

ADKAR® Model Mastery
Level 2



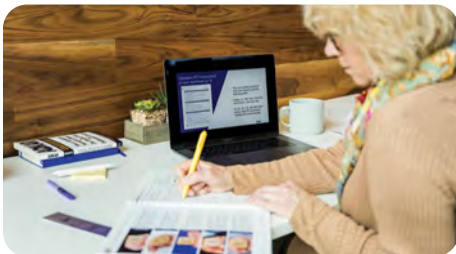
Resolve Change Barriers

Resolve Persistent Barriers to Change With the ADKAR Model



Apply the ADKAR Model to Resolve Barriers

Reactively apply the ADKAR Model to address unavoidable resistance and resolve barriers to change.



Track ADKAR Outcomes

Conduct ADKAR Assessments to monitor the progress of individual and group transitions required to achieve ADKAR outcomes.



Analyze ADKAR Assessments

Identify the presence of persistent barrier points, and assess the associated risk to achieving ADKAR outcomes.



Resolve Persistent Barrier Points

Promote mindsets to effectively anticipate resistance, and implement adaptive actions to resolve persistent barrier points.

How to Use This Workbook

This workbook is designed to support your achievement of the learning objectives for the program. The content includes:

- Program learning objectives and agenda
- Selected content from the program slides
- Activity instructions with space to document your insights and key learnings
- Hyperlinks to related content and resources

We encourage you to use the workbook to document your insights and key learnings. The workbook also supports the completion of group activities by explaining the steps that comprise each activity and providing fillable fields to document your responses. Documenting your group's responses in the workbook will enable you to more effectively share your work with the other groups.

Notes

Agenda

Welcome and Connection

Review ADKAR
Model Mastery Level 1

Track ADKAR Outcomes

Conduct ADKAR Assessments

Analyze ADKAR
Assessment Results

Extended Break

Understand, Anticipate
and Address Resistance

Adapt Actions to Resolve
Barriers to Change

Roles to Resolve
Barriers to Change

Next Steps and Close

Welcome and Connection



Introductions



Expectations



Ground Rules



Resources

Resources



Workbook



Research Hub

[Applications of ADKAR](#)

[Managing Resistance to Change](#)



Knowledge Hub

[Applying the ADKAR Model](#)

Prosci Hub Solution Suite



Prosci Portal
portal.prosci.com

Review ADKAR Model Mastery Level 1



Apply the ADKAR Model to Prevent Resistance

Proactively apply the ADKAR Model to prevent avoidable resistance and build readiness for change.



Build an ADKAR Blueprint

Apply proven practices and anticipate root causes of barrier points to build an ADKAR Blueprint to achieve ADKAR outcomes.



Engage and Involve Key Stakeholders

Select and apply an effective approach to engage key stakeholders in building an ADKAR Blueprint.



Activate Change Leaders

Activate sponsors and people managers to fulfill their change roles and implement the ADKAR Blueprint.

ADKAR Element Summary

Summary of the what, who, how and when to build strength in each ADKAR element.

Proven Practices

Defines proven practices and activities for building the strength of each ADKAR element.

Common Root Causes of Barrier Points

Identifies the common root causes of ADKAR barrier points and activities to address.

The ADKAR Model Body of Knowledge is not prescriptive or exhaustive.



Knowledge Hub

Refer to the [ADKAR Model Body of Knowledge](#).

How Are You Applying the ADKAR Model to Prevent Resistance?

1. In pairs, share how you are applying the ADKAR Model to prevent resistance and build readiness for change.
2. Compare your experience:
 - What works well?
 - What challenges have you encountered?
3. Debrief with the large group: Share a success or a challenge.

What works well?



What challenges have you encountered?



Build Readiness for Change

Prepare people to adopt a change by implementing an ADKAR Blueprint to guide change activities.



Prevent Barriers to Change

Anticipate barriers to change and add actions in your ADKAR Blueprint to prevent resistance.

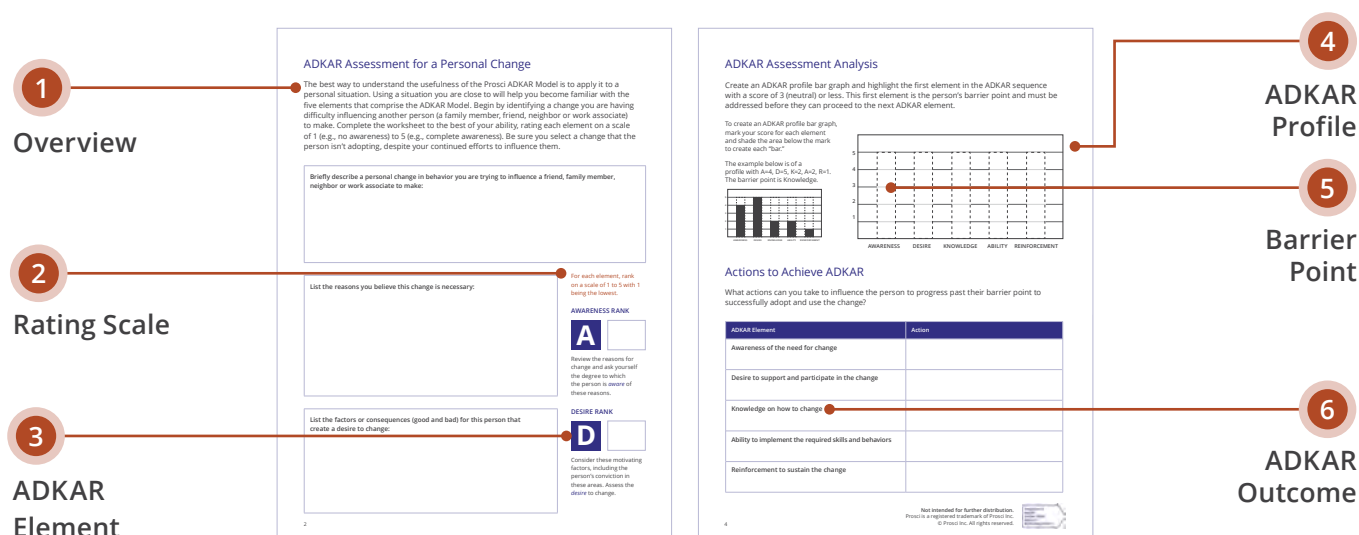


Resolve Barriers to Change

Resolve barriers to change by adding adaptive actions to your ADKAR Blueprint to address the root causes.

Track ADKAR Outcomes

ADKAR Assessments



Your Approach to Conducting ADKAR Assessments

Formal ADKAR Assessments

Assessing ADKAR transitions and diagnosing barrier points by conducting and analyzing an ADKAR Assessment.

E.g., practitioner interviews an impacted individual to determine their ADKAR profile.

Informal ADKAR Assessments

Estimating ADKAR transitions and gauging barrier points through observation or indirect information.

E.g., people manager estimates the ADKAR profile for their team.



Knowledge Hub

Review the [Track ADKAR Outcomes](#) section for guidance and resources.

Gain Commitment to Conduct Formal ADKAR Assessments

1. In your group, discuss:
 - What challenges do you face in gaining commitment to conduct formal ADKAR Assessments?
 - How do you overcome those challenges?
2. Document and share your insights with the large group.

What challenges do you face in gaining commitment to conduct formal ADKAR Assessments?

How do you overcome those challenges?

Tips to Influence Commitment

- Conduct ADKAR Assessments with a limited group.
- Conduct ADKAR Assessments focused on specific ADKAR elements.
- Complete ADKAR Assessments on your own and share the results with others to influence commitment.
- Complete ADKAR Assessments on your own to guide your work.
- Use the ADKAR Model to educate and reflect on change readiness.
- Use the ADKAR Assessment to diagnose a stuck change.
- Use the ADKAR Assessment retrospectively to identify lessons learned.

Conduct ADKAR Assessments

ADKAR Assessment Planning Checklist

- ☐ When in the project lifecycle will you conduct the ADKAR Assessment?
- ☐ Which ADKAR element(s) are you assessing?
- ☐ Who will complete the ADKAR Assessment?
- ☐ What approach will you use to conduct the ADKAR Assessment?
- ☐ How will you adapt your approach if you are using customized ADKAR outcome statements?
- ☐ How will you determine and address the need for confidentiality?

Notes



Knowledge Hub

Review the [Conduct ADKAR Assessments](#) section for guidance and resources.

Which ADKAR Element(s) Are You Assessing?



Check for Awareness After Communicating

It's important to establish Awareness early in the project lifecycle, as the primary reason that employees resist change is lack of Awareness of why the change is needed.



Check for Awareness and Desire Before Training

If employees lack Awareness and/or Desire for a change, they will not be receptive to training.



Check for Awareness, Desire, Knowledge and Ability Prior to Implementation

Knowledge and Ability ensure adoption and proficiency in the use of the change.



Check for Awareness, Desire, Knowledge, Ability and Reinforcement After Implementation

Reinforcement enables the results of the change to be sustained over time.

Factors to Consider When Deciding Who Should Complete an ADKAR Assessment

- How much time or capacity do you have to manage the change?
- Are there any restrictions on who can participate?
- Who has sufficient information to participate?
- Which impacted groups are critical to the success of the change?
- Which impacted groups represent the highest risk to the success of the change?
- How many people should you include?



3 Primary Approaches to Conduct ADKAR Assessments

Individual Interviews	Facilitated Group Sessions	Surveys
Change practitioner conducts individual interviews with members of the representative group.	Change practitioner leads a guided conversation with a group of participants for 30-60 minutes.	Change practitioner sets up a survey for respondents to complete and return.

Resources to Conduct ADKAR Assessments

ADKAR Assessment Interview Guide	ADKAR Assessment Group Activity (30 minutes)	ADKAR Assessment Survey Guide
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Best used when | Benefits of approach | Drawbacks of approach

Additional resources to document ADKAR Assessment scores



ADKAR Assessment Fillable and Printable



ADKAR Assessment Workbook



Proxima/Proxima Offline

Review Resources for Conducting ADKAR Assessments

1. Choose a resource you would like to review.
2. Individually, read the guidance for your resource in the Knowledge Hub.
3. Download and review your resource.
4. In your group, discuss and document:
 - How might you use the resource?
 - What obstacles do you anticipate?
 - How would you overcome the obstacles?
5. Share your insights with the large group.

Group	Resource	Guidance
1	ADKAR Assessment Interview Guide	Review resource
2	ADKAR Assessment Group Activity	Review resource
3	ADKAR Assessment Survey Guide	Review resource

Which resource did you review?

How might you **use** the resource?

What **obstacles** do you anticipate?

How would you **overcome** the obstacles?

Minimum Identifiable Respondent Information

1. Direct People Manager
2. Business or Functional Group
3. Impacted Group Name / Team Name
4. Role
5. Role Type (Full-time, Part-time, Shift-worker, Casual)

Notes

Analyze ADKAR Assessment Results

Calculations for Analyzing ADKAR Assessments

Average Score
for each
ADKAR Element

Score Distribution
for each
ADKAR Element

Frequency and
Range of
Barrier Points

Examples | Benefits | Limitations

Notes



Knowledge Hub

Review the [Analyze ADKAR Outcomes](#) section for guidance on calculations for reviewing ADKAR Assessment survey results.

Scenario:

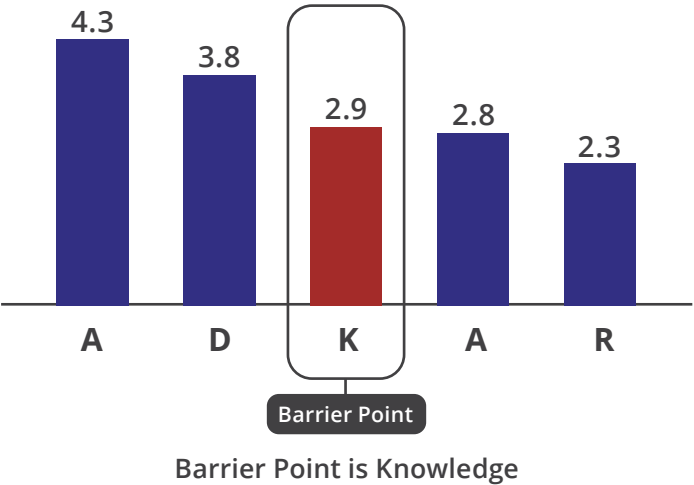
Analyze ADKAR Assessment Results

You are helping a people manager to analyze ADKAR Assessment results for their team to determine actions to identify and resolve barriers to change.

Team ADKAR Assessment Scores: 24 Members

	A	D	K	A	R
Respondent 1	1	1	1	1	1
2	5	5	5	5	4
3	5	5	4	4	3
4	4	2	2	2	1
5	5	4	3	3	3
6	4	4	2	2	2
7	1	1	1	1	1
8	2	2	1	1	1
9	5	5	3	3	2
10	5	5	5	5	4
11	4	4	3	2	2
12	5	4	3	3	2
13	5	5	4	4	3
14	4	3	2	2	1
15	5	4	3	3	3
16	5	4	3	3	2
17	4	4	2	2	2
18	5	4	3	3	3
19	5	5	4	3	3
20	5	5	4	4	3
21	5	5	4	3	3
22	5	4	3	3	2
23	5	5	3	3	2
24	3	2	2	2	1

Average Score for Each ADKAR Element



Questions Answered:

- 1. What is the average score of all individual responses for each of the five ADKAR elements?
- 2. Is there a barrier point and if so, for which ADKAR element?

Notes

Score Distribution for Each ADKAR Element

5	15 (63%)	9 (38%)	2 (8%)	2 (8%)	0 (0%)
4	5 (21%)	9 (38%)	5 (21%)	3 (13%)	2 (8%)
3	1 (4%)	1 (4%)	9 (38%)	10 (42%)	8 (33%)
2	1 (4%)	3 (13%)	5 (21%)	6 (25%)	8 (33%)
1	2 (8%)	2 (8%)	3 (13%)	3 (13%)	6 (25%)
	A	D	K	A	R

Questions Answered:

- 1. What is the variability or spread of ADKAR Assessment scores for each ADKAR element?
E.g., Do team members have the same level of Awareness or are they at different levels?
- 2. How has the distribution changed since the last ADKAR Assessment survey?

Notes

Frequency and Range of Barrier Points

Barrier Point Distribution						
Percentage of Individuals	17%	8%	46%	8%	13%	8%
Number of Individuals	4	2	11	2	3	2
	A	D	K	A	R	No Barrier

- Five different barrier points across the team
- Most frequent barrier point is Knowledge
- 8% of team members have no ADKAR barrier points

Questions Answered:

1. What is the relative frequency of team members with a specific ADKAR barrier point?
2. Do most team members have the same barrier point or are they different?
3. Which ADKAR element is the most frequent barrier point?
4. What percentage of team members have no ADKAR barrier point?

Notes

Types of Barrier Points

Progressive	Persistent	Regressive
A barrier point moves from one ADKAR element to the next in sequence over successive ADKAR Assessments.	A barrier point for a specific ADKAR element does not shift over repeated ADKAR Assessments.	A barrier point moves backward in sequence between successive ADKAR Assessments.

Implications | Risk | Approach

A barrier point can be isolated or pervasive.

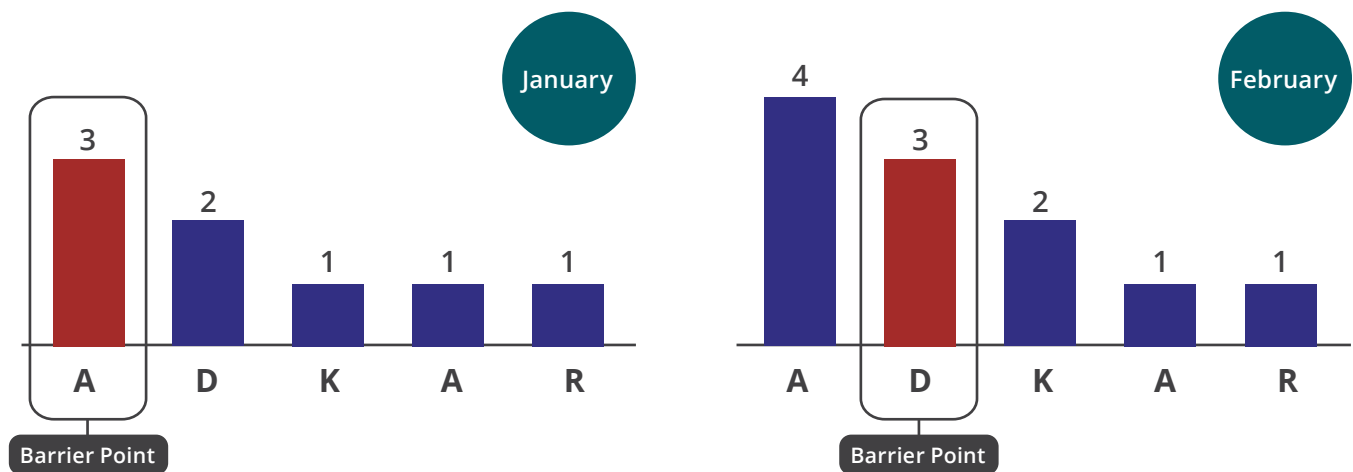
Isolated

Impacting one person or a small number of people relative to the size of the group.

Pervasive

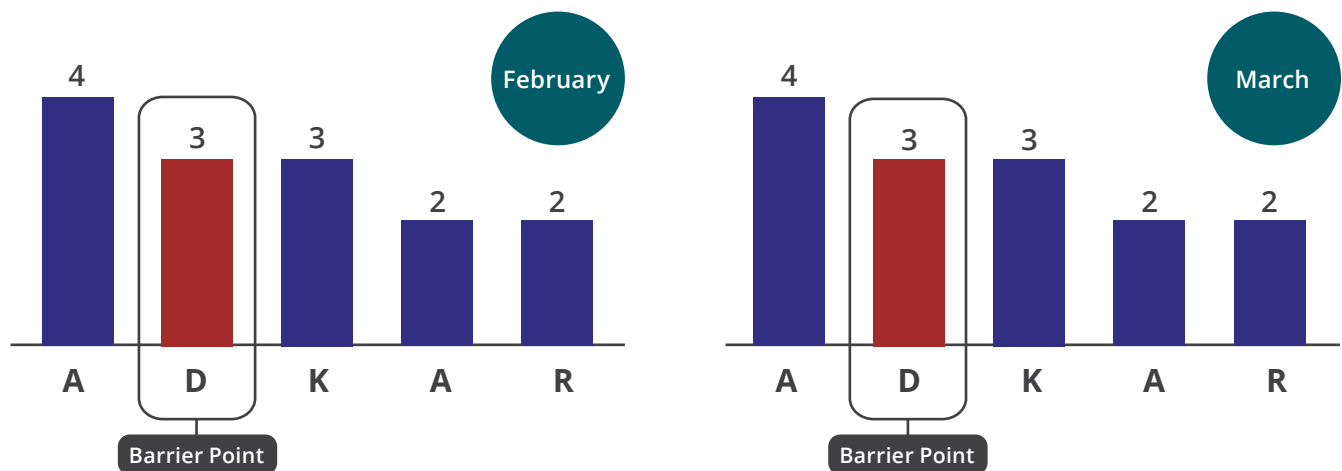
Impacting a large number of people or an entire group.

Progressive Barrier Point



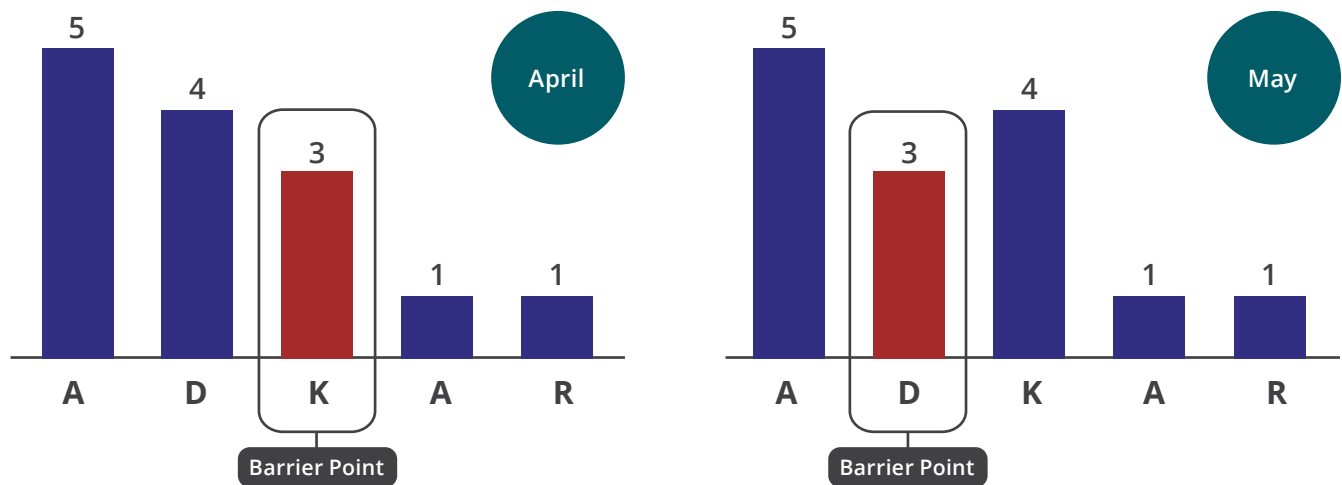
A barrier point moving from Awareness to Desire is evidence of individual transition. Continue to build readiness for change.

Persistent Barrier Point



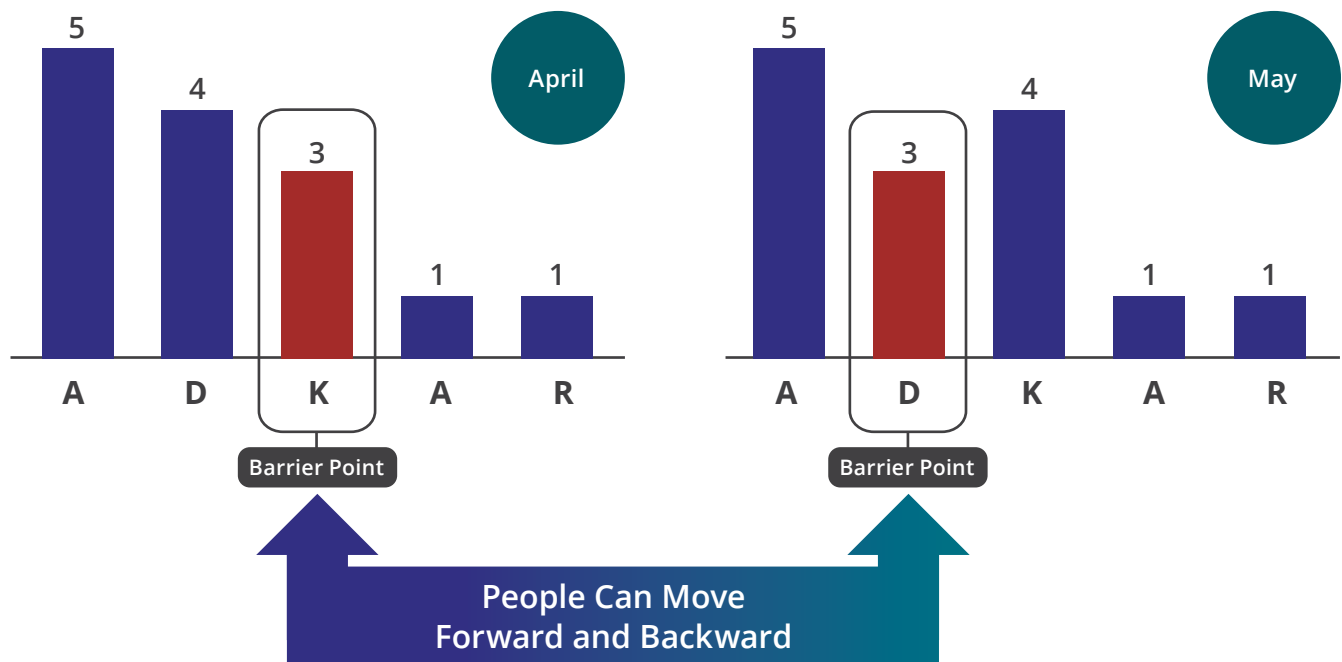
A barrier point at Desire is not progressing. Adapt actions to resolve root cause(s) of the barrier point at Desire.

Regressive Barrier Point



A barrier point moves backward from Knowledge to Desire. Determine why the barrier point regressed from Knowledge to Desire. Adapt actions based on findings.

The ADKAR Model Is Sequential but Not Always Linear



1

After early campaigns, employees score high on Awareness and Desire.

2

Employees attend training and learn more about what the change means to them.

3

After gaining Knowledge, employees have slipped back to a barrier point at Desire.

What is the Level of Risk to the Achievement of ADKAR Outcomes?



Barrier Point Types

- A. Progressive and Pervasive
- B. Persistent and Isolated
- C. Persistent and Pervasive
- D. Regressive and Isolated
- E. Regressive and Pervasive

Notes



Knowledge Hub

Review the [Types of Barrier Points](#) section for additional guidance.

Understand, Anticipate and Address Resistance

Challenge the Belief That Only Negative Changes Encounter Resistance

Resistance to change is a deeply rooted process that happens at both an unconscious and conscious level.



What Factors Influence How People React to Change?

- The degree of impact of the change on an individual's daily work such as loss of status
- Personal factors, including finances, age, health, mobility and family situation
- The amount of change they are already dealing with and how much more they absorb before they become overwhelmed
- The credibility and trustworthiness of the people leading the change
- The alignment of the change with organizational and individual value systems
- The organization's history of handling change

Notes

Prosci Asked: “What Types of Resistance Do You Experience?”

Disengaged

81%

quiet, indifference, apathy, low morale, ignoring communications

Negativity

79%

miscommunication, objections, complaining, sarcasm, rumors/gossip, focus on problems

Avoidance

75%

ignore the change, workarounds, revert to old behaviors, abdicate responsibilities

Emotional

73%

fear, loss, sadness, anger, anxiety, frustration, depression, focus on self

Work Impact

54%

reduced productivity/efficiency, noncompliance, absenteeism, mistakes, poor quality

Controlling

53%

asking lots of questions, influencing outcomes, defending current state, using status

Building Barriers

52%

excuses, counter-approaches, recruit dissenters, secrecy, breakdown in trust

Acting Out

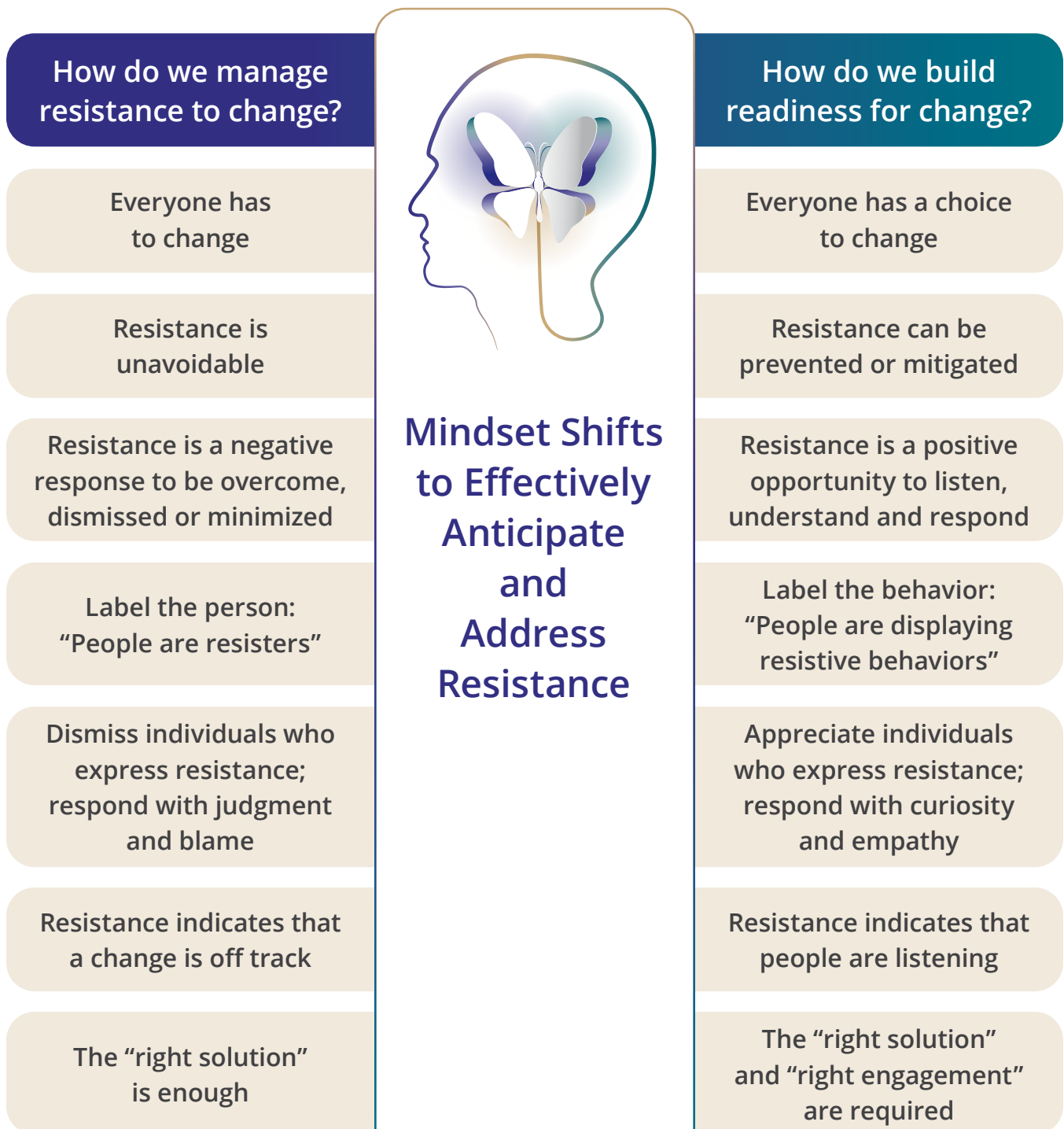
42%

conflict, overbearing, arguments, passive-aggressive, sabotage, aggressive, celebrate failure

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Do these words reveal a mindset about resistance?

Our Mindset About Resistance Can Greatly Influence Change Success



Promote Mindsets to Effectively Anticipate and Address Resistance



Shift the Resistance Mindset of Change Leaders in Your Organization

1. Individually, reflect on:
 - Which existing mindsets about resistance limit the effectiveness of change leaders in your organization?
 - How could you influence the mindset shifts required to improve your change leaders' ability to understand, anticipate and address resistance?
2. Individually, document in your workbook:
 - A mindset shift that you would like to promote in your organization.
 - The actions required to promote that mindset shift.
3. In your small group, share the shift and actions.

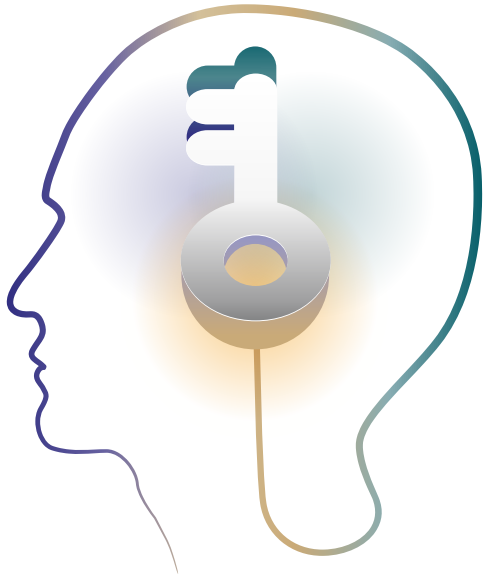
Which existing mindsets about resistance limit the effectiveness of change leaders in your organization?

How could you influence the mindset shifts required to improve your change leaders' ability to understand, anticipate and address resistance?

Which mindset shift would you like to promote in your organization?

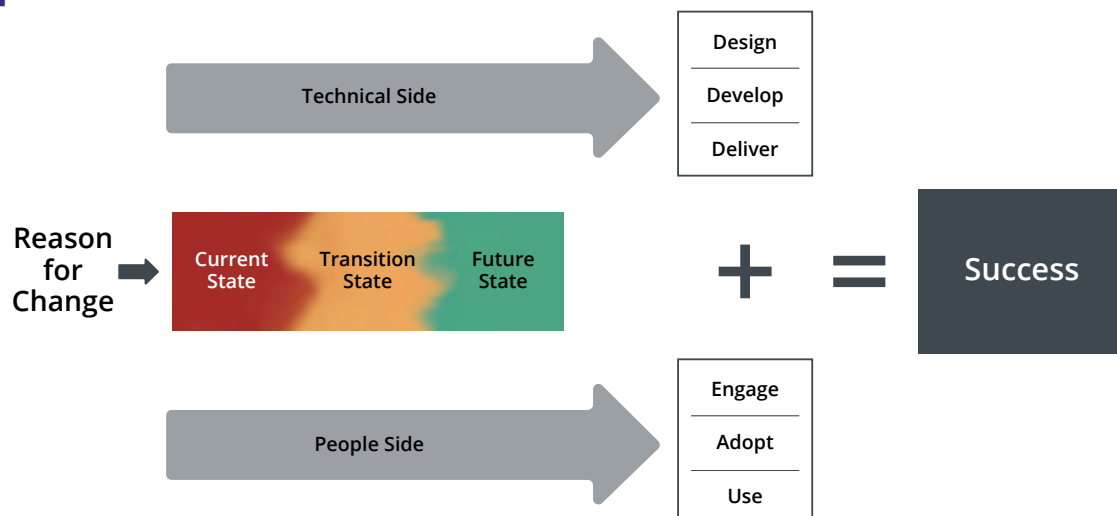
What actions are required to promote that mindset shift?

5 Keys to Unlocking Resistance



- 1 Resistance can come from the technical side or people side of a change.
- 2 Both technical side and people side resistance can be avoidable or unavoidable.
- 3 Both technical side and people side resistance create barriers to ADKAR transitions.
- 4 Resolving barriers to change requires the identification of root causes.
- 5 Technical side and people side resistance require different approaches for resolution.

Resistance Can Come From the Technical Side and/or the People Side



Think of Resistance as Two Sides of a Coin

Forty-seven percent of the respondents to the *Managing Resistance to Change* study reported encountering technical side resistance to change.

Two Sides of Resistance



Technical Side Resistance

Resistance that occurs in response to the technical side of a change, including:

- The decision to make a specific change to pursue an opportunity or solve a problem.
- How the change is designed, developed and delivered.



People Side Resistance

Resistance that occurs in response to the people side of a change, including:

- The degree of disruption that people believe they will experience as a result of a change.
- How individuals are prepared, equipped and supported to adopt and use a change.

Notes

Causes of People Side Resistance



Avoidable

Resistance that can be prevented or mitigated through the effective application of a structured approach to managing the people side of a change.

Examples:

- Lack of attention to the people side of change
- Ineffective application of change management
- Lack of or ineffective integration of project management and change management

Unavoidable

Resistance that persists despite the effective application of change management.

Examples:

- Contestability of the reasons for a change, the urgency of the change, or the risks of not changing
- A change conflicts with an individual's personal beliefs and values
- An individual's physical or cognitive capability is not sufficient to enable them to adopt and use a change

Notes

Causes of Technical Side Resistance



Avoidable

Resistance that can be prevented or mitigated by engaging stakeholder in determining the change and designing, developing and delivering the technical solution.

Examples:

- Not selecting the right strategic opportunity to pursue, resulting in a weak case for change
- Not accurately diagnosing the problem that needs to be solved, resulting in the selection of the wrong change
- Selection of a solution that doesn't adequately meet business requirements
- Insufficient or ineffective stakeholder engagement in the design, development and delivery of the change
- Lack of or ineffective integration of project management and change management

Unavoidable

Resistance that is a consequence of the nature of the change or that persists despite an engaging project management approach.

Examples:

- High level of disruption caused by implementing a necessary change
- Need to quickly implement a major change in response to external driving forces
- Requirement to implement a change mandated by an external body, such as a government agency

Notes

How Does Technical Side Resistance Show Up?

1. Resistance from subject matter experts (SMEs) or key stakeholders identified concerns with the functionality of the solution or how the project was being executed.
2. Impacted individuals voiced concerns based on “wanting to ensure that the project succeeded,” rather than based on not wanting to change how they did their jobs.
3. Impacted individuals were able to provide information confirming that there was a legitimate issue that needed to be addressed.
4. “Pain points” that caused resistance were visible to the organization, and the associated root causes could not be resolved by impacted groups on their own.

Prosci Research: 3 Approaches to Address Technical Side Resistance

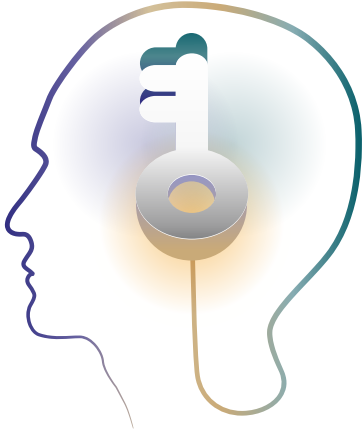
1. Revisit and revise project plans
2. Analyze concerns and escalate to project leadership
3. Revisit project solution

Change practitioners can identify and influence the resolution of technical side resistance

If you observe technical side resistance to change on your project, advise your primary sponsor and the project manager of the issues and the potential risks to project success.

Notes

Questions to Unlock Resistance



- | | | |
|---|--|---|
| 1 | Resistance can come from the technical side or people side of a change. | Which side is the resistance coming from? |
| 2 | Both technical side and people side resistance can be avoidable or unavoidable. | Is the resistance avoidable or unavoidable? |
| 3 | Both technical side and people side resistance create barriers to ADKAR transitions. | What is the associated ADKAR barrier point? |
| 4 | Resolving barriers to change requires the identification of root causes. | What are the potential root causes? |
| 5 | Technical side and people side resistance require different approaches for resolution. | How might you resolve the barrier point? |

Adapt Actions to Resolve Barriers to Change

ADKAR Case Studies

Case Study 1

Medication Reconciliation Project

Barrier Point: Awareness

Case Study 2

Integrated Library Management System Replacement Project

Barrier Point: Desire

Case Study 3

New Banking System Project

Barrier Point: Ability

Case Study 4

Lockout System Project

Barrier Point: Desire



Knowledge Hub

Review the [Adapt Actions to Resolve Barriers](#) section for guidance.

Adapt Actions to Resolve Barriers to Change

What? (Case Study)

Read the case study:

- Context
- Project
- Observations

1. What are your key insights from the case study?

So What? (Analysis)

2. Which type of barrier point is present?
3. Was the resistance avoidable?
4. What are the root causes of the barrier point?

Now What? (Actions)

5. What adaptive actions are required to resolve the barrier point?
6. Who should be responsible for taking those actions?

**Determine Actions to Address Common Root Causes
in the ADKAR Model Body of Knowledge**

Complete the ADKAR Case Studies to Determine Adaptive Actions

1. Divide into groups.
2. Individually, review the case study.
3. In your group, follow the steps to analyze the case study. Be sure to review the ADKAR Model Body of Knowledge guidance in the Knowledge Hub.
4. Complete the Analysis and Actions template in your workbook.
5. Be prepared to present your completed Analysis and Actions template to the large group.
6. Debrief as a large group after analyzing each case study.

Notes



Knowledge Hub

Review the [Adapt Actions to Resolve Barriers](#) section for guidance.

Case Study 1

Medication Reconciliation Project

Barrier Point: Awareness

Context

- A widely published study on preventing medication errors reported that the average hospital patient is subject to at least one medication error per day and medication errors are the most common type of patient safety error. More than 40 percent of medication errors are believed to result from inadequate reconciliation in handoffs during the admission, transfer and discharge of patients. About half of these medication errors, such as omissions, duplications, dosing errors or drug interactions, are believed to result in patient harm. The study concluded that many of these errors are avoidable if a medication reconciliation process is in place.
- In response to the study findings, the government agency responsible for accreditation of healthcare organizations established a new requirement that all accredited hospitals would need to implement medication reconciliation processes to improve patient safety and prevent adverse drug events.
- Medication reconciliation is the process of comparing a patient's medication orders to all of the medications that the patient has been taking. The medication reconciliation process is comprised of five steps:
 1. Develop a list of the patient's current medications.
 2. Develop a list of medications to be prescribed.
 3. Compare the medications on the two lists.
 4. Make clinical decisions based on the comparison.
 5. Communicate the reconciled list to the patient, their family and care providers.
- Medication reconciliation should occur at every transition of care in which new medications are ordered or existing orders are rewritten. Transitions in care include changes in setting, service, practitioner, or level of care.

Project

- The new requirement that all accredited hospitals would need to implement a medication reconciliation process was the catalyst for a regional healthcare organization to establish a project to implement a medication reconciliation process in the Emergency Department of its Uptown Hospital.

- The intent of the project was to gain experience with the medication reconciliation process and then expand the implementation to its entire network of 10 hospitals.
- The Medication Reconciliation (Med Rec) project team was sponsored by the leader of the Pharmacy Services Department, and the team members included pharmacists, a physician, a few nurses and other clinicians. There was no change practitioner assigned to support the project.
- The Med Rec project team established the goal that 75% of the patients admitted to Uptown Hospital through the Emergency Department would have their medication reconciled on admission.
- Unfortunately, after 12 months of effort implementing the medication reconciliation process, less than 20% of patients admitted through the Emergency Department had their medication reconciled on admission.
- In response to the disappointing outcome, the hospital leadership initiated a post-implementation review to determine why adoption of the new process was so low and to identify adaptive actions.
- An internal change practitioner was asked to facilitate the post-implementation review with the following objectives:
 - Increase the capability of the project team to lead the people-side of the medication reconciliation implementation.
 - Identify and take the adaptive actions required to achieve the original goal of 75%.
 - Document lessons learned to be applied for planned implementations at the remaining nine hospitals.
 - Provide recommendations regarding change management support for implementing the medication reconciliation process at the other nine hospitals.

Observations

- The change practitioner facilitated a number of working sessions with the Med Rec project team to get input from the team members on the root causes of the failed implementation.
- The change practitioner also conducted focus groups and individual interviews to collect feedback on the medication reconciliation implementation from:
 - Emergency Department staff impacted by the change
 - Patients and suppliers involved in the process
 - Key stakeholders, including senior leaders at the hospital and other influential leaders

- Based on the information gathered, the change practitioner made the following observations:
 - Given the limited technology and system controls available, the success of the medication reconciliation process is 100% people dependent. The commitment of the individual health care providers to follow the five steps of the process when admitting patients to the hospital would determine the achievement of the project goal.
 - No formal ADKAR Assessments had been conducted during the 12-month implementation period. However, the discussions with nursing staff and physicians working in the Emergency Department revealed many competing priorities for their attention, which contributed to a persistent and pervasive barrier point at Awareness of the need for the medication reconciliation process.
 - The Emergency Department nurses, physicians and other impacted care providers also had little to no knowledge of the risks to maintaining hospital accreditation from a failed implementation.
 - To date, the primary sponsor from the Pharmacy Department had been leading the in-person communication sessions with the Emergency Department nurses and physicians.
 - The in-person communication sessions were held when the project was initiated. After that, the ongoing communications about the project were provided via email and through the monthly Uptown Hospital internal newsletter.

Case Study Notes

Case Study 1: Analysis and Actions

What? (Case Study)

1. What are your key insights from the case study?

So What? (Analysis)

2. Which type of barrier point is at Awareness?

Progressive and Pervasive

Persistent and Isolated

Persistent and Pervasive

Regressive and Isolated

Regressive and Pervasive

3. Was the resistance associated with the lack of Awareness avoidable?

Yes

No

4. What are the root causes of the barrier point at Awareness?

Now What? (Actions)

5. What adaptive actions are required to resolve the barrier point at Awareness?

6. Who should be responsible for taking those actions?

7. What recommendations would you make regarding change management support for implementing the medication reconciliation process at the other nine hospitals?

Case Study 2

Integrated Library Management System (ILS) Replacement Project

Barrier Point: Desire

Context

- A university's library system consists of one central library and two branch libraries, which provide in-person and online services to students, faculty and the general public.
- The library's physical collection includes over 1.5 million print books and 2,500 print journal subscriptions. The online collection is comprised of over 10 million items, including 1.2 million eBooks, 98,000 eJournal subscriptions, as well as interactive courses and online reference services available from the library's website.
- The library's extensive collection of physical and online resources is managed using an integrated library management system (ILS).
- The ILS is an enterprise resource planning system that is used to manage the purchase and disposal of physical and online items, catalogue items owned, and track the loan and return of borrowed items.
- The library's existing ILS is over 20 years old, and the library had recently received notice from the supplier of the system that they would only provide technical support for the system for one more year.

Project

- The end-of-life designation for the existing system was the catalyst for the university's decision to replace it with a new ILS.
- The new ILS will also enable the library to provide improved efficiency, effectiveness and innovation for students, faculty and staff.
- The university engaged in a 6-month consultative process, using input from the existing library staff, students and faculty, to evaluate and select a new ILS.
- The library has established a go-live date for the new ILS that is just prior to the end-of-life date for the existing system.
- The primary sponsor of the project is the University Librarian, who is the senior leader accountable for the operation of the central and branch libraries.

- The project team is comprised of technical experts from the supplier of the new ILS and the people managers from all library departments.
- The people managers all report to the primary sponsor.

Observations

- The primary sponsor recognized that the university had a low level of change maturity and also knew that addressing the people side of the change would be critical to the successful implementation of the ILS.
- The primary sponsor obtained support from the university to have the people managers participate in Prosci's Leading Your Team Through Change program.
- There was a high level of trust between the primary sponsor and the people managers. The people managers asked the primary sponsor to participate with them in the program.
- During the program, the participants completed a risk assessment for the ILS Replacement Project and assessed it as high risk. In their discussion of the assessment result, they shared the following information:
 - All 170 library staff will be impacted, and many will experience a high degree of impact.
 - No positions will be eliminated as a result of the new ILS, but there will be significant realignment and reorganization of the library departments.
 - Existing job descriptions will need to be revised as the work of many staff members will be substantially different with the new ILS.
 - The majority of the staff are part of a union, and engagement of the union will be required.
 - Many of the library staff have used the existing system for their entire careers and have a very strong comfort level with their current state.
 - Most of the staff have not had to learn new technologies while working at the library.
 - Some staff members are approaching retirement and have expressed little interest in learning to use the new system.
 - Many staff members are feeling stressed and anxious about how they will be personally impacted by the new system.
- As prework for the Leading Your Team Through Change program, the participants conducted ADKAR Assessments with their team members. The primary sponsor assessed the people managers, and the people managers assessed their teams.

- The primary sponsor's assessment was that the people managers had strong Awareness and Desire for the new system. The people managers confirmed the primary sponsor's assessment.
- The people managers' assessment of their team members indicated barrier points at both Awareness and Desire.
- After completing the Leading Your Team Through Change program, the primary sponsor and the people managers worked together to document a compelling case for implementing the ILS. Each department then held an in-person communication session, led by the primary sponsor, to share and discuss the compelling case for change. After each session, staff members had follow-up discussions with their respective people managers.
- Subsequent ADKAR Assessments indicated that the ADKAR barrier point for some library staff had shifted to Knowledge. However, despite the communication efforts to date from the primary sponsor and the people managers, a majority of the staff members continued to have a barrier point at Desire.

Case Study Notes

Case Study 2: Analysis and Actions

What? (Case Study)

1. What are your key insights from the case study?

So What? (Analysis)

2. Which type of barrier point is at Desire?

Progressive and Pervasive

Persistent and Isolated

Persistent and Pervasive

Regressive and Isolated

Regressive and Pervasive

3. Was the resistance associated with the lack of Desire avoidable?

Yes

No

4. What are the root causes of the barrier point at Desire?

Now What? (Actions)

5. What adaptive actions are required to resolve the barrier point at Desire?

6. Who should be responsible for taking those actions?

Case Study 3

New Banking System Project

Barrier Point: Ability

Context

- The executive team of a regional bank adopted a multiyear strategy to expand their operations countrywide to significantly increase their membership and revenues.
- The executives recognized that their current banking system was a significant restraining force to expansion. The system relied on old technology that did not support the range of features required to attract potential new members from competing financial institutions.
- They concluded that replacing the banking system was a prerequisite to their expansion strategy and developed a business case for implementing a new banking system.

Project

- The bank's board of directors approved the business case, and the new banking system project was initiated.
- The executive team was anxious to get moving on their expansion strategy, and they established a very aggressive 12-month schedule to select and implement the new banking system.
- The executive team viewed the new banking system project as an information technology initiative, and they chose the bank's Chief Information Officer (CIO) to be the primary sponsor.
- The CIO assigned one of their most experienced IT project managers to lead the process for selecting the new system, which took almost 3 months.
- Following the selection of the new banking system, the project manager stayed on to lead the project team tasked with implementing the system.
- The project manager recognized that there would be some people challenges with the project and gained approval from the CIO to hire an external change practitioner.

Observations

- During the project lifecycle, the project team was under considerable pressure to meet the milestone dates approved by the executive team.

- There were delays completing the develop and build phases of the project. The project manager realized that the time allocated for providing training, follow-up coaching, and testing the proficiency of the customer service representatives (CSRs) who would be the primary users of the new system had to be reduced to ensure they could achieve the go-live date.
- The project manager, after consulting with the CIO, decided to maintain the training schedule, but reduced the time period for follow-up coaching and proficiency testing from one month to two weeks. Their belief was that the system was well designed, the training would be effective and that the CSRs would be able to fully develop their Ability after the new banking system went live.
- The change practitioner had been conducting ADKAR Assessment surveys prior to each of the milestone dates in the project lifecycle.
- As the go live milestone date approached, 750 of the approximately 1,000 CSRs had completed training. The change practitioner asked the 750 CSRs to complete an ADKAR Assessment survey focused on measuring their Knowledge of and Ability to use the new system.
- Just over 400 CSRs completed the survey and the results showed an average Knowledge score of 3.7 and an average Ability score of 3.0, indicating a barrier point (score of 3 or below) at Ability.
- The change practitioner was concerned about the barrier point at Ability and decided to repeat the ADKAR Assessment after the 750 CSRs had two weeks of follow-up coaching and completed initial proficiency testing. The results of this ADKAR Assessment were almost identical to the previous assessment, with an average Knowledge score of 3.9 and an average Ability score of 3.0.
- In follow-up conversations with some of the survey participants, the change practitioner heard a common theme that was best summed up by the following comment from an experienced CSR:
 - “I have a lot of pride in my work. I’m a customer of this bank myself and I want to provide the same level of service to our customers that I expect to receive. I’ve done the training, but I’m not yet feeling confident in my Ability to complete complex transactions using the new system. I would like to have additional time to receive follow-up support from the super users in my branch and from my branch manager before I have to use the new system with customers.”
- The approval to proceed with go live for the new banking system is to be made by the Board of Directors at their next meeting, which is scheduled for two weeks prior to the milestone date.
- The change practitioner had heard that significant performance bonuses for some of the executives, including the CIO, were tied to meeting the go-live date for the new banking system.
- The CIO and the project manager were developing a presentation to the Board of Directors requesting approval to proceed, when the change practitioner requested an urgent meeting with them to share the results of the latest ADKAR Assessment survey.

Case Study 3: Analysis and Actions

What? (Case Study)

1. What are your key insights from the case study?

So What? (Analysis)

2. Which type of barrier point is at Ability?

Progressive and Pervasive

Persistent and Isolated

Persistent and Pervasive

Regressive and Isolated

Regressive and Pervasive

3. Was the resistance associated with the lack of Ability avoidable?

Yes

No

4. What are the root causes of the barrier point at Ability?

Now What? (Actions)

5. What adaptive actions are required to resolve the barrier point at Ability?

6. Who should be responsible for taking those actions?

7. What risks should the change practitioner identify to the CIO and the project manager if the banking system goes live at the currently scheduled milestone date?

Case Study 4

Lockout System Project

Barrier Point: Desire

Context

- An electric utility uses diesel powered generating stations to supply electricity to customers living in remote communities that are not connected to the electrical grid.
- The safety record of the crews operating these remote generating stations was good, but their safety systems were not as robust as the systems used in the company's other generating stations.
- One of the safety systems used at the remote generating stations was called "Tag Out." When mechanical or electrical equipment required maintenance or repair, "Do Not Operate" tags were placed on the switches controlling the equipment to notify workers not to activate the equipment. The Tag Out system had significant safety risks, such as tags falling off switches, tags not being visible, or tags being removed by mistake.
- The "Lockout" safety system used at all of the company's other generating stations required that the switches controlling the equipment being maintained or repaired had to be physically locked in the off position to prevent the equipment from being accidentally activated. The individual working on the equipment was responsible for applying the locks to the switches and only they had the keys to remove the locks. The Lockout system had been used in the company for many years, was industry standard practice, and had been proven to reduce risks to worker safety.

Project

- The company initiated a project to implement the Lockout safety system at all of its remote generating stations.
- The primary sponsor of the project was the senior leader accountable for the operation of the remote generating stations.
- The project team was comprised of individuals representing each of the trade groups that operated and maintained the remote generating stations. The team also included a people manager responsible for one of the trade groups.
- The team was led by a project manager from the Safety department.
- An external change practitioner, who was familiar with the company's culture, operations, and trade groups, supported the team.

Observations

- At the first meeting of the project team, the change practitioner had the members complete a risk assessment of the change to a Lockout system. The team members rated the project as a high risk, as they viewed the trade groups (including themselves) as change resistant and believed the new system would be a complex and disruptive change for people who had a strong comfort level with the current state.
- A unique consideration was that many of the existing staff were from the small communities being served by the remote generating stations and had limited formal education.
- The change practitioner introduced the team to the ADKAR Model. Each member completed an ADKAR Assessment for the change and they discussed their collective results. All the trade group members of the project team had a barrier point at Awareness. Their reaction to the change was summed up by the following comment from one team member:
 - “The tags work well for us and we have a good safety record. Why do we need a new system when the existing system isn’t broken?”
- The project manager and the change practitioner recognized that because most of the team members had a “hands-on” practical orientation, they would need to see a working example of the Lockout system to understand why the change was needed.
- The project team went on a field trip to one of the utility’s main generating stations, and each member spent a few days shadowing an individual at the station that was from the same trade. They had an in-depth opportunity to observe how the Lockout system worked. The workers they shadowed said that they would never go back to the Tag Out system because their experience was that the use of locks made them much safer when performing their work.
- When the project team reconvened after the site visit, a second ADKAR Assessment was conducted and the results showed that Awareness and Desire were now strengths for the team members.
- The project team received a presentation on the training that the trade groups at the remote generating stations would be required to complete to learn how to use the Lockout system. They also learned every tradesperson would need to pass one or more formal tests to be authorized to work under the Lockout system.
- In between project team meetings, the team members returned to their respective work locations and shared information on the Lockout system, including the requirement for formal testing, with their coworkers and solicited their feedback.
- When they returned for the next meeting, it was evident that the perspective of the team members regarding the change had shifted. The change practitioner conducted a third ADKAR Assessment and the results indicated that the team members’ scores for Desire had regressed from a strength to a barrier point.

Case Study 4: Analysis and Actions

What? (Case Study)

1. What are your key insights from the case study?

So What? (Analysis)

2. Which type of barrier point is at Desire?

Progressive and Pervasive

Persistent and Isolated

Persistent and Pervasive

Regressive and Isolated

Regressive and Pervasive

3. Was the resistance associated with the lack of Desire avoidable?

Yes

No

4. What caused Desire to regress from a strength to a barrier point?

Now What? (Actions)

5. What adaptive actions are required to restore strength for Desire?

6. Who should be responsible for taking those actions?



Reinforcement – To Sustain the Change

Proven Practices

1. Anticipate the need to reinforce the change at an individual level, and identify appropriate activities in advance
2. Solicit feedback from internal and external stakeholders on the effectiveness of the change, and adapt actions
3. Continue to track speed of adoption, ultimate utilization, and proficiency, and adapt actions to achieve the established targets
4. Celebrate successes, and recognize group and individual contributions
5. Ensure that organizational policies, systems and processes are aligned with and reinforce the change

Most Common Root Causes of a Barrier Point

1. Change is not reinforced at the individual level, or the Reinforcement ends prior to the realization and sustainment of benefits
2. Individuals are not clear on what is expected of them or their personal accountability for sustaining the change
3. Lack of meaningful recognition of individual or team progress/achievement in adopting and using the change
4. Ineffective or failed transfer of ownership from the primary sponsor to the individual accountable for sustaining the change
5. Individuals experience negative consequences from others for adopting and using the change
6. Lack of consequences for groups or individuals who refuse to adopt and use the change
7. Existing systems and plans, such as the performance management system or the compensation plan, are not aligned with a change and do not reinforce adoption and usage

Which root causes of Reinforcement barrier points do you see most often?

Tips for Resolving a Barrier Point After Repeated Adaptive Actions




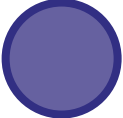
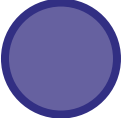
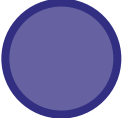
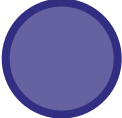





- Escalate to the primary sponsor:
 - Bring qualitative and quantitative data on progress.
 - Summarize adaptive actions and outcomes to date.
 - Explain the risks and consequences of failure to resolve.
- Manage expectations:
 - Reevaluate expected results and outcomes.
- Encourage decision making:
 - Provide clear choices and consequences.



Notes

Roles to Resolve Barriers to Change

Most Influential Roles Required to Achieve ADKAR Outcomes

	Awareness	Desire	Knowledge	Ability	Reinforcement
Employee-Facing Roles					
Sponsors Actively and visibly participating throughout, Building coalitions, and Communicating directly with people impacted by the change (ABCs)					
People Managers By performing the roles of Communicator, Liaison, Advocate, Resistance Manager, Coach (CLARC)					
Enabling Roles					
Change Practitioner/Team By preparing, equipping and supporting people with integrated strategies and plans					
Project Manager/Team By designing with adoption and usage in mind, and integrating with the people side					

Work Together to Achieve ADKAR Outcomes



Which Roles are Most Influential in Resolving Barrier Points?

Sponsor and
Sponsor Coalition



People Managers



Change Practitioner





















Barrier Point Types

- A. Progressive and Pervasive
- B. Persistent and Isolated
- C. Persistent and Pervasive
- D. Regressive and Isolated
- E. Regressive and Pervasive

Notes

Roles in Resolving Barrier Points

	Progressive and Pervasive	Persistent and Isolated	Persistent and Pervasive	Regressive and Isolated	Regressive and Pervasive
Change Practitioner					
Prepare, equip and support change leaders to manage resistance.					
Maintain and gain strength.					
Lead root cause analysis to determine adaptive actions. Track progress and resolution.					
Change Leader(s)					
Maintain and gain strength.					
Identify and take adaptive actions.					
Coach impacted individuals or groups.					
Participate in root cause analysis to determine adaptive actions. Ensure resolution.					

Brainstorm Tag: Equip People Managers to Fulfill Their Resistance Manager Role

1. Individually, take 1 minute to brainstorm as many ideas as you can to equip and support people managers to fulfill their resistance manager role.
2. In the large group, identify one person to start by sharing an idea.
3. The first person tags the next person to share their idea.
4. Repeat until every member of the group has had a chance to share at least one idea.
5. Highlight the most creative ideas.

How can you equip and support people managers to fulfill their resistance manager role?

People Manager Role: CLARC



Communicator



Liaison



Advocate



Resistance Manager



Coach

Prosci Resources for People Managers

1. Leading Your Team Through Change Program
2. Introduction to Leading Change eLearning
3. Managing Resistance to Change Thought Leadership Article
4. Managing Resistance to Change Executive Summary

Next Steps and Close

Resources



Workbook



Research Hub

[Applications of ADKAR](#)

[Managing Resistance to Change](#)



Knowledge Hub

[Applying the ADKAR Model](#)

Prosci Hub Solution Suite



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ADKAR Model Mastery Level 2

“

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.

Jeff Hiatt
*Prosci founder,
Creator of ADKAR*



Your Secret to Successful Change

1. Individually, reflect on your top three learnings from the ADKAR Model Mastery programs.
2. Write your “Secret to Successful Change” in a one-sentence quote.
3. Share your quote with the large group.

Write your “Secret to Successful Change” in a one-sentence quote.

ADKAR Elements Job Aids





Awareness – Of the Need for Change

Change begins with understanding why

- What is the nature of the change?
- Why is the change needed?
- What is the risk of not changing?

Who are the key players

- Primary sponsor
- Sponsor coalition members
- People managers

How to build strength

- ADKAR Blueprint
- Sponsor Plan
- People Manager Plan
- Communications Plan

When to measure the strength of the ADKAR element

- After communicating the key messages 5 to 7 times
- Continue to measure to ensure a high level of Awareness is maintained throughout the project lifecycle

"I understand the nature of the change and why this change is needed."





Awareness – Of the Need for Change

Proven Practices

1. Build a compelling case for the change
2. Prepare, equip and support the primary sponsor and sponsor coalition members to lead the change at the organizational level
3. Prepare, equip and support people managers to lead the change with their teams
4. Develop and ensure the delivery of effective communications throughout the project lifecycle
5. Measure the effectiveness of both the communications content and how it is delivered, and adapt actions

Most Common Root Causes of a Barrier Point

1. Case for change has not been developed or is not compelling
2. Key messages for building Awareness do not resonate with particular groups
3. Preferred senders are not used to communicate Awareness building messages
4. Preferred senders are not willing to communicate Awareness building messages
5. Preferred senders lack credibility with one or more impacted groups, which limits their influence
6. Misinformation or rumors are undermining the effectiveness of the Awareness building messages
7. Impacted groups or individuals have a high comfort level with the current state
8. Contestability of the:
 - Reasons for the change
 - Urgency of the change
 - Risks of not changing



Desire – To Support and Participate in the Change

Change involves personal decisions

- What's in it for me (WIIFM)?
- A personal choice
- A decision to engage and participate

Who are the key players

- Primary sponsor
- Sponsor coalition members
- People managers

How to build strength

- ADKAR Blueprint
- Sponsor Plan
- People Manager Plan

When to measure the strength of the ADKAR element

- Before training and after establishing personal benefits of the change (WIIFM)
- Continue to measure to ensure high levels of Awareness and Desire are maintained throughout the project lifecycle

"I have decided to support and participate in the change."





Desire – To Support and Participate in the Change

Proven Practices

1. Primary sponsor and the sponsor coalition members influence Desire for the change with their peers, people managers and impacted groups
2. People managers advocate for the change with their teams
3. Practitioner engages business leaders, people managers, members of impacted groups, and other internal and external stakeholders in the design of the solution or the change process
4. Practitioner assesses, acknowledges and empathizes with the impacts of the change on people
5. Practitioner anticipates ADKAR barrier points and implements actions to prevent or mitigate resistance

Most Common Root Causes of a Barrier Point

1. Change process has not sufficiently acknowledged or addressed individual job impacts, including:
 - Significant increase in role, responsibilities and accountabilities
 - Loss of autonomy, control, power or status
 - Loss of valued relationships
 - Changes to compensation, rewards or recognition
2. Lack of role modelling of desired actions and behaviors from sponsors and people managers
3. Lack of support from and trust in management
4. Lack of involvement of internal and external stakeholders in the design of the solution or the change process
5. Change is perceived as offering few, if any, benefits professionally or personally (lack of what's in it for me – WIIFM)
6. Change is perceived to conflict with the organization's values and culture
7. Change is perceived to conflict with an individual's personal beliefs and values
8. Change disrupts valued professional or personal relationships
9. Change conflicts with existing team or individual performance rewards, compensation and incentives
10. Change saturation and fatigue due to the cumulative individual impacts of multiple, concurrent changes



Knowledge – On How to Change

Change requires knowing how

- Understanding how to change
- Training on new processes and tools
- Learning new skills

Who are the key players

- People managers
- Project team
- Change management team
- Training specialists

How to build strength

- ADKAR Blueprint
- People Manager Plan
- Training Plan

When to measure the strength of the ADKAR element

- Prior to implementation
- Continue to measure to ensure high levels of Awareness, Desire and Knowledge are maintained through the remainder of the project lifecycle

“I have the knowledge
I need on
how to change.”





Knowledge – On How to Change

Proven Practices

1. Complete a training needs analysis to determine the knowledge that is required to apply the change (during the transition state and in the future state)
2. Develop training materials and support resources to enable individuals and groups to gain the required knowledge
3. Confirm that participants are prepared for training, have access to the training, and will be supported to apply what they learn
4. Establish forums to enable training participants to share lessons learned, and get peer or subject matter expert support to address Knowledge gaps
5. Evaluate effectiveness of training and adapt actions

Most Common Root Causes of a Barrier Point

1. Training needs assessment to determine Knowledge requirements for the impacted groups has not been completed or is inadequate
2. Changes to job roles and interdependencies between roles are not defined in sufficient detail to enable a training needs assessment to be conducted
3. Ineffective training on how to meet operational requirements during the transition from current to future state
4. Resources to support individuals to assess or demonstrate the required Knowledge is inadequate
5. Insufficient time allocated to enable individuals to develop the necessary Knowledge
6. Lack of confidence regarding the ability to acquire and retain the required Knowledge
7. Limitations in physical or cognitive capability to acquire the required Knowledge



Ability – To Implement the Required Skills and Behaviors

Change requires action in the right direction

- The demonstrated capability to implement the change
- Achievement of the desired change in performance or behavior

Who are the key players

- People managers
- Project team
- Change management team
- Training specialists

How to build strength

- ADKAR Blueprint
- People Manager Plan
- Training Plan

When to measure the strength of the ADKAR element

- Prior to implementation
- Continue to measure to ensure high levels of Awareness, Desire, Knowledge and Ability are maintained through the remainder of the project lifecycle

“I have the ability to adopt the change and demonstrate the required skills and behaviors.”





Ability – To Implement the Required Skills and Behaviors

Proven Practices

1. Establish measures and set targets to assess the speed of adoption of the change, ultimate utilization, and proficiency in applying the change
2. Ensure the necessary tools and resources are available to enable people to adopt and use the change
3. Provide low-risk opportunities for people to practice and develop required skills
4. Support application of training by providing performance feedback, coaching to improve proficiency, and recognizing adoption and use of the change
5. Begin to track speed of adoption, ultimate utilization, and proficiency against the targets, and adapt training and/or post-training support

Most Common Root Causes of a Barrier Point

1. Tools and resources required to enable individuals to develop Ability are inadequate
2. Insufficient time or support to enable individuals to achieve proficiency for a complex change with a steep and long learning curve
3. Lack of sufficient low-risk opportunities to practice and develop required skills
4. Existing systems, processes or tools present obstacles that prevent individuals from adopting and using the required skills
5. Physical or cognitive capability is not sufficient to meet the required performance level



Reinforcement – To Sustain the Change

Changes must be reinforced to be sustained

- Actions that increase the likelihood that change will be continued
- Recognition and rewards that sustain change

Who are the key players

- Primary sponsor
- Sponsor coalition members
- People managers

How to build strength

- ADKAR Blueprint
- Sponsor Plan
- People Manager Plan
- Communications Plan

When to measure the strength of the ADKAR element

- After implementation, when the change has reached steady state
- Continue to measure to ensure high levels of Awareness, Desire, Knowledge, Ability and Reinforcement are maintained, which will enable the results of the change to be sustained over time

“Meaningful reinforcements are in place to help me continue to apply and sustain the change.”





Reinforcement – To Sustain the Change

Proven Practices

1. Anticipate the need to reinforce the change at an individual level, and identify appropriate activities in advance
2. Solicit feedback from internal and external stakeholders on the effectiveness of the change, and adapt actions
3. Continue to track speed of adoption, ultimate utilization, and proficiency, and adapt actions to achieve the established targets
4. Celebrate successes, and recognize group and individual contributions
5. Ensure that organizational policies, systems and processes are aligned with and reinforce the change

Most Common Root Causes of a Barrier Point

1. Change is not reinforced at the individual level, or the Reinforcement ends prior to the realization and sustainment of benefits
2. Individuals are not clear on what is expected of them or their personal accountability for sustaining the change
3. Lack of meaningful recognition of individual or team progress/achievement in adopting and using the change
4. Ineffective or failed transfer of ownership from the primary sponsor to the individual accountable for sustaining the change
5. Individuals experience negative consequences from others for adopting and using the change
6. Lack of consequences for groups or individuals who refuse to adopt and use the change
7. Existing systems and plans, such as the performance management system or the compensation plan, are not aligned with a change and do not reinforce adoption and usage

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ADKAR Model Mastery

Level 2



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