks and sequence for successful change

• When changes are failing, ADKAR can be used to identify which element is the root cause for the change not being successful
ADKAR assessments

- Work with employees to assess their level of Awareness, Desire, Knowledge, etc.
- ADKAR worksheets
  - Personal change
  - Business change
  - Strategy change
ADKAR assessment (simplified)

<table>
<thead>
<tr>
<th>Element</th>
<th>Rank (1 – 5)</th>
</tr>
</thead>
<tbody>
<tr>
<td>Awareness</td>
<td>____________</td>
</tr>
<tr>
<td>Desire</td>
<td>____________</td>
</tr>
<tr>
<td>Knowledge</td>
<td>____________</td>
</tr>
<tr>
<td>Ability</td>
<td>____________</td>
</tr>
<tr>
<td>Reinforcement</td>
<td>____________</td>
</tr>
</tbody>
</table>
• The results of the ADKAR assessment can be shown in a bar graph
• The first element scoring below a ‘3’ is where corrective actions should be focused – this is the barrier point
Example ADKAR profiles

![ADKAR Profiles](image-url)
Developing corrective actions with ADKAR

- The ADKAR model helps to identify the barrier point — the root cause of why the change is not taking place.
# Developing corrective actions with ADKAR

<table>
<thead>
<tr>
<th>If the gap is:</th>
<th>Corrective actions:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Awareness</td>
<td>Communications by senior leaders about the business reasons for change (why, risk of not changing, drivers of change); Face-to-face communications with immediate supervisors about how the change impacts them directly</td>
</tr>
<tr>
<td>Desire</td>
<td>Immediate supervisors use Prosci’s top-10 steps for managing resistance; Look for pockets of resistance and identify the root cause</td>
</tr>
<tr>
<td>Knowledge</td>
<td>Training on how to change and the skills needed after the change; Involvement of training and HR groups to develop requirements</td>
</tr>
<tr>
<td>Ability</td>
<td>On-the-job training and job aides to support the new behaviors; Coaching by supervisors; User communities; Troubleshooting</td>
</tr>
<tr>
<td>Reinforcement</td>
<td>Messages by senior leaders that the change is here to last; Individual coaching sessions to identity gaps</td>
</tr>
</tbody>
</table>
Connecting ADKAR and the current, transition and future states

Current State

A

D

Transition State

K

A

Future State

R
Not Everyone Changes at the Same Pace

Awareness  Desire  Knowledge  Ability  Reinforcement

Person A
Person B
Person C
Person D
Person E
Person F
Person G
Person H
Person I
Resistance to Change is normal. We should anticipate it. This is the D (Desire) Component.

Following are 10 steps to manage resistance to change.
Top Ten Steps for Managing Resistance

1. Listen and Understand Objections

A critical step any manager should take when creating desire to change is to listen.

In many cases employees simply want to be heard and to voice their objections.

Understanding these objections can often provide a clear path toward resolution.

Listening can also help managers identify misunderstandings about the change.
Top Ten Steps for Managing Resistance

2. Focus on the ‘What’ and Let Go of the ‘How’

For some types of changes, it is effective for managers to let go of the ‘how’ and simply communicate ‘what needs to change’ (focus on outcomes).

This process transfers ownership of the solution to employees.

Employee involvement and ownership naturally builds desire to support the change.
Top Ten Steps for Managing Resistance

3

Remove Barriers

Barriers may relate to **family, personal issues, physical limitations or money.**

**Fully understand** the individual situation with this employee. What may appear to be resistance or objections to the change may be disguised barriers that the employee cannot see past.

**Identify** the barriers clearly.

**Determine** ways that the business may be able to address these barriers.
Top Ten Steps for Managing Resistance

4

Provide Simple, Clear Choices and Consequences

Building desire is ultimately about choice.

Managers can facilitate this process by being clear about the choices employees have during change.

Communicate in simple and clear terms what the choices and consequences are for each employee.

By providing simple and clear choices along with the consequences of those choices, you can put the ownership and control back into the hands of employees.
Many people will respond to the opportunity for a better future.

Managers can create desire to change by sharing their passion for change, and by creating excitement and enthusiasm.

People will follow a leader that can create hope and whom they respect and trust.
Top Ten Steps for Managing Resistance

For some employees seeing is believing. Demonstrate the benefits of change in a real and tangible way:

- **Share** case studies
- **Invite** guests to provide personal testimonials
- Visibly **demonstrate** the success of pilot programs or trials
Top Ten Steps for Managing Resistance

7 Make a Personal Appeal

A personal appeal works best with honest, open relationships where there is a high degree of trust and respect.

A personal appeal may sound like:

- "I believe in this change."
- "It is important to me."
- "I would like your support."
- "You would be helping me by making this change work."
Top Ten Steps for Managing Resistance

8

Convert the Strongest Dissenters

Managers can use **special interventions** to convert strong and vocal dissenters.

The strongest dissenters can become your **strongest advocates**.

They are often **equally vocal** in their support as they were in their resistance.
Top Ten Steps for Managing Resistance

9 Demonstrate Consequences

Often removing a key manager who is demonstrating resistance to change sends a powerful signal to the organization as a whole.

The message is:
- They are serious about this change.
- Resistance will not be tolerated.
- The consequences for not moving ahead with the organization are real and severe.

Use with caution and with involvement of HR and legal.
Top Ten Steps for Managing Resistance

10 Provide Incentives

- Offer a promotion to a position they desire.
- Use with mid-level or senior managers who are critical to the success of the change:
  - Increase their compensation or create a bonus program such that they are directly rewarded for the successful completion of the change.
Conclusions

• Change management focuses on the ‘people side’ of organizational change

• Change management involves both an individual and an organizational perspective

• Change management requires action and involvement by leaders and managers throughout the organization

• Change management and project management are both tools that support project benefit realization – project management is the ‘technical’ side and change management is the ‘people’ side

• Change management is most effective when it is launched at the beginning of a project and integrated into the project activities

• 5 Elements of ADKAR include: awareness, desire, knowledge, ability and reinforcement.

• ADKAR describes the building blocks and sequence for successful change

• There are 10 steps for managing resistance to change – this is the Desire component of ADKAR
“Nothing so undermines organizational change as the failure to think through the losses people face”
- William Bridges
Please don’t forget to complete your feedback form. Thank you.

If you want to be trained or learn more about the Prosci Framework, contact Jeremy Carson at 1-970-203-9332 or via email @ jcarson@Prosci.com

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