A **Taylor & Francis** FreeBook

KEY SKILLS FOR LIBRARY MANAGERS:

CHANGE MANAGEMENT

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INTRODUCTION

The world around us is constantly changing, and this can have an impact on the way teams and individuals work, especially with rapid advancements in technology and the evolving needs of customers, suppliers, colleagues and library patrons.

Change is an important part of any workplace, and as a senior librarian, or a librarian managing a team, being able to manage change successfully (and with as minimal disruption as possible) is an essential skill to have. But why does change need to be managed, and how can change be managed successfully?

Drawing on book chapters featuring expert advice, real-life examples and change management models, this FreeBook will help you to:

- Discover the importance of 'Why?'
- Outline how to shape the need for change
- Identify the key models of change management
- Understand and manage resistance to change

Please note that chapters in this FreeBook may speak of Change Management in the contexts of other industries, however the examples used can be translated and applied to other professional environments.

Contributions from a total of 4 chapters have been selected, each written by knowledgeable and respected experts in their field, including:

Randy K. Kesterson, has held executive-level positions at Doosan Infracore, General Dynamics and Curtiss-Wright, with prio successful experience at Harsco Corporation, John Deer, and at privately held Young & Franklin/Tactair Fluid Controls. He also worked as a management consultant to organizations such as Bank of America, Caterpillar, Motorola, Bank of Montreal, Ford Motor Company, Milliken & Company, RJ Reynolds, and the Federal Aviation Administration (FAA).

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INTRODUCTION

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Note to readers: As you read through this FreeBook, you will notice that some excerpts reference other chapters in the book – please note that these are references to the original text and not the FreeBook. End of chapter references are included where available, however, for a fully referenced version of each text, please see the published title.

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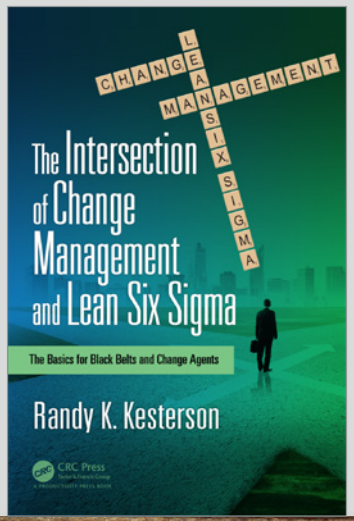

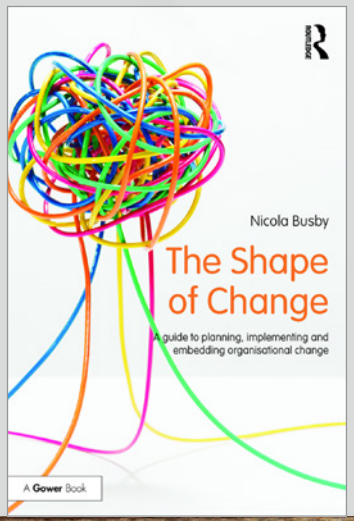

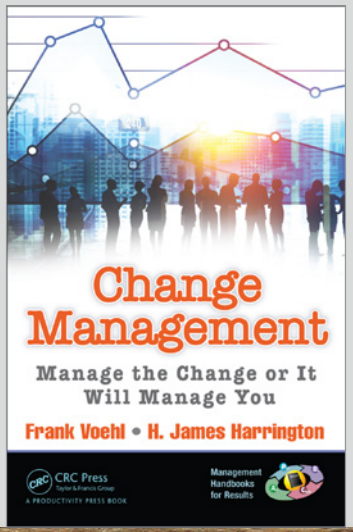

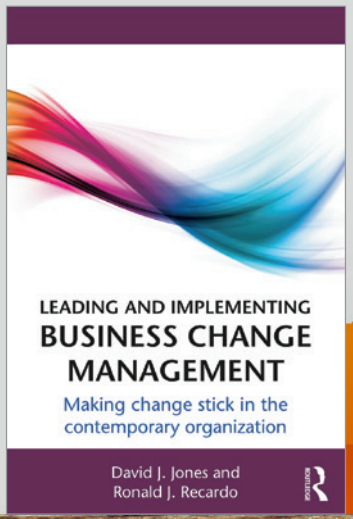

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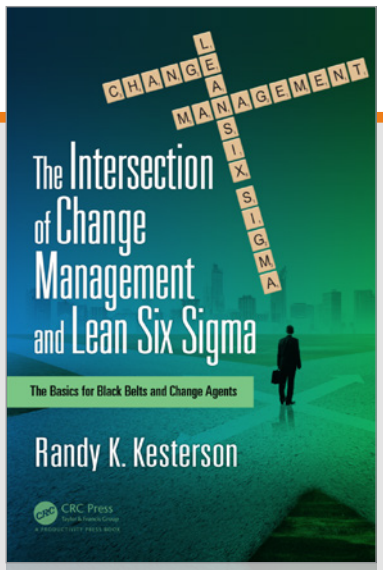
CHAPTER 1

WHY?

THE MOST IMPORTANT WORD IN THIS BOOK



This chapter is excerpted from

The Intersection of Change Management and Lean Six Sigma

By Randy K. Kesterson

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WHY?

THE MOST IMPORTANT WORD IN THIS BOOK

Excerpted from *The Intersection of Change Management and Lean Six Sigma*

After living through the 11-E story, I became fascinated with change management, and I studied it in earnest for the next 4 years. I read every book and article I could find on the subject of change management. I spoke with John Kotter, author of *Leading Change*, on the phone. I wrote a couple of articles, of which one was published in the *Wharton Leadership Digest*. I eventually became certified in two organizational change management (OCM) methodologies and met two incredible thought leaders in the field. I studied under Jeanenne LaMarsh and rode horses with Jeff Hiatt as part of his training and certification program in Boulder, Colorado. Along the way, I learned that successful change management almost always requires the completion of an initial step. It's only one step, but it's a BIG, very important step. If you remember nothing else from this book, please remember this one, simple word.

WHY?

From all my personal experiences and all of my studying and training in OCM, I've learned that people must understand *why* a change is needed as a first step to accepting the change.

People must develop an *Awareness* of the need to change. Once aware of the need, they must also have some personal *Desire* for the change. To build awareness and to create desire, it often helps to explain the business case for the change, and most people also want to understand the WIIFM, i.e., the What's in it for me?

All of these have to do with the Why.

Until you explain the Why, you should *not* attempt to explain the What or the How or the Where or the Who or the When. Most people won't even listen to you. They're still living back in the current state (to be explained later in this book) asking, "But Why do we need to change? Why do I need to change? What's the business case for change? What's in it for me? Where's the WIIFM?!?!?"

The problem with many project teams is that they've had these discussions amongst themselves for a while (sometimes months), and they've finally convinced themselves about the Why. They have Awareness of the need for change, and they have the Desire to make the change. They understand the business case, and they personally understand the WIIFM. But what do many of those project teams do? They often start the discussions with others who are outside the team by explaining the What (what we are going to change) and the How (how we are going to do it), while the people outside the project are still asking themselves, "Why do I want to do this?"

WHY?

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It typically takes many attempts, using various communication techniques, to convince people of the Why. In my experience, you rarely convince everyone, but once you've convinced enough of the people, you're finally ready to move on to explain the What and the How.

WHAT? What are we going to change?

HOW? How are we going to do it? What's the plan?

THE TARGETS OF THE CHANGE

An important group of people outside the project team are the people who will need to change to make the project successful. These people are the so-called "targets" of the change.[1] The targets of the change also ask, "Why do I want to do this?"

A lesson I've learned is that if you haven't convinced enough people of the Why, and you move forward anyway, you move forward at your project's potential peril. I speak with experience. I've done this, and I've failed. I also learned that it's not all about numbers. You must convince the people who are the influencers within an organization, and oftentimes, these people are *not* in formal positions of power. The influencers are the people to whom others listen and respect. I'm guessing you have observed some influencers in organizations where you have worked. Convince the influencers and you're on your way to satisfying the Why!

PEOPLE ANALYTICS TOOLS

A few years ago, I discovered a neat new tool that I believe could prove invaluable to large organizations in answering the question, "Who are our influencers?" Who are those people, regardless of their formal authority in the organization or lack thereof, who have "the ear" of their co-workers? And sometimes the ears of the co-workers are thousands of miles away.

If an influencer *likes* and supports a change, good things tend to happen or the project team. They tell others, and/or others ask them for their opinion about a change. Organizations love to find these people. For example, if Sally or Bob like this new <fill in the blank>, a lot of people who are sitting on the proverbial fence will too.

The tool is based on an approach used initially to find "the bad guys" in the outside world. If person X is known to be involved in criminal or terrorist activity, then the

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good guys want to learn with whom person X is connected. With whom is person X communicating? By phone, by e-mail, by text, by other electronic means?

Some large organizations have taken this approach inside, and they are learning that Sally acts as a major hub of communications, i.e., she is widely connected in the organization's communication web, via company owned communication devices and networks, to thousands of people. What Sally thinks matters to a lot of her co-workers. If we can make Sally *aware* of a major change, and gain her personal *desire* to become involved, good things can happen for the project team (**Figure 1.1**).

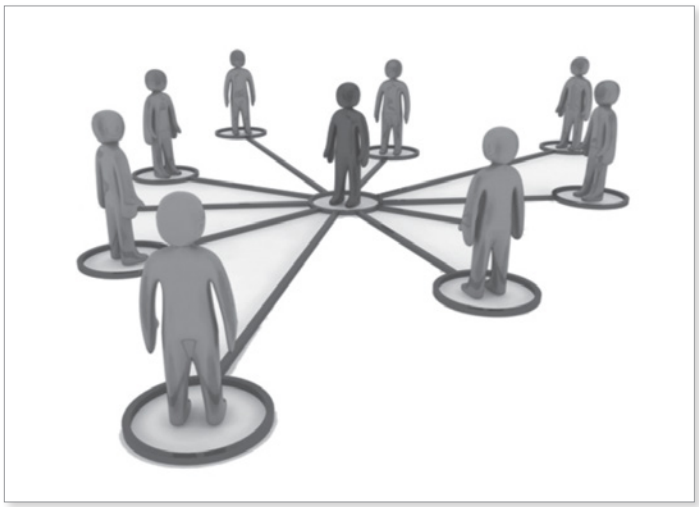

Figure 1.1 • An influencer within an organization. (From "4 Tips to Becoming an Influencer", Blog article by Marc Guberti, August 22, 2014.)

Sidenote:

Mapping influencers is just one of the many ways that analytics are changing how managers attack change. Over the coming years, People Analytics will provide managers with a new toolset that will make process and behavior change easier to track, incentivize, and make a core organizational capability.

Today, tracking behavior change is focused on measuring results, which, as anyone who has worked in an organization before knows, can be way more subjective than it should be. While an important yardstick for measuring change, only measuring results misses a whole lot of the 'why.' It's sort of like treating an aching arm with painkillers as opposed to resetting a bone. If you don't know the driving behaviors that are helping or hindering results, then you will miss what really is or isn't changing.

WHY?

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People-analytics allow organizations to measure and optimize the behaviors that drive successful outcomes. The category encompasses a broad swath of behaviors, including measuring who communicates with who, how they communicate, which medium, how communication connects into a broader network, how this impacts things like retention, customer success, sales, and far beyond.

People Analytics are particularly powerful for change because they allow managers to track who is actually changing daily behaviors and who is not. You can see if someone is communicating with the groups they are supposed to be communicating with. You can see if someone is logging into the system they are supposed to be logging into and how that's impacting team behavior. You can see how this impacts onboarding times because every aspect of the employee process is measured.

With tracking also comes incentivizing. You can game behaviour change, and make sure people who adopt early are rewarded, both publicly through recognition and with tangible rewards. If seamlessly embedded into work processes, this system could theoretically drive near continuous change that is simply embedded into day-to-day work.

At the end of the day, using these techniques require experimentation, strong values, and good governance. You don't want to look at all data because that's creepy. You don't want the data to by accessed by anyone in the wrong capacity. You also want to make sure the learning from the data is synthesized into action, where it is used either to continue or to kill the change.

People analytics present powerful ways to enhance the change process, and we will see much more in the years to come.

– Zack Johnson
Co-founder & Former CEO, Syndio Social

Syndio Social was acquired by Edge Analytics in 2016. See www.synd.io for more information.

WHY?

THE MOST IMPORTANT WORD IN THIS BOOK

Excerpted from *The Intersection of Change Management and Lean Six Sigma*

KEY TAKEAWAYS

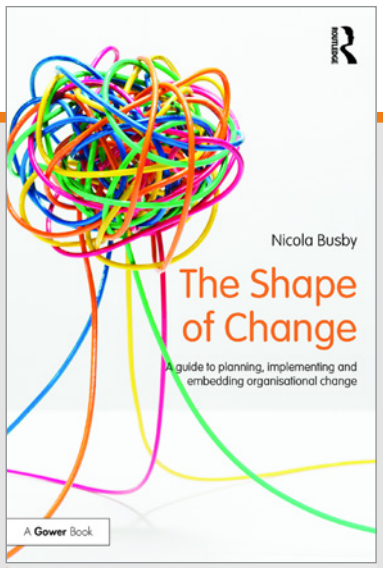
- WHY is the most important word in this book. Seriously!
- People must understand *why* a change is needed as a first step to accepting the change.
- Next, people must develop an *Awareness* of the need to change.
- Once aware of the need, these people must also have some personal *Desire* for the change.
- Until you explain the Why, you should *not* attempt to explain the What or the How or the Where or the Who or the When. Most people won't even listen to you.

REFERENCE

1. Potts, R., LaMarsh J., Change—The Basics. Master Change, Maximize Success, Chronicle LLC, San Francisco, CA, 2004. 31. Print.

CHAPTER 2

SHAPING THE NEED FOR CHANGE



This chapter is excerpted from

The Shape of Change

By Nicola Busby

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SHAPING THE NEED FOR CHANGE

Excerpted from *The Shape of Change*

Introducing change into organisations is disruptive, costly, and risky. In order for change to be successful, there needs to be very strong reasons why it needs to happen. These reasons are called the drivers for change.

Drivers for change tend to fall into three main categories:

To improve the organisation: this can be done in a number of ways, including:

- Changing the organisation internally to become more efficient or effective;
- Altering the goods or services produced or branching out into different customer segments to take advantage of opportunities in the market;
- Improving the reputation of the organisation to fulfil moral obligations, motivate staff, and attract customers.

To adapt to an external event: this can be in response to anything that happens in the world outside of the organisation, including:

- The advent of new laws, regulations, or policies that affect the organisation;
- Changes in the economy or society which affect the behaviour of customers;
- Increased competition from other organisations.

Advances in technology: technology has a place in most change, but some change initiatives exist purely because of technological advances, for example:

- Upgrading technological infrastructure or software;
- Implementing enterprise software to perform business functions such as order processing, accounting, and customer relationship management;
- Dealing with outdated goods and services or organisational capabilities due to advances in technology.

Organisational changes of any significant size usually have more than one driver. Often the case for change becomes compelling enough only when a number of drivers combine to make undertaking change less risky than the consequences of keeping things as they are.

Table 2.1 gives some examples of change initiatives, showing the main drivers for the change:

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Excerpted from *The Shape of Change*

Change Initiative	*Drivers*
Burntwood EDRMS Introducing better information management across the county council	A recent government directive requires all UK county councils to review their information management practices A recent data protection breach damaged the reputation of Burntwood and put users at risk Information management could be more efficient and the quality of documents produced could be improved
Mayer & Co E-file Moving the law firm from paper to electronic caseloads	Potential customers not accessing the law firm due to outdated communication methods There is a high risk of losing important and confidential paper files in transit The firm is shortly moving to new offices with less storage space, so there will be limited room for paper files
Workout! Restructure Standardising and professionalising the services offered to customers	New legislation has recently been introduced stating that all UK charities must show public benefit A recognition that the quality of service given to customers needs to be improved A need to have greater control and visibility of services and finances in order to grow the organisation
Spark Clearholme Office Move Relocating the newly merged organisation from four buildings into one	Leases of current buildings are shortly coming to an end with no chance of renewal Increased opportunities for more collaborative working and time saved if all teams are located in one building The move will consolidate the merger and encourage the staff to think of themselves as belonging to one organisation
Spark Clearholme Marketing Campaign Planner Standardising the software used by marketing teams to plan campaigns	Information about marketing campaigns are currently recorded in lots of different ways Management data are needed to learn about best practice from marketing campaigns Marketing practices need to improve to keep ahead of the competition in an increasingly crowded marketplace

Table 2.1 • The drivers for example change initiatives.

The business change manager may be involved with identifying drivers and advocating change, but this is more normally done by business leaders and strategy professionals or operational teams. It is usually only after the decision to change has been taken that active business change management starts, and the first activities needed include:

- Putting foundations in place for successful change
- Creating a compelling vision for the change
- Communicating early messages about the change.

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Excerpted from *The Shape of Change*

PUTTING THE FOUNDATIONS IN PLACE FOR SUCCESSFUL CHANGE

Ideas for change can come from anywhere within the organisation, including:

- From the top down, when change ideas are generated by senior leaders as part of the organisation's strategy;
- From the ground up, when staff within operational areas generate ideas to solve local issues or exploit local opportunities.

CHANGE IDEAS GENERATED FROM THE TOP DOWN

Change ideas generated from senior leaders as part of the organisation's strategy tend to be larger and more complex than those coming from within operational areas. Senior leaders focus on the organisation as a whole, rather than specialising in separate operational areas, and so can initiate changes which affect multiple departments and teams. They also have more power and influence than those sitting within operational areas, greater access to resources, and the ability to prioritise what the organisation focusses on. This means that changes generated from the top should have many of the factors which will contribute to success already in place, including strong leadership support, good strategic fit, compelling drivers for change, and enough resources and management attention to execute the change properly.

Often, the main challenge with making top down change successful is ensuring that the proposed changes can realistically be implemented in the affected parts of the organisation. Senior leaders can be quite removed from the day to day workings of the organisation and may think that a change initiative will be easier to implement than it really is, generally through underestimating the effect on cultures and behaviours.

Therefore, a major role of business change in the early days of a top down change is to encourage the senior leaders who generated the idea to consult with the areas of the organisation which are going to be affected by the change. Representatives from these areas can add real value at this stage by offering insights into how people, systems and cultures work on the ground, and therefore how much they will be affected by the change initiative. They can also advise on how easily or otherwise they feel changes would be accepted and could quite possibly come up with alternative ideas which could still achieve the desired goal but make the future far more palatable for their colleagues, increasing the chances of success.

Make sure you choose your organisational representatives carefully. They need to be trusted by both their colleagues and senior leaders and they need to be able to

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assess the ideas as impartially as possible. They should be sympathetic to the need for change and work together with the decision makers for the very best outcome for the organisation as a whole, and not just their affected areas or individual teams.

BOX 2.1

Business representation in the early days of Burntwood EDRMS

Spurred on by a number of compelling drivers for change, the CEO included an update of information management practices in Burntwood County Council's new three-year strategy. A small project team was set up to investigate options, and a panel of evaluators was created. The panel consisted of all the senior leaders with an interest in the initiative but also included two representatives from within the operational areas of the organisation. These representatives were chosen because they were well respected by their colleagues and had a good understanding of how the organisation worked. They were able to give an indication of how much impact each option would have on different operational areas in terms of working practices, behaviours, and cultures, and they played a significant role in shaping the eventual solution.

CHANGE IDEAS GENERATED FROM THE GROUND UP

Change ideas generated by operational areas to solve local issues or exploit local opportunities are generally smaller in scope and impact fewer areas of the organisation than strategic changes generated by senior leaders. At least, that is how they may seem initially.

One of the key activities needed at the early stages of these ideas is to assess whether the changes impact only the local area, and therefore can be implemented locally as part of business as usual, or whether they are actually bigger than they seem and need to be managed as larger organisational changes. Two indicators may help with this assessment:

If more than one area within the organisation is working separately to solve the same problems or try out the same ideas. This may indicate that the scope of change is larger than originally thought, the impact on the organisation may be greater than currently expected, and there may be opportunities for increasing the benefits of the change by approaching the problem more holistically. If so, the change becomes strategic and will need senior leadership, resources, and engagement from across

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the organisation to be successful. Therefore, it should be treated as a larger organisational change.

If the change impacts more than just the local area who had the idea. Implementing local change initiatives often involve more functions and departments than originally expected. It is important to ascertain who needs to be involved in and may be affected by any local change initiative before the change commences; otherwise, you may be in for a nasty shock later on. Many change initiatives have been undermined because those involved have consciously or unconsciously overlooked the impact and consequences beyond the immediate team. The stakeholder identification exercise outlined in Chapter 4 will help you understand who needs to be involved in and is affected by your change.

If the change does involve more than the initial local area, then managing it as a bigger organisational change will greatly increase its chance of success. There is sometimes reluctance from local areas to relinquish control of their change idea and watch it take on a new and different life of its own, but ultimately time, money, and emotional anguish will be saved if the change is a large-scale success rather than a smaller-scale failure.

BOX 2.2

When a local initiative is actually a major organisational change

The marketing team at Spark Clearholme decided they wanted to learn more about the many marketing campaigns the organisation ran for its products each year. Therefore, without consulting any other departments within the organisation, they purchased a piece of software from an external company in which to enter the marketing and financial information for every marketing campaign, with a view to being able to compare activities and costs of each campaign and learn more about what works best.

Once the software was bought, the team soon realised that in order for it to be successfully implemented and used, there would need to be involvement from many other departments in the organisation. The technology department needed to install the software, link it up with other Spark Clearholme technology to automatically feed in certain marketing information, and ensure that it was secure and compatible with the rest of the technology in the organisation. The finance department needed to undergo a major change to their working practices

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to ensure that all financial information relating to marketing campaigns was entered into the software, and the business intelligence team needed to create meaningful management reports so the required lessons could be learned. In order to train the marketing assistants and finance officers to use the software, Learning and Development needed to grant access to rooms and trainers, and HR needed to create and recruit a new role within the marketing team to support everyone in using the software once implemented.

All of these activities involved far more complexity and impacted significantly more people than the marketing department ever imagined. After all, the software was only a simple solution designed to meet a specific need. The team was unable to implement the change on their own and, after months of failed attempts, the project had to be incorporated into the central project function of Spark Clearholme and treated as a larger organisational change.

If you are sure that your change is a local initiative and can be run as part of business as usual, the same business change approach applies as to larger changes, just on a smaller scale. You still need an enthusiastic and effective sponsor (this may be the head of the operational or business unit involved), and each individual affected still needs enough support and information to make the decision to change their ways of working. If this is done, smaller changes implemented locally can be a real success, as they usually offer a workable solution to a genuine problem or opportunity and have the buy-in and ownership of the people most affected by the change.

CREATING A COMPELLING VISION FOR THE CHANGE

Every change initiative needs a vision – a clear and convincing description of what the change is aiming to do and what life will look like once it is in place. This vision is a key engagement tool to enthuse people about the change during the early stages, helping to build support and increase buy-in. It can also be used to keep people positive and focussed when times get tough during implementation. In addition, the vision plays an important role in governing the change by ensuring all activities undertaken contribute to the realisation of the vision. This helps to minimise 'scope creep' – a common phenomenon where the original change initiative slowly expands in an attempt to solve more and more problems.

The vision can be developed at an early stage of the change, as all that is needed are the drivers for the change and an idea of the desired benefits. Details of precise

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solutions are not needed to create an inspiring, concise, and accessible vision and indeed can easily make the vision too technical and put people off.

Responsibility for developing the vision often falls to the business change manager, but your role here is to facilitate its development by key stakeholders rather than creating it yourself. The vision encapsulates what the change is trying to achieve and therefore needs to be created and owned by those who will be leading the change and who will be responsible for embedding and managing it in the months and years after implementation.

How the development of the vision is facilitated is very much dependent on the organisation and stakeholders involved. Holding a series of workshops with key people is a good way to ensure that all necessary stakeholders are able to offer input into its creation. Some organisations planning significant change even hire external experts to help run these workshops and take key leaders and decision makers away for a number of days to focus solely on this task. If you are not able to engage your key decision makers and leaders through workshops, try creating a draft vision with your project team and any key stakeholders who are willing to engage, and then work individually with all the other relevant leaders and decision makers to ensure that every single one of them is in agreement with what is being suggested. This may involve more than one amendment of the draft vision and can take time, energy, and patience to finalise something that is acceptable to all. However, it is worth investing the time here because if there is not agreement for the vision at this stage, there is a high chance that greater problems will arise as you try to plan and implement the change. How to engage and influence senior stakeholders is discussed further in Chapter 4.

BOX 2.3

Real life example: Burntwood's vision statement for the EDRMS programme

Burntwood's EDRMS will provide better ways of managing electronic information. These will:

- **Help you do your job better:** You can collaborate more easily with others.
- **Save you time:** You can search more easily and find the information you need more quickly.
- **Give you information you can rely on:** You know you have the right version of a document as well as who created it and when.

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- **Reduce costs:** You don't keep, and therefore store, any more documents than you need.
- **Protect our service users:** Data will be kept securely and disposed of when no longer needed.
- **Protect us all:** You can provide reliable evidence, stored securely, to explain and justify decisions and meet legal requirements.

This vision is short, easy to read, and inspiring – it describes a future where many day to day issues and irritations are eliminated and clearly describes how the change will benefit individual staff, the organisation, and customers. Notice that it does not go into detail about the specific solutions that will be implemented, namely the EDRMS and associated behaviour changes, but paints a positive picture of the future that everyone can imagine and buy into. This vision was a key marketing and communications tool for the EDRMS programme and was advertised widely at all stages of the change journey to increase and maintain buy-in. It was also used at key decision points in the programme to check that all planned activities would lead towards the vision. If not, despite however interesting or appealing the suggested activity was, it was classified as scope creep and not taken forward as part of the programme.

COMMUNICATING EARLY MESSAGES ABOUT THE CHANGE

Anyone involved in the very early stages of a change initiative faces a difficult decision – should the ideas be communicated more widely and if so, how and what should be said? There is often reluctance amongst leaders to communicate about a potential change until there is a high level of certainty that it will go ahead and many of the details of the future are known. This is perfectly understandable, as the initial announcement about a change carries the risk of disturbing staff, affecting motivation, and diverting attention and effort away from business as usual. If communication commences whilst the change idea is still being discussed, people will ask for details which are not yet known, and rumours and speculation about the change will grow quickly. This can cause disruption and unhappiness within the organisation, when the change idea may end up significantly different to the original proposals, or even not happen at all. However, there are also risks involved with not communicating early about proposed change initiatives. Lack of trust and a feeling that change is being imposed on people can be increased if change is communicated only once it is a 'done deal' and all major decisions have been made. It is also hard to

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keep secrets in organisations, so it doesn't generally take long for any change ideas discussed behind closed doors to become public knowledge. Rumours, speculation, and conspiracy theories all feed off official silence, and change leaders risk ridicule and cynicism if they come to announce a change they think has been planned in secret only to find out the everyone has known about it for months.

Therefore, like so much else in business change, there is no one right time to communicate about your change. The decision of when to communicate is dependent on a number of factors, including:

- The size and types of impact the change will bring
- Whether the change proposals will be popular
- The number of different solutions being considered
- How much is already widely known about the drivers for change
- How confident and mature the organisation is in dealing with change.

In addition to these factors, **Table 2.2** shows some of the advantages and disadvantages of communicating your change idea early. Use this information to help your change leaders decide when to start communicating about your change.

If you do decide to communicate early about your change, there are a few things to bear in mind:

- People will want to ask questions, get involved, and give feedback. Therefore, you need mechanisms in place to manage this. Don't just give out a message about a potential change and leave people with nowhere to go for follow-up.
- You won't have all the answers and detail at this stage, and it is perfectly acceptable to explain this to people. Just make clear what is happening to get the answers, and let them know a date when you will tell them more.
- Explain the drivers for change in early communications to help people see why the change is necessary. If there are no clear drivers, then people will see only 'change for change's sake', and it will be much harder to get buy-in and engagement.
- You will need to update people regularly on how the change idea is progressing. Even if the idea is subsequently dropped, you still need to inform people and explain why. This will increase trust and encourage open and transparent engagement in any future changes.

More information about communicating during change is explored in Chapter 8.

SHAPING THE NEED FOR CHANGE

Advantages	*Disadvantages*
Early involvement from key stakeholders may result in a better solution as they may have information which can help with planning and designing the future.	If the change will have a major impact, people may be distracted from their day jobs by worrying about the future.
Giving out clear information from official sources combats rumours and speculation which often build the change up to be much worse than it actually is.	Expectations may be raised about a change which eventually does not happen, resulting in cynicism and a lack of confidence in any future changes.
Early indicators of how the change will be received can be gauged, and more time and effort can be given to gaining people's buy-in if necessary.	People will want to ask questions, get involved, and offer opinions which will take time and resources to manage and may detract from the key activities of planning the change.
If people are needed for planning activities, it is easier to engage them and get them released from their business as usual work if everyone knows why.	Organisational resistance in the early stages of a change may result in ideas being dismissed without being examined properly – potentially missing real chances for improvement.
Levels of trust are increased if people are kept informed. Trust is important in implementing successful change, and withholding information makes people feel disempowered, frustrated, and belittled.	If job losses or unpalatable changes are expected, people will begin to look for new roles outside of the organisation. Good staff will go first because they are more employable and you may not have had time to put strategies in place to encourage them to stay.

Table 2.2 • Advantages and disadvantages of early communications.

BOX 2.4

Communicating early about a major change in Workout!

Senior leaders at Workout! became aware of a number of drivers for change that were threatening the organisation. Aware that they could not continue to thrive, in fact even survive, as they were, the Head of Employment Services was tasked with investigating current problems and coming up with some early ideas of what a successful future might look like.

Knowing that any future options would require significant changes to the way the organisation was structured and run, the CEO was keen to inform all staff, volunteers, and members of the need for change as early as possible. She used her opening speech at the Workout! annual conference to introduce the idea, focussing

SHAPING THE NEED FOR CHANGE

on the drivers for the change and reiterating the organisation's key aim of supporting all job seekers in the UK. She admitted that there were no firm ideas of what the change would involve but, knowing how passionate everyone in Workout! was about the aims of the organisation, painted a compelling picture of a future where Workout! could support more job seekers in a wider variety of ways. She then out-lined the timetable for the initial investigation and promised to send out more information in a few months, together with information about how people could become involved. In the meantime, she invited anyone with queries or concerns to contact the Head of Employment Services, who had set up a dedicated email address and allocated time in his schedule to manage any correspondence over the coming weeks.

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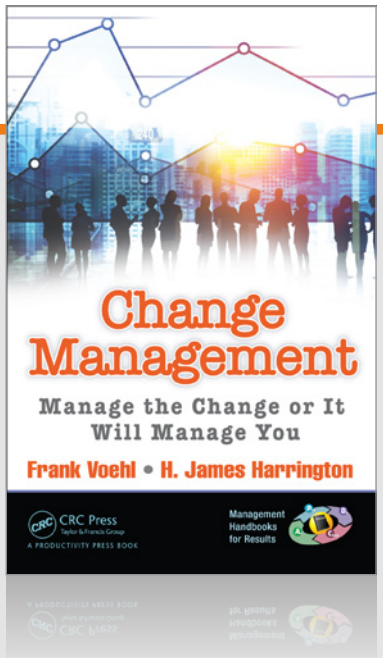
CHAPTER 3

DIRTY DOZEN MOST POPULAR MODELS



This chapter is excerpted from

Change Management:
Manage the Change or It Will Manage You

By Frank Voehl and H. James Harrington

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DIRTY DOZEN MOST POPULAR MODELS

Excerpted from *Change Management*

In a Nutshell: The most popular OCM models have evolved from seven main threads or streams over the past 70 years or so. They are outlined in this chapter to provide a background context for your OCM effort. We show how the seven main threads have found their way into the "Dirty Dozen Models for Change Management," as we like to call them. Finally, our Model for Sustainable Change is profiled in this book toward the end of the chapter; it is an amalgam of the best and most workable features of these seven historical threads and the emergent 12 "Dirty Dozen" models for effective change management. We call this model SUSTAIN, which is an acronym for the seven-component Harrington-Voehl Lifecycle Model (see Chapter 5 for a full treatment of the Lifecycle Model). The change management models out-lined in this chapter present a convincing argument that traditional management structures and practices that emphasize control and uniformity are in many cases antichange. That is, the culture and structure of traditional organizations are such that adapting to rapid change is inherently difficult and slow. If management's focus is to reduce the variability and instability of human actions to uniform and dependable patterns, the antichange aspects will make creating an organization that adapts quickly to turbulence and complexity a very difficult task indeed.

OVERVIEW

Traditionally, OCM has a long history of being used to help project management teams successfully implement projects/programs that involve changing the activities and/or the behavioral patterns of the people within the organization that would be impacted by the change (Campbell 1969). Our research has led us to some of the earliest writings of humankind that center on change.* But it is one thing to produce a momentary change and quite another to sustain the change, as the findings in this chapter will illustrate.

By the early 1980s, project managers were required to have not only an excellent understanding of the technology involved and the processes required to implement the technology, but also awareness that project success was heavily dependent on the degree of acceptance by the people. Projects in customer relations management, concurrent engineering, Lean, and Total Quality Management (TQM) required that the project be in direct alignment with the organization culture and mission. In order for the technology to be successful, people were required to change their operating behaviors. Backed by statistics which began to demonstrate that up to 65 percent of the strategic initiatives required significant behavioral change on the part of the employees, project managers came to realize their success relied heavily on the

**Dating back as early as 3000 BCE, the I Ching or Book of Changes conceived the notion of change as inevitable, and resistance to change as one of humankind's greatest causes of pain. These early agents of change wrote that in order to affect change in a positive way, a balance was required between internal and external forces.*

DIRTY DOZEN MOST POPULAR MODELS

ability of the project team to change the habits and behaviors of the impacted employees (Burgelman 1991).

This is change management at its essence: proactive steps taken to enable the passing from one phase or state to the next, with the goal of an improvement and innovation over the original condition that can be effectively sustained over time, which is where the process and quality management aspects come into play. The purpose of this chapter is to briefly review the development of thought regarding OCM over the last 70 years, highlight what we have learned, and propose a path forward that establishes a model for achieving sustainable change.

EVOLUTION OF CHANGE MANAGEMENT

Our studies have shown that very little has been well documented on the evolution of OCM from the sustainability viewpoint at the organizational level. Various articles reflect diverse research into the topic of organizational change. However, many of these studies looked at organizational change from several perspectives. There is no right or wrong theory to OCM, as it is not an exact science. However, by performing some ongoing research combined with studies by the industry's leading experts, a clearer picture of what it takes to lead a change effort effectively continues to emerge. It is important that we must continually review and consider how our changing society and culture will require fresh insight on the appropriate change process. Management techniques based on the classical bureaucratic structure described by Max Weber have proven to be inflexible in environments of rapid change and increased turbulence and complexity (Scott 1981; Scott and Davis 2003).

Change management models and theories addressed in our research suggest that the research can be organized into seven main threads or streams as follows:

1. *Thread One: Starting with top management using the Action Research Learning Model/Theory* (began by Collier 1945; Lewin 1946; Trist 1948–1965; French 1969; Agrilis, 1976; Brown and Tandon 1983; Tichy and Ulrich 1984; Robbins and Duncan 1988; Agrylis and Schein 1989)
    - The results: These experts were somewhat viewed as the fathers of modern-era focus on change management. Their models focused on the change itself. Lewin and Trist used a force-field approach to indicate that forces moving toward the future state must be stronger than opposing forces. A potential deficiency was that this approach focused on change as a stand-alone event, and while recognizing with the "freeze" state that change needs to be sustained, did not address *how* to sustain.

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2. *Thread Two: Lewin's Three-Step Model Unfreeze-Change-Refreeze* (Lewin 1945, 1951) and Schein's Extension of Lewin's Change Model (Schein 1980)
   - This focused more on the role and responsibility of the change agent using available media than on the evolution of the change itself. Information is continuously exchanged throughout the process.
   - *The results: A concise view of the new state is required to clearly identify the gap between the present state and that being proposed*. This approach used activities that aid in making the change include imitation of role models and looking for personalized solutions through trial-and-error learning; mixed results for success.
3. *Thread Three: Shifting Paradigms Model of Planned Change* by Lippit, Watson, and Westley, which expanded Lewin's Three-Step Model to a Five-Phase Model (Lippit, Watson, and Westley 1958)
   - Lippitt, Watson, and Westley point out that changes are more likely to be stable if they allow paradigms to spread to neighboring systems or to subparts of the system immediately affected. Changes are better rooted. Some examples are: the individual meets other problems in a similar way, several businesses adopt the same innovation, or the problem spreads to other departments of the same business. The result: the more widespread imitation becomes, the more the behavior is regarded as normal.
4. *Thread Four: Kotter's Talk and Communicate Eight-Step Model* (Kotter 1996); expanded/contracted by Bridges into the Transitions Management model (2000)
   - In 1996 John Kotter wrote *Leading Change*, which looked at what people did to transform their organizations. Kotter introduced an eight-step change model for helping managers deal with communication issues dealing with transformational change. This is summarized in Kotter's eight-step change model. For *The Heart of Change* (2002), John Kotter worked with Dan Cohen to look into the core problems people face when leading change. The result: Kotter and Bridges concluded that the central issue was changing the behavior of people and that successful change occurs when *speaking to people's feelings*. This model focused on the actual movement (i.e., transition) from current state to future state. Similar to Lewin, Bridges did not address sustaining the change, whereas Kotter did. They all assumed that if the transition is done correctly, there would not be a return to the previous state, and this has proven to not always be the case.
5. *Thread Five: Assimilate and Integrate n-Step* Change Models* (Mento, Jones, and Dirmdofers 2002); Jick's abbreviated Ten-Step Model (Jick 2001, 2003); Ten

*The n-Step change management concept also includes Transformation Trajectory (Taffinfer 1998), Nine-Phase Change Process Model (Anderson and Anderson 2001), Step-by-Step Change Model (Kirkpatrick 2001), 12 Step Framework (Mento, Jones, and Dirndorfer 2002), RAND's Six Steps (Light 2005), and Integrated Model (Leppitt 2006).

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Commandments (Kanter 1983, 1989); Ten Keys (Pendlebury, Grouard, and Meston 1998); 12 Action Steps (Nadler 1989, 1998)

- This entails following a variety of steps; the exact steps vary depending on the model used; belief that achieving organizational change is assimilated through an integrated and planned approach; claims to be appropriate for all types of change; each of the ten-step models focuses on taking an integrated approach to transformation as a whole.

6. *Thread Six: Invest in planning using Shield's Five-Step Model* (Shield 1999) and Prosci's ADKAR Organizational Change model (2000–2014)

   - These models were first introduced in 1999 as an outcome-oriented planning approach to facilitate individual change. The result: the ADKAR model has taken hold as an easy-to-use and proven method, and is now one of the most widely used change management models in the world.

7. *Thread Seven: Negotiated results delivered through project portfolios*

   - The Bain Model and Harrington-Voehl Change Leader Model both focus on negotiating the change management landscape by predicting, measuring, and managing risk associated with the changes being sought. The result: considerable increase in the odds of success and the support of experts and dedicated partners within the client's organization who are focused on achieving the hoped-for OCM results.

These seven historical streams suggest a need for a sustainable change model, which is noticeably missing from the body of knowledge and is presented for review at the end of this chapter. Some recent developments include a growing shift into a more robust focus on strategic initiative management and organizational change to ensure that change management is a competency that is well integrated into the organization's portfolio of programs and projects to achieve intended strategic outcomes.

SOME SPECIFICS FROM THE RESEARCH

According to the Project Management Institute's *Pulse of the Profession® In-Depth Report: Enabling Organizational Change through Strategic Initiatives* (PMI 2014), 48 percent of strategic initiatives are unsuccessful, and as a result, nearly 15 percent of every dollar spent is lost due to poor project performance. The good news is that success rates are significantly higher in organizations that report being highly effective at OCM. Bain's 2013 research suggests that in order to realize effective results, the role of the external consultant must be to help clients overcome the odds

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of failure. Global executives who participated in Bain & Company's Management Tools & Trends survey (Bain & Company 2013) see economic conditions improving in their industries, but their confidence has waned amid a slower recovery than many anticipated. As a result, 55 percent of executives surveyed were concerned about meeting their earnings targets in 2013. Their priority is to grow revenues, and they're taking a more strategic and focused approach.

Too often, projects neglect the human factor (especially in the implementation of enterprise technology). Bain's approach focuses on three key ingredients to improve the odds of success: predicting, measuring, and managing change-associated risk from the very first day of the project.

In the end, even with the best intentions, an application of change management half-measures in most organizational interventions (particularly found in IT initiatives) traditionally tends to run organizations into a state of disorganizational chaos, which leads to (and is fed by) further dysfunctional OCM practices (Burke, Lake, and Paine 2009).

Hornstein (2008) summarized the issue as it relates to IT programs when he stated, "One of the most important and significant outcomes of organizational change efforts that are coupled with IT implementations is the demonstration of the power of community and community action."

There are many different roles and activities that the individuals involved in change management play (see Figure 3.1). Each individual needs to understand his or her role and responsibility for organizational change management to be successful.

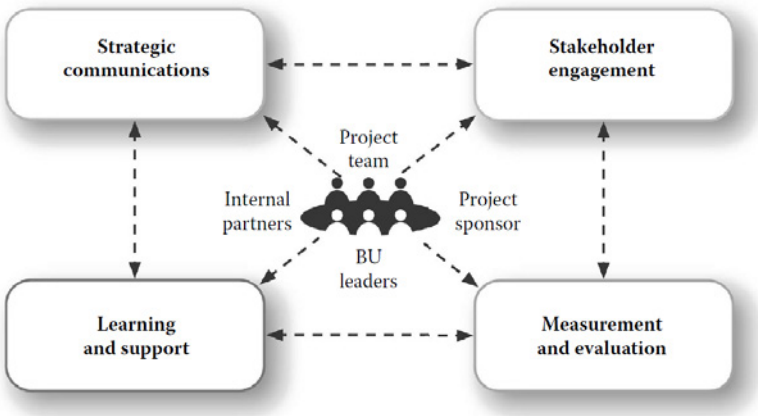

Figure 3.1 • Various roles involved in change management.

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The creation of change agent roles, which are populated by organizational members bringing all staff together to engage one another and the leadership in dialogue about the vision going forward, in turn bring out the pride and commitment of employees. Furthermore, it then becomes clear that everyone in the organization has great ideas about how the organization can improve itself.

Employees often are just waiting for the opportunity to be invited to contribute (see Figure 3.2).

Accelerate End-User Adoption with a Strong Organizational Change Capability

When companies choose to deploy new software to end-users across the enterprise, they are looking to either enhance business performance or minimize IT costs. These goals are often broken down into more discrete objectives such as increasing employee productivity, providing new capabilities, streamlining processes, reducing service desk calls, and so forth. Regardless of whether the software runs "in the cloud" or locally on employees' machines, the economic business case assumes that some percentage of the end-user population will adopt the new software. The projected return on investment (ROI) as defined by the business case depends on achieving a defined target adoption rate.

The Mathematics of End-User Adoption

It is important for IT leaders to understand the role that organizational change plays in driving successful end-user adoption. The most elegant software solution flawlessly deployed will yield a low adoption rate without effective organizational change management. This point is illustrated in the equation below where the *Technical Capability* is your software and hardware selections, IT project governance, risk management, resource prioritization, and deployment approach; and *Organizational Change Capability* represents communications strategy, vision of the future, case for change, stakeholder engagement, and training.

Technical Capability		Organizational Change Capability		End-User Adoption Rate
Software, hardware, project governance, risk mitigation, IT resources, deployment approach	X	Strategic communications, vision, the case for change, stakeholder engagement, and training strategy	=	

Using a 10-point scale where 10 equals 100% confidence, score your project's Technical Capability (TC), then score its Organizational Change Capability (OCC). Typically, IT project teams will score higher on TC than on OCC. When this occurs, the team should focus on increasing the OCC rather than TC score. For example, let's say you scored your project as follows: 8 (TC) x 6 (OCC) = 48. Increasing your TC score by 2 points will yield an overall score of 60. But, increasing your OCC score by 2 points will bump your overall score to 64 – four points higher than if you had focused on the TC score. This simple formula illustrates how Organizational Change Capability serves as a *force multiplier* in driving end-user adoption.

Figure 3.2 • Accelerate end-user adoption.

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(See the paper "Accelerate End-User Adoption with a Strong Organizational Change Capability" by Emergent Technologies [Jessie Jacoby, managing director] for more details, at http://www.mosaichub.com/resources/download/accelerate-end-user-adoption-with-a-strong-organiz.)

Figure 3.3 shows how a transportation company used an OCM software product called LearningGuide as their third-party support tool to help facilitate the adoption of a change management project.

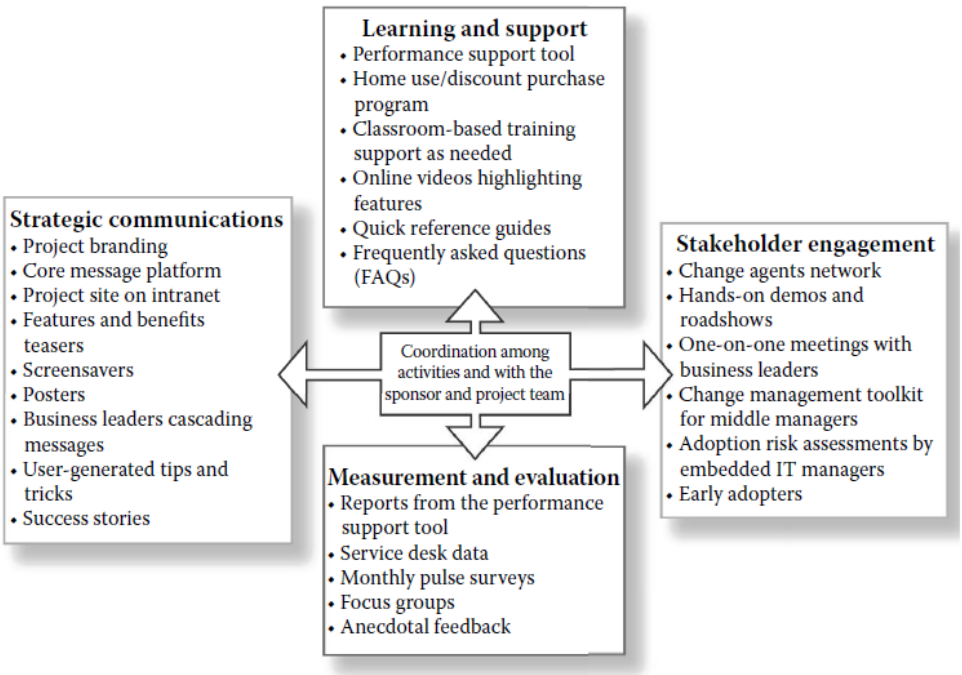

Figure 3.3 • U.S.-based transportation company example.

MORE SPECIFICS FROM THE RESEARCH

Since many organizations employ various change management methodologies, approaches, and models, Gavin's emerging OCM Toolkit is designed in a modular fashion to support and boost the effectiveness of the approaches discussed in the seven threads. Specifically, the dozen models below have emerged as being widely adopted and sustainable, hence we affectionately call them The Dirty Dozen. As time-honored models, they activate positive change behaviors during the stages of the most common methodologies, approaches, and models.

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Excerpted from *Change Management*

The basis of their inclusion was that the model is

1. Effective—it works
2. Economical—it has a ROI
3. Long-lasting—not here today, gone tomorrow
4. Used or has been used by at least 100 organizations
5. Suitable for any type of organization
6. Used or has been used for at least 5 years
7. Suitable for any type of work culture

The Dirty Dozen includes

- The Universal Change Activation Toolkit
- ADKAR Model for Change Management
- Accelerating Implementation Methodology (AIM)
- Beckham and Harris Change Management Process
- Boston Consulting Group (BCG) Change Delta
- Bridges Leading Transition Model for Change
- Harrington-Voehl sustainable change model
- GE's Change Acceleration Process (CAP)
- John Kotter Eight-Step Model for Change
- McKinsey 7S Change Model
- Kurt Lewin's Three-Stage Change Model
- People-centered implementation (PCI) Model

Each model is evaluated in **Table 4.1** as they apply to the seven OCM threads that constitute the SUSTAIN Lifecycle.

Each of these 12 (Dirty Dozen) models have been influenced to some extent by the seven threads. For the sake of keeping the discussion and relationships simple, the designations High (H), Medium (M), and Low (L) are used to illustrate the relationships between our SUSTAIN Model for OCM and the seven developmental threads of the past 70 years.

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The Dirty Dozen Most Popular Change Management Models	The Seven Organizational Change Management Threads							Totals
	S	U	S	T	A	I	N	
Universal Change Activation Toolkit	H	M	H	H	H	H	M	19
ADKAR Model for Change Management	H	M	M	H	H	M	M	17
AIM (Accelerating Implementation Methodology)	M	L	L	H	H	M	L	13
Beckhard and Harris Change Management Process	H	M	M	M	H	M	L	15
Boston Consulting Group (BCG) Change Delta	H	H	M	H	M	L	L	15
Bridges Leading Transitions Model for Change	H	M	M	H	H	M	M	17
The Harrington-Voehl Change Roadmap	H	H	M	H	H	H	M	19
GE's CAP	H	L	M	M	H	M	H	16
Kotter Eight Step Model for Change	H	M	L	H	M	H	M	16
McKinsey 7-S Change Model	M	M	H	M	H	M	L	15
Lewin's Three-Stage Change Model	H	H	M	M	H	M	M	17
PCI Model	L	L	M	H	H	M	M	14
Totals	32	24	24	32	32	26	21	197

Table 3.1 • The Dirty Dozen Models' Relationships to the SUSTAIN OCM Model

Note: SUSTAIN is an acronym broken down as follows: S = Start with Top Management, U = Unfreeze-Change-Refreeze, S = Shifting Paradigms, T = Talk and Communicate, A = Assimilate and Integrate, I = Invest in Planning, N = Negotiate Results. CAP = Change Acceleration Process, H = high, L = low, M = medium, PCI = people-centered implementation.

BRIEF DESCRIPTION OF THE 12 MODELS

1. (UNIVERSAL) OCM TOOLKIT

The (Universal) Organizational Change Management Toolkit was developed by Gavin Wendell of Better Business Learning, which specializes in producing unique and effective organizational development resources. The mission of the Toolkit is to improve the way organizations worldwide grow and change. Over 20,000 organizations in 140 countries utilize the Better Business Learning change management guides included in the Change Activation Toolkit. *It is proven to give the change agent an appreciation of where and how this Toolkit can be used to accelerate the development and implementation of the Dirty Dozen Change Management Programs.*

DIRTY DOZEN MOST POPULAR MODELS

Excerpted from *Change Management*

The Change Activation Toolkit is compatible with all change methodologies and models. A detailed compatibility guide maps which of the Toolkit's 18 modules can be used to boost engagement and awareness at the stages and phases of all prominent methodologies, including many of the ones described in this chapter: ADKAR, AIM, BCG Change Delta, Bridges Leading Transition, Change Leader's Roadmap, GE CAP, Harrington-Voehl Roadmap, Kotter's Eight-Stage model, Kubler Ross Change Curve, Kurt Lewin's Three-Phase model, LaMarsh, PCI, Prosci, and others.

The Universal OCM Toolkit consists of 18 modules. They are:

1. Project and change management
2. Engaging and maintaining sponsor involvement
3. Creating a communication strategy
4. Choosing communication channels
5. Accommodating different communication styles
6. Inspiring action not despair
7. Change stakeholder analysis
8. Change readiness assessment
9. Conducting gap analysis
10. Learning and coaching as change enablers
11. Four common responses to change
12. Managing resistance
13. Telling stories
14. Culture and change
15. Learning and coaching as change enablers
16. Managing change effectiveness
17. Why change fails
18. Thinking about organizational change

In addition, the Toolkit's 18 modules are used to determine the contextual features and implementation options that are required for consideration when an organization undergoes change. The framework of the model helps to design a context-sensitive approach to change. After examining and analyzing different strategic models, we can conclude that strategic change is successful when it has a positive impact on

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people, systems, and the organization. The clients that we surveyed practiced changes in strategy, leadership, structure, culture, and process. They reengineered the systems, maintained continuous improvement in change, and focused on customer-centered changes. All these changes were aimed at reducing the cost and improving the effectiveness of the operations.

Finally, the change is effective because of the exceptional management style and ability to adapt to that change processes. The companies that are able to provide better services to both the customers and the employees have all used one or more of the OCM models outlined in this book. They excelled in providing better-quality service to the customers by employing a customized OCM model and approach that worked best for their organization, at that time, and in those circumstances; one size does not fit all. They were also able to motivate the employees by providing job opportunities leading them to better performance results, and they were able to achieve their organization's goals and objectives using the OCM models, tools, and techniques outlined in this book. The strategies in an organization emerged over time in an incremental way by learning from partial commitments and previous moves.

The unique animated videos featured in each module contained in this Toolkit's approach to OCM can be shown with or without the accompanying facilitated workshop activities as suits the particular need. For sessions utilizing the workshop facilitation guide and materials, each module features between three and five activities that can be selected depending on group size, experience level, and requirements (see Chapter 7 for details).

The Change Activation Toolkit model empowers change leaders to implement OCM in the context of the following seven generic OCM areas:

1. Leading change
2. Creating a shared need
3. Shaping a vision
4. Mobilizing commitment
5. Making change last
6. Monitoring progress
7. Changing systems and structures

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Each of the 18 modules contains six multimedia features or areas of focus.

Figure 3.4 depicts the six multimedia features of the Change Activation Toolkit, and can be arranged according to the particular phase or type of intervention where the components are most likely to be employed.

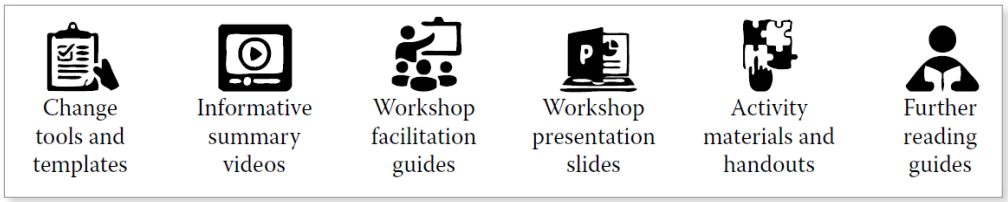

Figure 3.4 • Multimedia features in universal change activation.

2. PROSCI ADKAR MODEL

The Prosci ADKAR change management model was first published in the 1998 book *The Perfect Change* by Jeff Hiatt, founder and CEO of Prosci Research. (For more information, see Hiatt, J.M. [2006] ADKAR: *A Model for Change in Business, Government and Our Community*.)

The ADKAR model addresses change at the scale of the individual rather than the whole organization. This is a part of the Prosci Change Management Methodology; however, it is often used on its own as a guiding framework for creating change initiatives as shown below. Prosci's ADKAR Model is an individual change management model. It outlines the five building blocks of successful change, whether that change occurs at home, in the community, or at work.

ADKAR is an acronym based on the five building blocks:

- A, *awareness of the need for change*
- D, *desire to participate and support the change*
- K, *knowledge on how to change*
- A, *ability to implement required skills and behaviors*
- R, *reinforcement to sustain the change*

The final three building blocks of Prosci's ADKAR Model— *knowledge, ability, and reinforcement*—are where the individual, who is making the change, ultimately begins doing things the new way. It involves knowing how to make the change, making the change, and ultimately staying with the change. While these building blocks are

DIRTY DOZEN MOST POPULAR MODELS

where the actual change occurs, it is important to remember the building block nature of ADKAR; knowledge, ability, and reinforcement cannot be attained without the prerequisite awareness and desire.

Prosci offers some tips and reflections about knowledge, ability, and reinforcement that can help change management professionals be more effective in implementing change.

- *Change does not begin with knowledge*. Without a holistic model for individual change, such as Prosci's ADKAR Model, teams can easily fall into the trap of simply sending employees to training when a change is being introduced. This rarely drives successful change and can often have negative and lasting impacts on the employees who must bring a change to life in their day-to-day work. Training is critical, but it must occur in the context of sufficient awareness and desire.
- *Do not assume that with knowledge comes ability*. There is often a large gap between knowledge and ability. Ensure that along with training to impart knowledge, employees are given sufficient tools for building their own ability, including hands-on practice, support from coaches, and the availability to network and work with others who have made the change successfully.
- *Keep a focus on reinforcement, even when it is difficult*. There is so much change going on in organizations today that maintaining a focus on reinforcing change is difficult. Acknowledge this fact, and the tendency to simply move on once a change goes live, and build the necessary mechanisms to reinforce a change. You only know if a change was successful if you take a step back afterward to see if employees are actually doing their jobs differently.

The ADKAR change management model was first published in the 1998 book *The Perfect Change* by Jeff Hiatt, founder and CEO of Prosci Research. For more information, see Hiatt, J.M. (2006) *ADKAR: a model for change in business, government and our community*. Learn more at: www.change-management.com/tutorial-adkar-overview.htm.

The Change Activation Toolkit can be used with the ADKAR Model to align the five stages and build OCM capability while engaging the staff throughout all five stages, as shown in **Figure 3.5**.

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ADKAR goal	Change activation toolkit modules that support this goal (CHANGE ACTIVATION TOOLKIT)
Awareness	Choosing communication channels; Creating a communication strategy; Thinking about oraganizational change
Desire	Inspiring action not despair; Telling stories
Knowledge	Accommodating different communication styles
Ability	Leearning and coaching as change enablers; Managing resistance; Four common responses to change
Reinforcement	Culture and change; Measuring change effectiveness

Figure 3.5 • Five-Stage ADKAR Model aligned with Change Activation Toolkit.

3. AIM OR ACCELERATED CHANGE MANAGEMENT FOR BUSINESS TRANSFORMATION

Dealing with multiple, simultaneous types of change are what the model for accelerated change management (ACM) for business transformation is all about. When people are impacted by change in a modern organization, they are usually caught off-guard. Most people are hard-wired to think, view, and deal with change in a natural way. However, for an organization to be lean, successful, and around for the long-term, processes have to transform change into advantage.

According to change practitioner Tom McNellis,* the heartbeat of all business is energy (computer hardware, software, databases, phones, applications, etc.). Hundreds of technologies conducted via energy will change every day at an ever more rapid rate, primarily due to continuous innovation. Sometimes one or two types of change(s) can be planned-for through project management, where a project team might plan the change(s), and place a "no-more-change" stake-line into the project

*For more information, contact: tmn@afebresearch.com; or call 1-610-937-2370.

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base and communicate the words "scope freeze." From that moment on, any change(s) that might impact scope, time, and/or budget has to filter through a change control board. Change control boards are created to determine which changes will move forward and which changes will not, as part of project implementation. However, due to technological innovations, there will be multiple changes impacting organizations.

The accelerated change management for business transformation considers six areas of transformation for Agile and Open operational models:

L = Transformation of Operating Models

E = Transformation of Customer Interfaces

A = Transformation of Product Innovation

N = Transformation of Data Mining Hubs

E = Transformation of Optimization Algorithms

R = Transformation of Project Team Approaches

The AIM (or ACM) Model is organized into six phases: (1) Define the Implementation, (2) Generate Sponsorships, (3) Build Change Agent Capability, (4) Develop Target Readiness, (5) Communication, and (6) Define the Reinforcement Strategy.

4. BECKHAM AND HARRIS CHANGE MANAGEMENT

There are six components to the Beckham & Harris (B&H) change management model:

- Components 1 and 2: Establishing the need for motivating change, and Building the Change team
- Component Three: Creating a shared vision
- Component Four: Communicating and developing political capital and support
- Component Five: Managing the transition by noticing improvements and energizing others
- Component Six: Sustaining momentum by consolidating the gains

Figure 3.6 depicts the 11 organizational change management activities needed for effective interventions, grouped into the five major categories of Motivating Change, Creating a Vision, Developing Political Support, Managing the Transition, and Sustaining Momentum.

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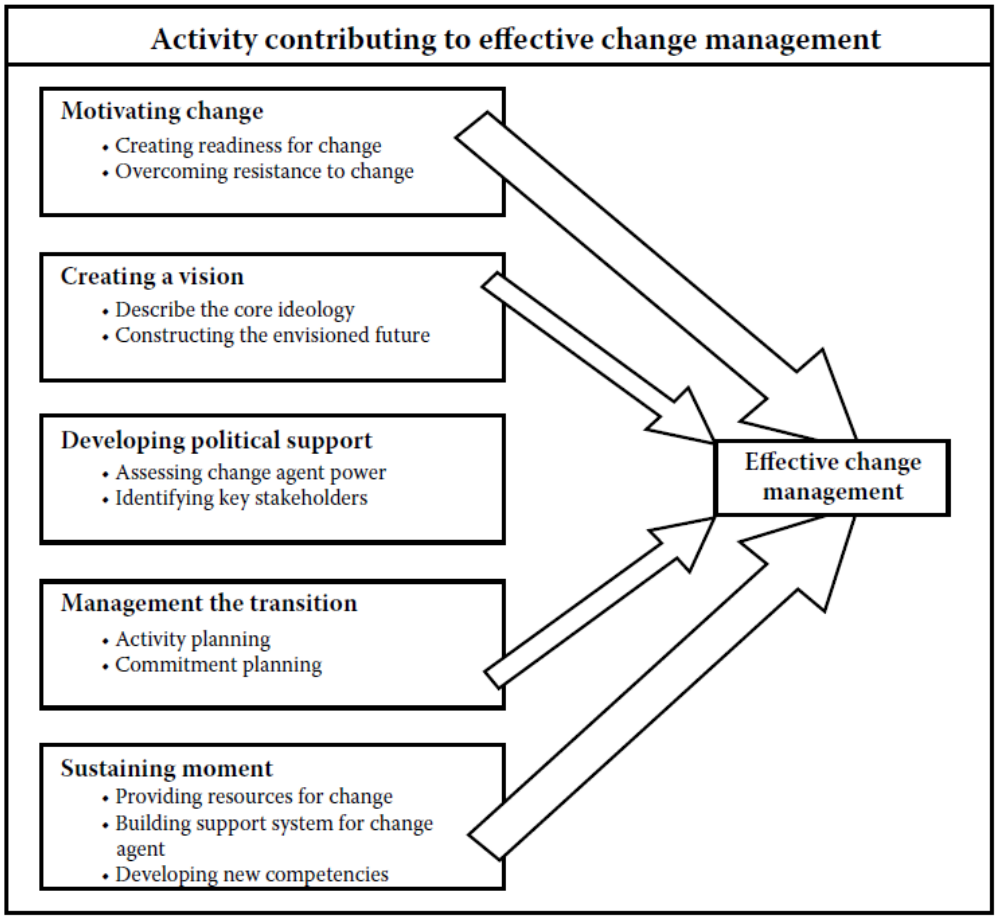

Figure 3.6 • The Beckham and Harris Change Management Activity Model.

5. BOSTON CONSULTING GROUP

The Boston Consulting Group (BCG) Model for change management is also called the Hard Side of change management. They have studied hundreds of major change programs at companies around the world, with a goal of developing a more effective approach—one that would reduce the risks and virtually assure a positive outcome.

Based on research findings, they created a systematic, Technology-enabled change management approach that addresses operational and organizational changes along with the behaviors that affect program outcomes and are critical to success. Rigorous program development, tracking, and reporting is used to stay on schedule and on budget.

Their model suggests that the outcome of change initiatives is driven by four elements: the *duration* of the project; the performance *integrity* of the team; the

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organizational *commitment* to change; and the additional *effort* required of staff members; thus the term DICE, as in rolling the dice. Assessing projects against these four elements can greatly help institutions achieve successful change from Ideation to Impact. Also included is a methodology for scoring and statistically analyzing the dynamics of DICE, thereby allowing objective assessment of the likely outcome of transformation, helping to load the dice in your favor. Underlying the DICE concept, the BCG model revolves around four distinct components on a project-level basis: executional certainty, enabled leaders, an engaged organization, and a governance/PMO function, as shown in **Figure 3.7**.

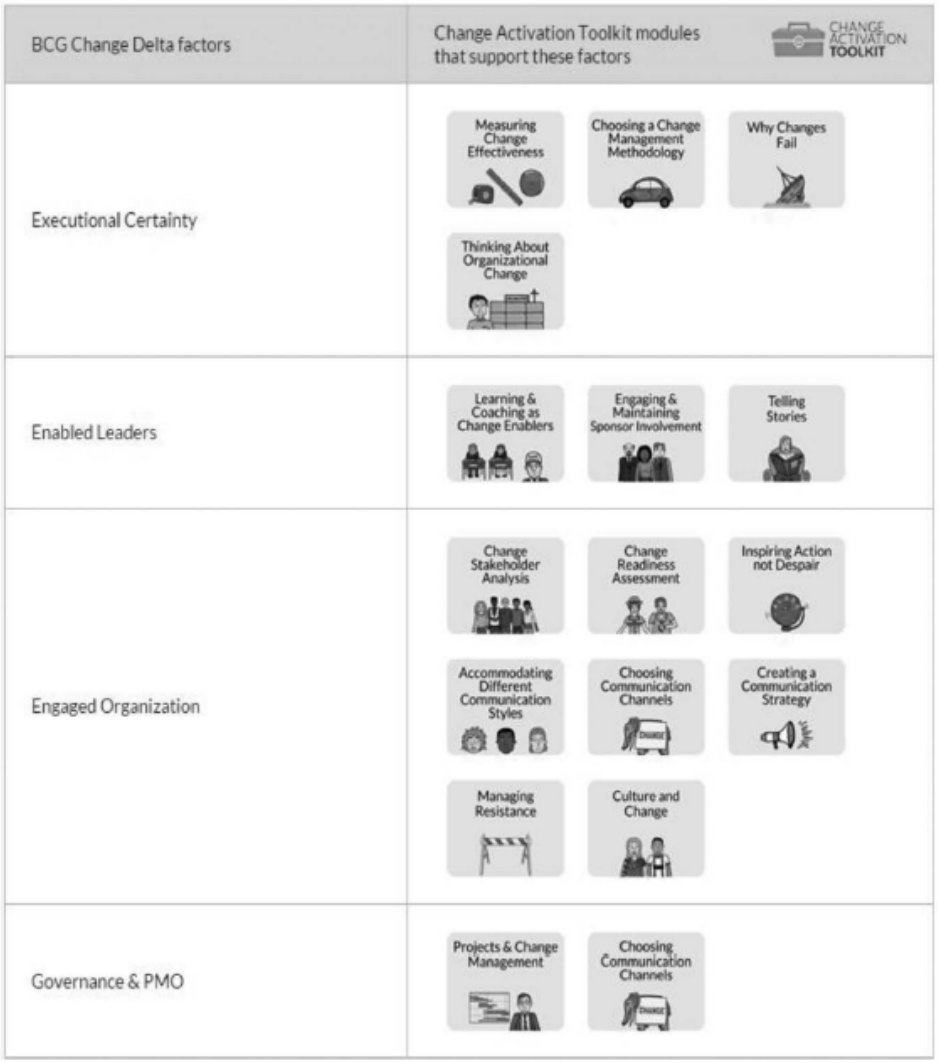

Figure 3.7 • The Four-Stage BCG Model with Change Activation Toolkit. Depiction of the four BCG Delta Factors model with the related 17 modules of the Change Activation Toolkit.

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6. BRIDGES TRANSITIONS MANAGEMENT MODEL

The Bridges Three-Phase Model explores human behaviors relating to change and defines typical emotions that individuals might exhibit during the change process. The Model provides strategies on how to overcome some of the emotional barriers to change without getting stuck.

For example, in the new beginning phase, there may be a great deal of fear of the unknown. One strategy might be to provide training on specific tools or educational materials. In the neutral zone, allow creative ways to think about work. During the ending and losing phase, people will feel committed and this requires the need to sustain the new way of working, possibly through goal setting. Include individuals through each phase of the transition. For more information, see Bridges, W. (2009) *Managing Transitions: Making the Most of Change*.

The Bridges Model explorers the human behaviors related to change management and defines the typical emotions that employees may exhibit during the change process. The value of the Bridges model is its simplicity in outlining the strategies involved with overcoming the emotional barriers to change.

7. HARRINGTONVOEHL CHANGE LEADER ROADMAP

The Harrington-Voehl Change Leader Roadmap was first created in 1995 as a five-step process and was gradually expanded into the present seven-step Model for Sustainable Change (see **Figure 3.8**). It is based on two major factors for change: a personal context and an organizational context. The personal context for change revolves around positive and negative motivating factors that are evaluated by employees on a personal level. This includes factors such as an employee's personal and family situation, health, financial position, stability, mobility, relationships, and so forth. An employee's professional career history and plans (successes, failures, promotions, aspirations, and years left before retirement) are also considerations. The degree that this change will affect them personally is one of the keys. The organizational context for change involves employees evaluating these positive and negative motivating factors based on an organization's history with change, such as past change success or failure, the likelihood that this change will really happen, and consequences for employees that have resisted change in the past.

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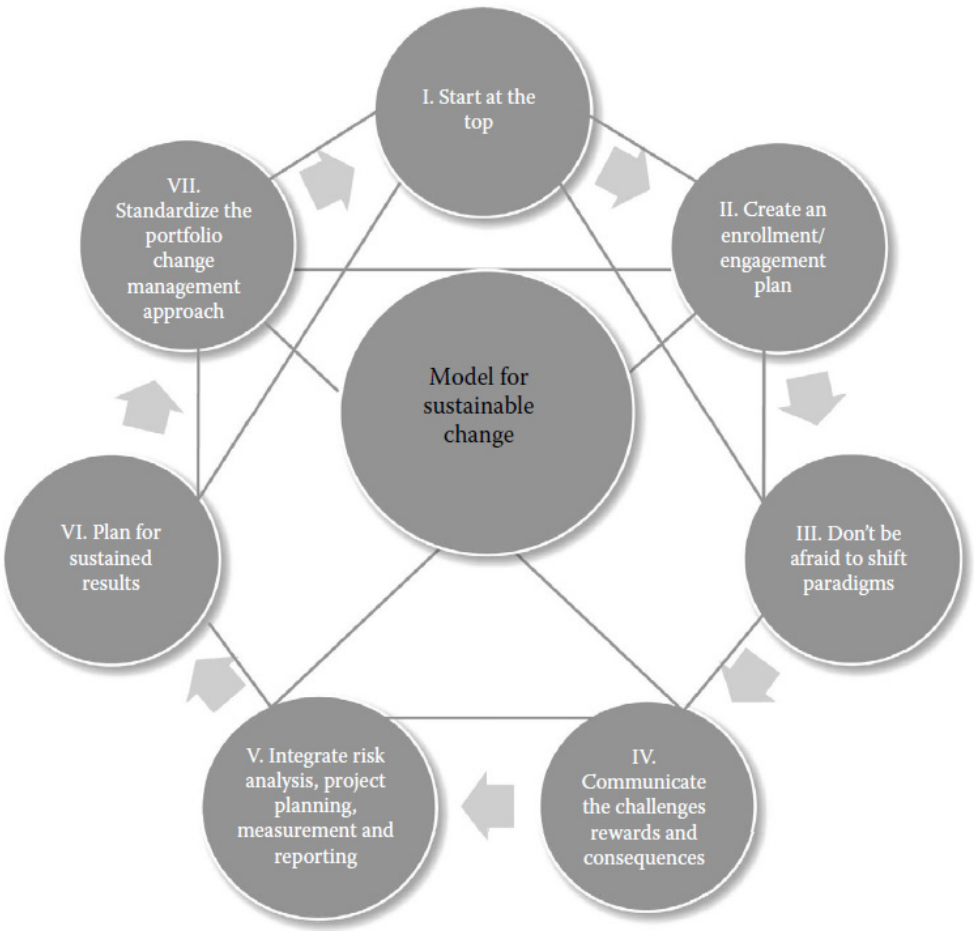

Figure 3.8 • The Harrington-Voehl sustainable change model. Depiction of the Harrington-Voehl Seven-Stage sustainable change model, which is expanded on in more detail later in this chapter.

8. GE'S CHANGE ACCELERATION PROCESS

About 25 years ago, under the direction of Chairman Jack Welch, GE launched Work-Out, a team based problem-solving and employee empowerment program modeled after the FPL Total Quality Management Systems approach (called the Deming Prize) that was in vogue at the time.* Work-Out was a huge success and Welch was frustrated by the rate of adoption through the business. Welch, the visionary, realized that GE (and everyone else!) was entering an era of constant change, and that those who adapted to change the fastest would be the survivors. He commissioned a team of consultants (including Steve Kerr, who was to become GE's first Chief Learning Officer) to scour industry and academia to study the best

*FPL pursued the quest for the Deming Prize wholeheartedly. Instead of continuing to implement the company's 1985 quality-improvement initiative QIP gradually, employees were given less than six months to meet Deming Prize requirements. Rigorous weekly training courses were developed for first-line, nonsupervisory employees, and over 1700 teams were formed to come up with problem-solving solutions to reduce costs or improve efficiency. Managers were required to master new managerial theories and complex statistical calculations. Supervisors spent their time tracking and calculating dozens of cross-referenced indicators such as the percentage of street lights installed in 21 days. A functional review team was required to document and analyze 800 different procedures for everything from conducting energy surveys to answering customer complaint letters. An area manager of customer service for the utility's commercial/industrial group summed up the rigid process and the avalanche of paperwork by stating that preparing for the exam was "grueling."

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practices in change management and come back to GE with a toolkit that Welch's managers could easily implement. The result was the Change Acceleration Process, commonly referred to within GE simply as CAP (Becker, Huselid, and Ulrich 2001).

The team studied hundreds of projects and business initiatives. One of their insights was that a high-quality technical strategy solution is insufficient to guarantee success. An astonishingly high percentage of failed projects had excellent technical plans. As an example of such a project, consider a business adopting Siebel Customer Relationship Management (CRM) system enterprise-wide. Typically a great deal of effort is put into the technical strategy to deploy the hardware and software, train the employees, and so forth.

The team found that it is lack of attention to the cultural factors that derail the project when there is a failure—not the technical strategy. Failure, for our purposes, is defined as failing to achieve the anticipated benefits of the project (i.e., the benefits that justified the project in the first place). With the help of Frank Voehl and FPL, the team adopted Maier's Change Effectiveness Equation: $Q \times A = E$* as a simple way to describe the phenomena. Translated to English, it reads: the Effectiveness (E) of any initiative is equal to the product of the Quality of the technical strategy and the Acceptance (A) of that strategy. In other words, paying attention to the people side of the equation is as important to success as the technical side. (Note: It is interesting to note that we decided to use a multiplicative relationship; if there is a zero for the Acceptance factor, the total effectiveness of the initiative will be zero, regardless of the strength of the technical strategy.)

CAP Model

Seven steps were used to implement the CAP Model. They are

Step 1: Leading Change

Step 2: Creating a Shared Need

Step 3: Shaping a Vision

Step 4: Mobilizing commitment

Step 5: Making Change Last

Step 6: Monitoring Process

Step 7: Changing Systems and Structures

*The Change Effectiveness Equation ($E = Q \times A$) was first developed by Norman Maier in his work at the University of Chicago. It was first used in conjunction with the Total Quality program by Frank Voehl in 1983 at the University of Miami, and when he was the COO and General Manager of FPL Qualtec for use by client Design and Development Teams during the late 1980s. In 1988–1989, GE was a client of Qualtec and Voehl worked with their Corporate Design Team to help design the Work-Out program, and in particular the change management components.

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1. Leading Change: First and foremost, authentic, committed leadership throughout the duration of the initiative is essential for success. From a project management perspective, there is a significant risk of failure if the organization perceives a lack of leadership commitment to the initiative.
2. Creating a Shared Need: The need for change must outweigh the resistance—the inertia in the organization to maintain the status quo. There must be compelling reasons to change that resonate not just for the leadership team, but that will appeal to all stakeholders. To paraphrase Peter Senge in his groundbreaking book, The Fifth Discipline, "Although we are all interested in large scale change, we must change one mind at a time."
3. Shaping a Vision: Leadership must articulate a clear and legitimate vision of the world after the change initiative. Every journey must have a destination; otherwise, you are just wandering. The vision must be widely understood and shared. The end-state must be described in behavioral terms (i.e., observable, measurable terms). Not business results, but individual behavior. Shaping the vision and mobilizing commitment might be the two most critical factors in a successful change initiative, as shown in Figure 3.9.

   In order to make change permanent, you must systematically identify how these systems influence the behavior you are trying to change and modify them appropriately. Failure to address these systems and structures is why so many initiatives become the proverbial flavor of the month.

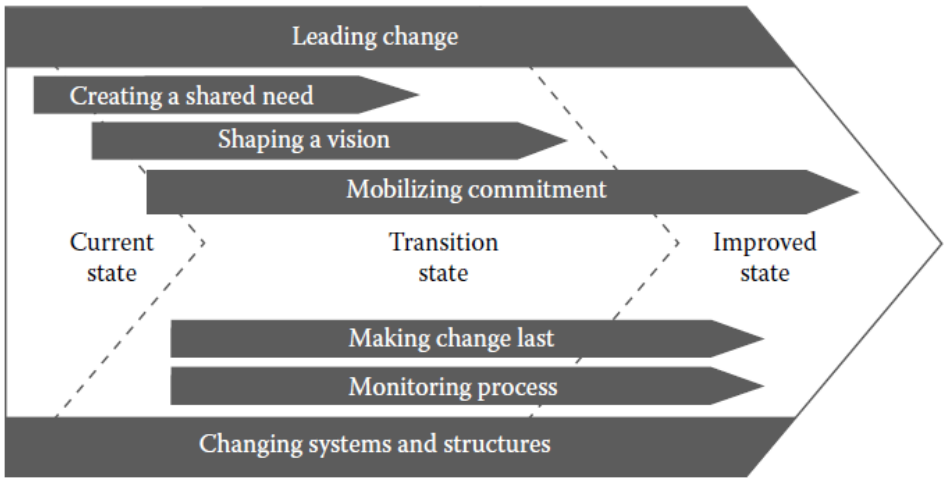

Figure 3.9 • The GE CAP model.

4. Mobilizing commitment: Once you have leadership support, compelling logic for change, and a clear vision of the future, you have the necessary ingredients to

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roll out your initiative. You now begin to execute an influence strategy to build momentum. You leverage the early adopters to pilot the project where you face low resistance and can learn from mistakes with a forgiving partner.

5. Making Change Last: Steps 2–4 are primarily about accelerating adoption of your changes. Steps 5–7 are about making the changes permanent. You leverage early wins, taking the knowledge gained in your pilots and transfer learning and best practices to your broader rollout. You plan for integrating with other existing, potentially competing initiatives. You assess what is helping and what is hindering the initiative.
6. Monitoring Process: It is important to plan for measuring the progress of your change initiative. Is it real? How will you know? You need to set benchmarks, realize them—and celebrate! Similarly, there must be accountability for lack of progress.
7. Changing Systems and Structures: Every business has underlying systems and structures: hiring and staffing, IT systems, training and development, resource allocation, organizational design, SOPs/workflow, and so forth. These systems were designed to support the current state of the business. If they are not changed to support the desired future state of the business, they will always push you back to the old way, as that is what they are supposed to do.

9. KOTTER EIGHTSTEP MODEL

The Kotter Eight-Step Model, created by Harvard University Professor John Kotter, allows employees to buy into the change after leaders convince them of the sense of urgency for change to occur. There are eight steps involved in this model:

1. Increase the urgency for change
2. Build a team dedicated to change
3. Create the vision for change
4. Communicate the need for change
5. Empower staff with the ability to change
6. Create short term goals
7. Stay persistent
8. Make the change permanent

With over 30 years of research and trial-and-error efforts to his name, Dr. Kotter has proved by surveying over 100 client organizations over a seven-year period that nearly 70 percent of major changes within organizations fail to live up to their expectations.

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It is Kotter's belief, with a high certainty of success, that organizations who do not adapt to change will not prosper. Since technology and employee bases are ever-changing variables, Kotter recommends that executive management teams implement a holistic approach to improve change.

Without embracing the holistic approach, the team will identify the lack thereof of change, and management could be taking a one-way ride on a rollercoaster that has already been embarked on. Remember, the end goal is to lead change and eventually anchor the changes into the existing framework of corporate culture. Resistance to acknowledge change is only a temporary Band-Aid to the problem, which could ultimately pose negative results.

Kotter's eight-step change model is about showing people a truth that influences their feelings. We've seen how a sense of urgency moves people to action and helps us pull together a guiding team that can go on to prepare a clear and simple vision of the future. Communicating the vision and strategy comes next. The John Kotter Eight-Step Change model is a linear model that focuses on the importance of gaining buy-in. It is relatively simple to understand and works well in organizations that are organized in a relatively narrow organizational structure. The selling point is its simplicity, a memorable eight steps, and a basis in Kotter's thirty-plus years of research into organizational change. For more information, see Kotter, J.P. (1996) *Leading Change* and Kotter, J. (1998) *Leading Change: Why Transformation Efforts Fail*, Harvard Business Review.

10. MCKINSEY 7S CHANGE MANAGEMENT MODEL

The McKinsey 7S Framework is a management model developed by well-known business consultants Robert H. Waterman, Jr. and Tom Peters who also developed the Management by Walking Around (MBWA) motif, and authored *In Search of Excellence* in the 1980s. It was a strategic vision for groups to include businesses, business units, and teams. The 7S components are structure, strategy, systems, skills, style, staff, and shared values.

The model is most often used as an organizational analysis tool to assess and monitor changes in the internal situation of an organization. The model is based on the theory that, for an organization to perform well, these seven elements need to be aligned and mutually reinforcing. Therefore, the model can be used to help identify what needs to be realigned to improve performance or to maintain alignment (and performance) during other types of change.

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Excerpted from *Change Management*

Whatever the type of change—restructuring, new processes, organizational merger, new systems, change of leadership, and so forth—the model can be used to understand how the organizational elements are interrelated and so ensure that the wider impact of changes made in one area is taken into consideration. The objective is to analyze how well an organization is positioned to achieve its intended objectives. **Figure 3.10** depicts the McKinsey 7-S Model, along with the relationship to each of the associated categories.

According to Tom Peters, one of the authors, the shape of the model was also of monumental importance. It suggested that all seven forces needed to somehow be aligned if the organization was going to move forward vigorously—this was the breakthrough (a word I normally despise) that directly addressed Ron Daniel's initial concerns that had motivated the project. As he put it in the 1980 *Business Horizons* article, "At its most powerful and complex, the framework forces us to concentrate on interactions and fit." The real energy required to redirect an institution, Peters claimed, comes when all the variables in the model are aligned.

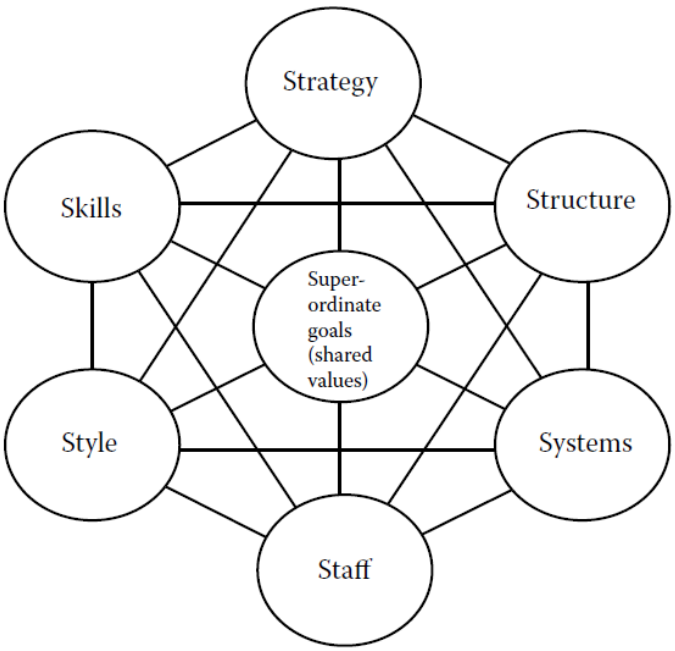

Figure 3.10 • The McKinsey 7-S process.

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Excerpted from *Change Management*

11. LEWIN'S THREE STAGE CHANGE MODEL

The three major theories of organizational change that have received considerable attention in the field are Lewin's Change Model, the Action Research Model, and Contemporary Adaptations of Action Research.

Lewin's Change Model: According to the open-systems view, organizations, like living creatures, tend to be continuously working to maintain a steady state. This helps us understand why organizations require external impetus to initiate change and indeed why that change will be resisted even when it is necessary.

Looking at the organization as a system, change can occur at three levels. And since the patterns of resistance to change are different for each, the patterns in each level require different change strategies and techniques (see **Figure 3.11**). These levels involve

- Changing the individuals who work in the organization—that is, their skills, values, attitudes, and eventually behavior—but making sure that such individual behavioral change is always regarded as instrumental to organizational change
- Changing various organizational structures and systems—reward systems, reporting relationships, work design, and so on
- Directly changing the organizational climate or interpersonal style—how open people are with each other, how conflict is managed, how decisions are made, and so on

According to Kurt Lewin, a pioneer in the field of social psychology of organizations, the first step of any OCM process is to unfreeze the present pattern of behavior as a way of managing and mitigating resistance to change. Depending on the organizational level of change intended, such unfreezing might involve, on the individual level, selectively promoting or terminating employees; on the structural level, developing highly experiential training programs in such new organization designs as matrix management; or, on the climate level, providing data-based feedback on how employees feel about certain management practices.

Whatever the level involved, each of these interventions is intended to make organizational members address that level's need for change, heighten their awareness of their own behavioral patterns, and make them more open to the change process. The second step, movement, involves making the actual changes that will move the organization to another level of response. On the individual level, we would expect to see people behaving differently, perhaps demonstrating new skills or new supervisory practices. And, on the individual level, we would expect to

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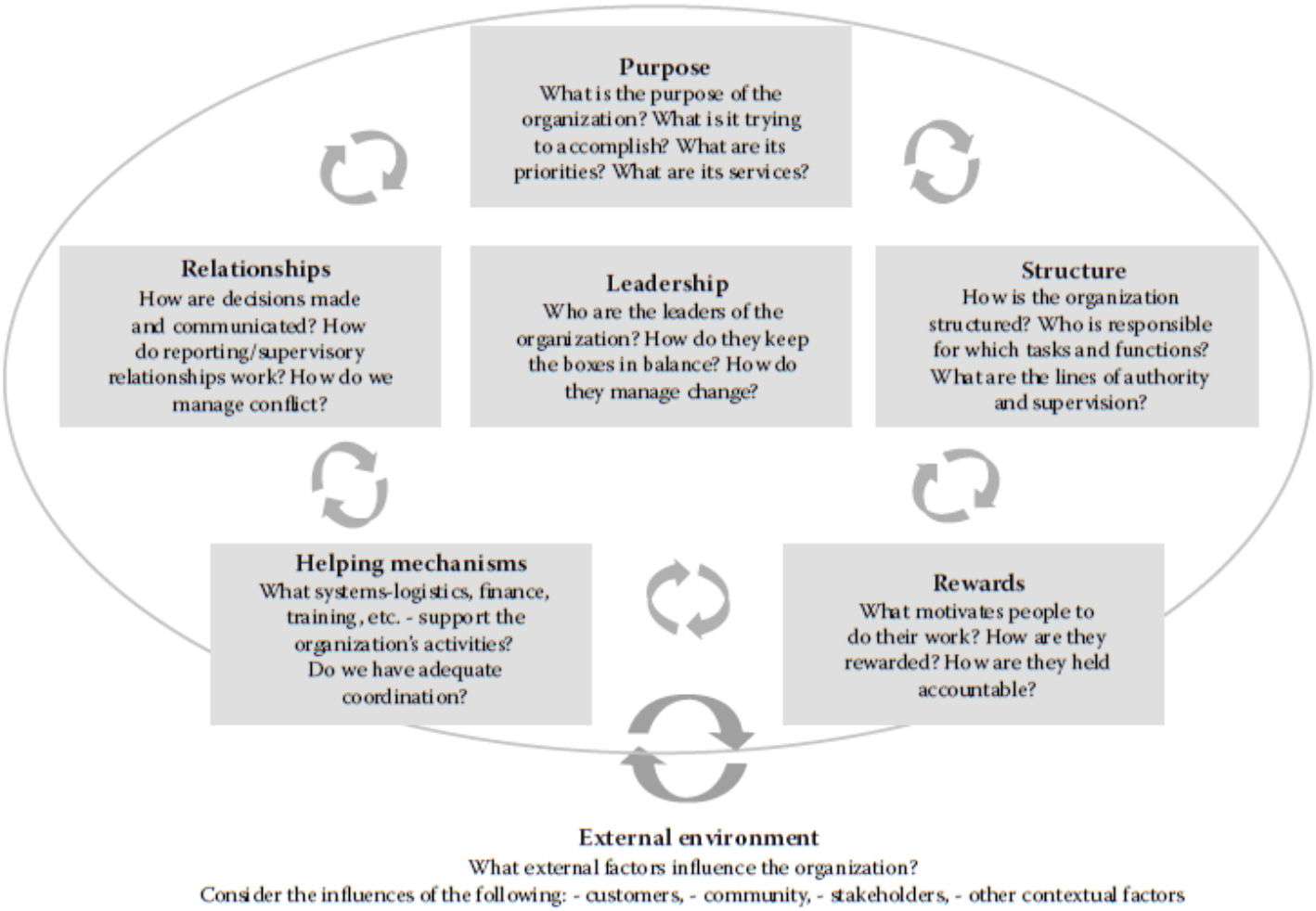

Figure 3.11 • Lewin's view of the Organization as a System

see changes in actual organizational structures, reporting relationships, and reward systems that affect the way people do their work.

Finally, on the climate or interpersonal level, we would expect to see behavior patterns that indicate greater interpersonal trust and openness and fewer dysfunctional interactions. The final stage of the change process, refreezing, involves stabilizing or institutionalizing these changes by establishing systems that make these behavioral patterns "relatively secure against change," as Lewin put it. The refreezing stage may involve, for example, redesigning the organization's recruitment process to increase the likelihood of hiring applicants who share the organization's

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new management style and value system. During the refreezing stage, the organization may also ensure that the new behaviors have become the operating norms at work, that the reward system actually reinforces those behaviors, or that a new, more participative management style predominates.

Another useful Lewin-based OCM framework to consider is the *Burke-Litwin model*. The model not only provides users with more areas of the system, but also shows where there is higher leverage for transformational shifts. The Burke-Litwin Change Model gives you a map to look at for the alignment of your organization. It contains more dimensions than most other models, which makes it look overly complex at first glance. However, there is some simplicity when you look at the model from a top-down perspective, as it provides a strategic view of the types of shifts you want to initiate. Since his early development days, Lewin has insisted that mission and strategy, leadership, and organization culture are transformational in nature. The other layers of the model are more for transactional and individual changes. For example, some leaders try to create transformation by restructuring or trying to motivate staff. They can be helpful mechanisms to increase organization effectiveness, but they do not normally manifest in transformational shifts.

12. PEOPLE-CENTERED IMPLEMENTATION

People-centered implementation (PCI) is a proven methodology that has helped over 175 organizations worldwide to deliver change more effectively by engaging people in the change process, following the six critical success factors (CSFs). They are

CSF 1: Effective change leadership

CSF 2: Powerful engagement processes

CSF 3: Committed local sponsors

CSF 4: Strong personal connections

CSF 5: Sustained personal performance

CSF 6: Shared change purpose

The six CSFs are shown in **Figure 3.12**. PCI creates an environment of sustained change and ultimately increases project success rates.

The PCI Model enables change leaders and project teams to deliver sustainable change through an integrated suite of e-learning modules, online change assessments, collaboration, and a step-by-step change planner.

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Figure 3.12 • The PCI change management Model.

The Six PCI CSFs

PCI is designed around a set of CSFs that should be addressed at the local and the organizational levels by management in order to drive effective change management program initiatives (see Table 3.2). Table 3.2 shows how each of the categories can be self-evaluated by management on a 100-point score.

Table 3.2 shows the six PCI CSFs that can be used as a self-evaluation tool prior to, during, and after the OCM intervention.

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CSF Category	What the CSFs Enable the Organization to Do	Total Points
Shared change purpose	The focus is on building the sense of urgency, the buy-in, and the commitment that is needed in order to create a shared compelling case for change management that both directs and motivates the people in the organization	10
Effective change leadership	Change leadership starts with changing oneself; then build a network of trained skilled change leaders	15
Powerful engagement processes	Develop and implement the processes needed to communicate with others; need to educate, involve, and reward the workforce	15
Committed local sponsors	Support change management implementation by providing middle and front-line management with the workforce engagement skills, tools, and motivation, allowing them to work closely with their people during the change deployment	20
Strong personal connection	Work up-close and personal with managers and supervisors to deliver a personal commitment, along with skill building and behavior-changing action plans that help the workers to change more effectively	15
Sustained personal performance	Minimize disruption and maximize performance by helping the workers to adapt to the changes and embed the transition in a manner that really sticks in order to ensure that the benefits of the change are continuously realized	25
Total points		100

Table 3.2 • The PCI CSF Index

BEST PRACTICES HIGHLIGHTS

Best Practices in Change Management by Prosci, Inc. April, 2014 highlighted an alarming statistic: nearly 60 percent of the companies analyzed lacked the right capabilities to deliver on their change plans, while about the same percentage of companies didn't have the appropriate individuals, structures, and decision-making processes to drive the change initiatives. Furthermore, about 60 percent lacked the right metrics and incentives to make change efforts successful, and more than 63 percent of the companies faced high risks to their change efforts because of

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significant communications gaps between the leaders of the effort and the employees most affected by it.*

Although lack of employee motivation still emerges as a key barrier to sustainable change, nonetheless it still ranks at the bottom of this list. A clear challenger emerges with the key need being a global paradigm shift consisting of changing mindsets, attitudes, and organizational culture. In Section 3 of this book, we explore the real impact of changing organizational paradigms and evolving to a culture of alignment and enrollment, integral to the Model for Sustainable Change.

The following is from a May 2008 study done by IBM†:

1. Changing mindsets and attitudes (58%)
2. Corporate culture (49%)
3. Underestimation of complexity (35%)
4. Shortage of resources (33%)
5. Lack of higher management commitment (32%)
6. Lack of change know-how (20%)
7. Lack of motivation of involved employees (16%)

To conclude the assessment of the current state of organizational change (both within the framework of this book and within organizations seeking to assess their change readiness), the PMI companion paper *Building Change Agility: The Strategic Process for Agility Improvement* posts several key questions that must be addressed to effect change and pave the way for establishing a change sustainability model within organizations:

1. *Who needs to be ready for a change*? This includes both internal and external actors, and requires both alignments at the strategic/structural level as well as enrollment throughout the organization to ensure that impacts from change can be efficiently and empathetically absorbed and reacted upon with an effective response.
2. *What processes/activities need to be ready for change*? This includes both organizational processes, such as strategic alignment, processes integral to OCM mobilization, and execution including change control and governance, and supporting processes for organizational portfolio/program/project monitoring, measuring, managing, and sustaining through lessons learned.

* Ibid. www.bain.com/publications/articles/results-delivery-busting-3-common-change-manage ment-myths.aspx.

† IBM Global Study: Majority of Organizational Change Projects Fail. Changing Mindsets and Culture Continue to Be Major Obstacles, October 2008. See: www-03.ibm.com/press/us/en/pressrelease/25492.wss.

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3. *What changes in operational systems need to support change agility?* Change Agility defines for operational dimensions on which organizations seeking change agility and sustainability need to focus their change readiness assessment efforts:
    - Time: includes responsiveness, prioritization, decision making, sense of urgency
    - Leadership: includes cultural trust and transparency, innovation, and openness
    - Work norms: includes decision involvement, collaboration, and participation
    - Learning: includes sharing, mentoring, performance review, and standardization
4. *What causal drivers need to be addressed in order to improve change agility*? Most organizations focus at the outcome level, only addressing problem symptoms as they arise. They rarely get beyond the tip of the iceberg to address the root causes of pervasive, persistent causal factors perennially driving down change adoption rates or get beyond the status quo. Addressing the following causal drivers as part of a comprehensive change readiness assessment (Champy 1997) is a sure way to break the status quo and move toward a Model for Sustainable Change:
    - Culture: includes leadership and organizational responsiveness (markets, trends), innovation; holistic/transparent/integrated alignment within boundaries, lean structures/decision making; collaborative, coordinated work efforts; participatory decision making with two-way input and feedback on future direction; knowledge sharing and individual development
    - Commitment: includes leadership embracing the change paradigm as the norm; rigorous prioritization, qualification, and selection of potential change initiatives; leaders as active change agents throughout ensuring alignment, enrollment, and strategy execution
    - Capacity: organization embraces lean/agile/adaptability in business practices and processes; standardizes a portfolio management approach of strategically aligned inventory of initiatives prioritized, organized, and managed through a Program Management Office type infrastructure; processes for strategy development, solution definition, and change management are well defined and utilized; process improvement is a stated and active goal of the organization; planning is inclusive; resources are allocated and managed proactively

Finally, our research-oriented* change readiness assessment should highlight the degree to which recognition and reward systems support all of these stated objectives and themes, especially those contributing to progress on these key causal drivers of change agility and sustainability.

*2011, Five Guiding Principles of Change Management, Bain & Company, Inc. See: www.bain.com/Images/2011-01-04%20BAIN%20BRIEF%20Results%20delivery.pdf.

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Harrington, H.J. and Conner, D., Project Change Management and Change Management Excellence. New York: McGraw-Hill, 2000.

DIRTY DOZEN MOST POPULAR MODELS

Excerpted from *Change Management*

CHANGES IN APPROACH LEAD TO SUSTAIN

There is a need to make a shift in most organizations' change culture. Project managers face continual challenges to keep up with the pace of change, especially when new technology initiatives are introduced. Most often in traditional change management, the change effort starts at communication, ends with training, and hopes for the best. To break with this pattern and embrace the Model for Sustainable Change, project managers in addition to managing the scope of their projects must also engage those being impacted by the change and go beyond traditional approaches to communication and embrace that of alignment and enrollment.

In the Harvard Business Review article *Leading Change: Why Transformation Efforts Fail* (by John P. Kotter, January 2007), we learn that while some of these traditional efforts have been very successful, many others have been complete failures, and the majority wind up in the middle. As quoted in the Ivey Business Journal article *Using A Change Management Approach to Implement IT Programs*, a 2003 revealed that over 60 percent of IT projects failed to meet their stated goals. A contributing factor was poor change adoption fueled by resistance to change. The key to attaining sustainable change is for the organization's leadership to continue the alignment, engagement, and enrollment process, ensuring predictable and measurable (at least more reliable) change based on the following critical success factors for organizational change:

- Leadership and project alignment with organizational strategic objectives
- Enforcement through alignment with individual performance and project results
- Performance enhancement via employee empowerment and information sharing via a variety of media channels, training, and education
- Measurement, reporting (as a form of feedback) and knowledge of results

To build the supporting case for this book, we interviewed several leaders in the field of change management. One of the thought-leaders in OCM, Darrell R. Conner, has completely shifted his perspective from traditional OCM to one of Strategy Execution and knowledge shift. Based on *The Secrets to Successful Strategy Execution* from the June 2008 issue of HBR, this concept shows how any organization can better execute its strategy without making costly, disruptive changes to its core structure. A key aspect of Strategy Execution is to create deep commitment and alignment within senior leadership, then roll out the enrollment plan by empowering change agents to participate in its construction (APQC 2014). The research from leading organizations and universities demonstrates how project/portfolio and program managers (and

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their organizations) can move from mere installation into alignment, realization, and repeatability by following a Model for Sustainable Change, such as outlined in our SUSTAIN Lifecycle Model in Chapter 5 and briefly described below.*

Table 3.3 and the model in Figure 3.6 show the seven threads involved in the model for creating a Sustainable Change environment in the organization.

Definition	Description
S: Start at the top	If behaviors within the organization are to change, accountability needs to begin with the executive sponsor and the executive steering committee. Establishing a crystal clear change agenda sets the foundation for a successful project.
U: Use an enrollment/ engagement plan approach	The change sponsor also has responsibility for using media to create enrollment/engagement plans, which further outline the desired behaviors, actions, accountability/ownership, and targeted completion date.
S: Shift paradigms when needed	What made your organization great in the past may not be the case today, and may not be nearly strong enough amid increasing global competition to sustain investor demands for increasingly stronger profits and performance.
T: Talk and communicate	Once alignment has been attained among the steering committee and within the organization's strategic objectives, conversation can be created to begin the process of enrolling the organization. This requires clearly talking about the shared vision and purpose for the change by honestly outlining the opportunity (or problem), its associated challenges, and the rewards that will come about as the project goals are realized.
A: Assimilate and integrate	With the senior sponsors aligned and committed to and embracing the change, the change agents are typically the ones who know best how the change may impact their people and processes, and plan accordingly to mitigate the risks associated with the change. A balance needs to be struck between the desire for change and the organization's ability to embrace any fundamental changes.
I: Invest in planning for sustained results	Through practice and iterations of change, the investment in change will be realized as true project ROI is attained. As additional capacities become available and the organization becomes accustomed to adapting to change, it yields a well of resources that can be converted into sustaining prior gains, investment in innovation, new capacities, and product and service lines. This leads to competitive market advantage, building further capacity for additional iterations of change and innovation.
N: Negotiate risks with a portfolio approach	The value in negotiating using a portfolio management approach to change is that it directly links the change agenda back to the organization's strategic plan objectives. Furthermore, a portfolio's collective components (programs, projects, or even subportfolios) are a direct reflection of the organizational strategy and objectives.

Table 3.3 • The SUSTAIN Model for Organizational Change Management (OCM)

*See for details www.bain.com/publications/articles/results-delivery-busting-3-common-change-management-myths.aspx; www.simplicityhr.com/sustainable-change.

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Ingraining these seven behaviors enables organizations to realize results consistently and predictably. Based on the prior seven threads of change and on our own current research, we've established this seven-step *Model for Sustainable Change* that captures the best available OCM approaches.

The SUSTAIN Model aligns well with the project management body of knowledge (PMBOK) Portfolio Management (Program Management Institute 2013) in that it will benefit organizations by ensuring standardization of the following practices, typically the province of the organization's Project Management Office (PMO), are applied to the change agenda:

- Providing an infrastructure for the management of projects, programs, and portfolios and the execution of individual change agendas
- Supporting review and evaluation of new initiative requests, facilitating prioritization and authorization of new projects, and allocating resources to affect change in alignment with organizational strategy and objectives
- Providing project and program progress reporting of critical success factor metrics, resources, expenditures, defects, and associated corrective actions to the portfolio governance process and the Change Management Committee
- Negotiating and coordinating resources between projects, programs, or other portfolios
- Assisting with risk identification and mitigation
- Communicating risks and issues related to ongoing initiatives
- Monitoring compliance to PMO policies and ensuring ongoing alignment with the organization's strategic objectives
- Mentoring change agents while developing and delivering training in process, project, and change management tools and techniques
- Providing knowledge management resources and archival services, including collection and propagation of lessons learned

For details, see www.pmi.org/PMBOK-Guide-and-Standards/Standards-Library-of-PMI-Global-Standards.aspx.

Once the objectives for change have been attained and reported, it's time to close out the project. This last step is very often overlooked as a bit of change exhaustion may have set in during the course of the initiative. Understanding that this dynamic will be present as your project winds down and energy naturally shifts elsewhere, plan up

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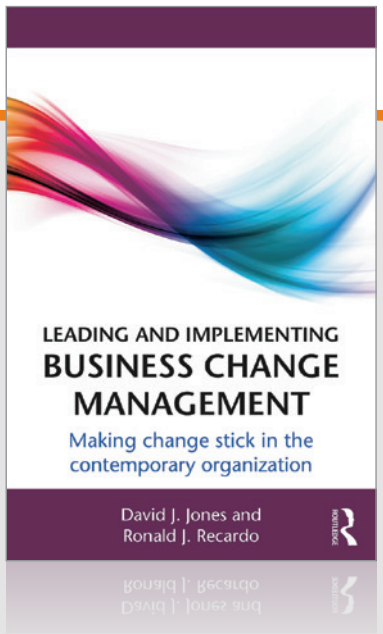
front on documenting the lessons learned at this stage (transition or closure). The importance to the organization is to ingrain what went right and avoid replicating anything that went off course. Focusing and standardizing organizational change approaches across the portfolios of projects over a sustained period of time is crucial to building an organizational culture that is adaptive to change (and improvement) as part of the organization's day-to-day operations.

SUMMARY

Various methods (with varying results) have been used throughout the last 100 years to affect change and deal with the inevitable impacts of conflict management and change (Gelfand, Leslie, and Keller 2008). In the course of our research, we've documented high-performing organizations that have developed cultures in which conflict and change are managed effectively. As the PMI's whitepaper article titled *Pulse of the Profession* points out, to successfully implement OCM strategy, companies require project and program managers with the skills to drive and navigate change, and the insight to ensure those changes are strategically aligned to business goals. All of the change experts agree that the success or failure of a change initiative is not just about initiating, planning, monitoring, executing, and evaluating the project that will drive the change. It also involves preparing your organization for transformation, ensuring stakeholder buy-in, and engaging executive sponsors to champion and support the change before, during, and after its implementation. By following the models, and specifically the Model for Sustainable Change, suggested in this book, organizations will be better positioned to maximize the return on investment placed into their programs, projects, and people. By following these practical methods, your organization will progress from traditional change management (mere installation) by evolving and involving the culture of the organization into a new paradigm of organizational change enrollment and alignment.

CHAPTER 4

CHANGE RESISTANCE



This chapter is excerpted from

Leading and Implementing Business Change Management

By David J. Jones and Ronald J. Recardo

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CHANGE RESISTANCE

Excerpted from *Leading and Implementing Business Change Management*

"A new philosophy, a new way of life, is not given for nothing. It has to be paid for and only acquired with much patience and great effort."[1]

Fyodor Dostoevsky

SITUATIONAL CONTEXT FOR CHANGE RESISTANCE

Your change initiative has been rolled out. The change master plan is in place and the change vision, goals, and benefits have been thoughtfully crafted and communicated at a town hall meeting by the change leadership team. Things should be progressing, and you expect to find an abundance of uplifting energy across the initiative. But as you walk the halls, pop in to teamwork sessions, and listen in on candid conversations between your leaders, it becomes clear that people are holding back. Attitudes, behavior, and energy are not flowing in a unified, positive direction. Resistance is impeding your organizational change initiative. You need to get the resistance out on the table, find out what is causing it, and implement actions to address it.

RESISTANCE IS A HIGH RISK FOR CHANGE INITIATIVES

On a change initiative, leaders need to identify resistance, surface its underlying causes, and address the causes efficiently and effectively. This cycle of *identify-surface-address* resistance should be performed at the outset of the change initiative and continued periodically throughout its duration. If resistance is not sufficiently addressed, the minds and hearts of those in the organization will not transition to the desired state of change. When implementing change stakeholders' hearts and minds have to be aligned. Individuals may understand the business case for change but still need time for their emotions to catch up before they can embrace change.

Why do stakeholders and other members of the organization resist change?

- **People are afraid of uncertainty and the unknown, including what they perceive they might lose**. Natural human anxieties and concerns about change, as described in Chapter 1, are organic and common to individuals. These concerns collect, grow, and intensify around efforts to change the organization. This resistance can negatively impact and disable change initiatives, as described in the IBM study on the causes of organizational change initiative failure cited in Chapter two which highlights the failure to address human factors.

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- **The stakes are higher on change initiatives than other types of initiatives or projects whose focus is not organizational transformation**. Organizational change will disrupt the status quo, in contrast to projects which seek to improve an aspect of the existing environment (e.g. efficiency optimization, process improvement, or system implementation), which minimally alter how people work, and do not require a substantive shift in thinking, attitude or behavior. Resistance naturally increases when people know that the status quo will change and that the predictable systems that they were used to and comfortable with will not return. On change initiatives, people are naturally more sensitive and will be quick to take defensive positions in order to protect themselves from what they perceive are threats to their entrenched self interests.
- **Culture does not change easily**. Making the "soft" or human side of change stick is more difficult than making the "hard" side of change stick (e.g. an organization's structural aspects, like processes and technology). Change initiatives do not start with a blank slate when it comes to culture. There is strong resistance to overcome the unwritten as well as stated ways an organization thinks and behaves, as discussed in Chapter 5. The deep roots of a culture cannot simply be pulled out because they have evolved from the organization's history, its management styles, personalities, and proclivities of its work force. Research into the links between neuroscience and change are finding that there is even a physiological basis for resistance to "unlearning" old ways. "Learning to do something differently is a far greater challenge than simply having to learn something new. You already have a developed synaptic superhighway."[2]
- **Managing resistance is difficult because it is centered on human factors, for which skills and experience in organizations are in limited supply**. Most managers and business professionals are products of the prevailing management paradigm, one that has not significantly evolved since the beginning of the twentieth century. This mindset emphasizes the financial and structural aspects of organizations over the human aspects and is therefore ill-equipped to deal with human resistance. Reactive, hierarchical interactions promote conformity over change rather than overcoming resistance to it. Forced compliance or simplistic training and communications cannot overcome resistance. Most leaders and managers are not used to looking for resistance, addressing it, or preventing it.

Resistance to change is clearly a difficult nut to crack. However, resistance should not be viewed only as a problem. It is also a positive contributor to a change initiative. If properly harnessed, resistance:

- **Provides an indicator that the change is starting to take effect**. If there is no resistance, then people are not feeling the change, or taking it seriously enough,

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since change is a legitimate threat to the status quo and to the human condition.

- **Gets people out of their comfort zone, if properly channeled**. Fear often underlies resistance, and fear can be a motivator for change. When people realize there is no turning back, their fear can be channeled into problem solving and creative solutions.
- **Provides input to how the change initiative is going and where change leaders need to allocate resources to address people's concerns** (i.e. an early warning system).

INDICATORS OF RESISTANCE

If you look for resistance you will find that it varies in form and intensity, which will help you understand to what degree it is impacting the change initiative. Resistance can be classified as active and passive. These are the things that people do, or don't do, which impede the change effort. Active forms are more obvious; they can be seen by the untrained eye. Passive forms are more difficult to detect, and because they are below the radar they can cause more damage if not surfaced.

- **Active forms**
  - conflict between members, teams, and leaders of the change initiative
  - sabotage and attempts to derail or damage the change initiative
  - rumor spreading and gossip which attacks the credibility of the change initiative
  - public power plays or exertion of influence which undermine the change.
- **Passive forms**
  - exhibiting behaviors and ways of thinking of the old culture instead of the desired change
  - avoidance of responsibilities on the change initiative
  - disconnection or apathy towards the change
  - being inauthentic, including exhibiting behaviors not consistent with the stated commitment to the change
  - not supporting those trying to move the change forward
  - reluctance to express honest feelings about the change, including ideas that could help move it forward
  - not stepping up to the tough issues, or addressing the elephants in the room.

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Excerpted from *Leading and Implementing Business Change Management*

Resistance can be deliberate or done out of a lack of understanding about change. Intention is not important, however. What is critical is getting resistance out on the table so that its change initiative-related causes can be diagnosed and addressed. Resistance that is not exposed or surfaced will not go away by itself, but will grow stronger and even migrate to different forms. For example, if passive resistance by key influencers – in the form of apathetic attitudes or withholding behaviors towards the change – is not addressed early by the change initiative leadership, resistance across the change team can lead to supporting the old culture, spreading rumors, and side-stepping responsibilities for the change initiative.

HOW RESISTANCE EVOLVES ON CHANGE INITIATIVES

You cannot stamp out resistance on the change initiative (nor should you), but it can be prevented and mitigated like other forms of risk. In essence you *control resistance* and prevent it from evolving into issues that can damage the change initiative and therefore the prospects of realizing the benefits of the change. This requires first identifying the *intrinsic sources* of resistance before they turn into risk. Resistance is rooted in people's anxieties and concerns about the change, which are present at the start of the change initiative. In contrast to *extrinsic causes* of resistance related to actions or lack of action on the change initiative which will be described later in this chapter, these intrinsic sources lie below the surface of common interaction and communications.

By identifying and acknowledging these intrinsic sources of resistance you help people understand that they are not alone. Their anxieties about change are legitimate feelings, even if their conscious perceptions of what is causing, contributing to or increasing these anxieties in terms of organizational factors are not entirely accurate. Anxiety associated with the peaks and valleys of change initiatives are well known. A seminal BPR consulting company once highlighted 20 stress points on the journey of engineering initiatives.[3]

Change leaders should encourage people to express their feelings about the change, especially the anxieties. Once these change anxieties (unrealized resistance) are acknowledged people can talk through them and interventions can be applied. This open discussion about people's change anxiety will also help build self-awareness in individuals when their natural resistance to change emerges, causing them to reflect on resistance before automatically succumbing to it.

Intrinsic sources of resistance are shown in **Table 4.1**.

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Excerpted from *Leading and Implementing Business Change Management*

Type of intrinsic sources	*Example*
Fundamental fear of the unknown	Discomfort with uncertainty and not knowing how things will turn out after the change, including how to adapt to a new environment
Overwhelmed	Things moving too fast on the change initiative (in contrast to the milder pace of routine operations)
Impatience	Things not moving fast enough towards a conclusion in a linear, predictable manner
Information overload	Too much information and unfamiliar detail outside of existing roles to process in a short period of time
Fear of loss	• **Work-related.** Do I have the resources and power that I will need to get my job done in the changed environment? Will I have a job? • **Relational.** Will I lose my colleagues and allies I was comfortable working with? • **Personal.** What will my identity become once the change is over?

Table 4.1 • Types of intrinsic sources of unrealized change resistance

TANGIBLE AND INTANGIBLE FEAR

Fear of loss can be broken down further into forms that are tangible and intangible. Tangible fears are those that are real, and need material solutions or offsets. They will require definitive answers at some point in or after the change initiative since they provide the rules and boundaries for each employee in the changed environment. These include fears of loss or downgrades in: position, rank, compensation, job security, work/life balance, and career path. The answers may not always be quantifiably "better" than before the change, but they will require change leaders to provide positive solutions in a qualitative sense. For example, though specific roles and responsibilities after the change will be less hierarchical in terms of scope of authority, the new environment will be more empowering, flexible and supportive in enabling employees to achieve higher levels of business performance. There will be greater opportunities for individual growth and achievement which should be specified.

Intangible fears are those which are perceived losses. Intangible fears will require time, support, and navigation (handholding) through the transition by change leaders and those skilled in process interventions. Intangible fears of loss include: identity and status, relationships and old ways of doing things. There are no definitive answers that change leaders can provide to these feelings. The goal here is changing perspective, to help people to think more clearly, realistically, and proactively rather

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than worst-case scenario planning or slipping into the old mindset. For example, formal working relationships may change, but in the new open environment interaction with a broad range of people will be encouraged and rewarded. Likewise, the new culture will provide opportunities for personal growth, change mastery, and relationships which did not exist previously.

Whether dealing with employee fears that are tangible or intangible, it is always best to be honest. During the transition definitive answers and solutions will take a while to emerge.

RISK AND RESISTANCE

As depicted in Figure 4.1, anxieties are a form of unrealized risk. It is not enough to acknowledge and encourage awareness of unrealized resistance. Resistance will evolve into risk and as such must be *anticipated* and planned for as an integral part of the master change plan. Like other forms of risk, if properly managed resistance can be prevented from emerging into issues (i.e. *realized resistance*) which will adversely impact the change and initiative.

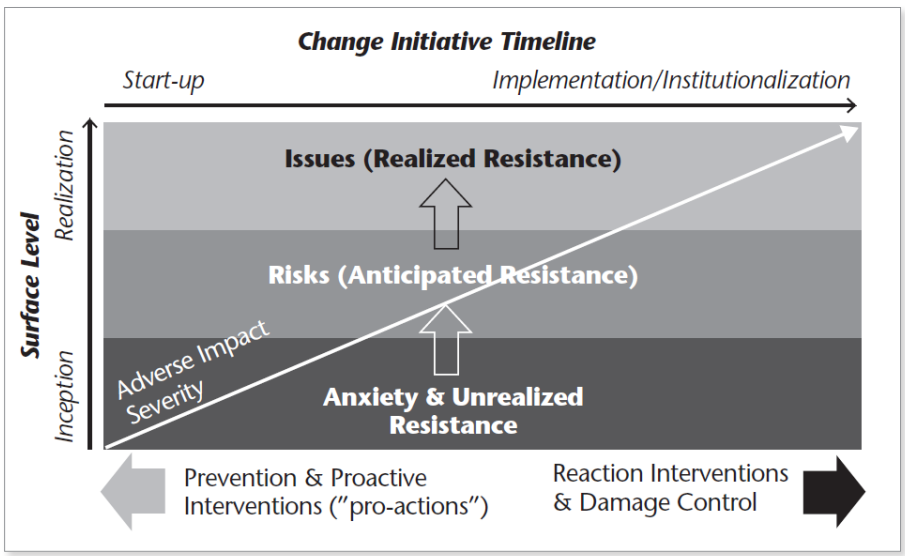

Figure 4.1 • Addressing resistance at its inception and earlier in the change initiative reduces negative impact

Resistance is different and more volatile than most other types of risk. It requires interventions that are proactive as well as responsive to specific manifestations of resistance in order to keep resistance in check. Resistance will not go away if just

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carefully watched, but will erupt at some point in potentially damaging ways to the change initiative. The goal is for *prevention* first: don't let risk evolve into an issue. Surface unrealized resistance risk as early and quickly as possible.

Figure 4.1 expresses key principles involved in change resistance:

- The impact severity of unaddressed resistance on a change initiative (i.e. disengagement, potential change initiative derailment or failure) increases over the timeline and in relation to the surface-level at which resistance is addressed (i.e. at realization, the impact is greater than at inception).
- Resistance that is addressed early in the change initiative timeline is more effective and less expensive than if addressed later.
- Manage risk and unrealized resistance before they progress to issues. Anxiety that people have about the change is resistance that has not yet been realized; if not managed as a risk it becomes an issue.

MANAGING RESISTANCE RISK

The goal of managing resistance risk on the change initiative is to identify resistance and keep it in, or move it to, a controlled state. Resistance cannot be eliminated completely, but it can be kept from becoming persistent or pervasive. Managing resistance requires:

- identifying and assessing resistance
- surfacing extrinsic causes of resistance (resulting from the change initiative)
- addressing the resistance (proactively, and if required, reactively).

Figure 4.2 provides a model for managing resistance risk on a change initiative. Resistance that is unexposed can be plotted on the bottom two quadrants of the grid. These are manifestations of resistance that have been sensed, observed, or communicated, but their causes have not been systematically surfaced through the change initiative. Unexposed resistance can be identified in the form of behaviors, attitudes, cultural patterns, communications, and team dynamics which are in opposition to, or not supportive of, the change. Quantifiable data is also an important indicator of potential resistance, such as missed plan deadlines or failure to complete assigned work.

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Excerpted from *Leading and Implementing Business Change Management*

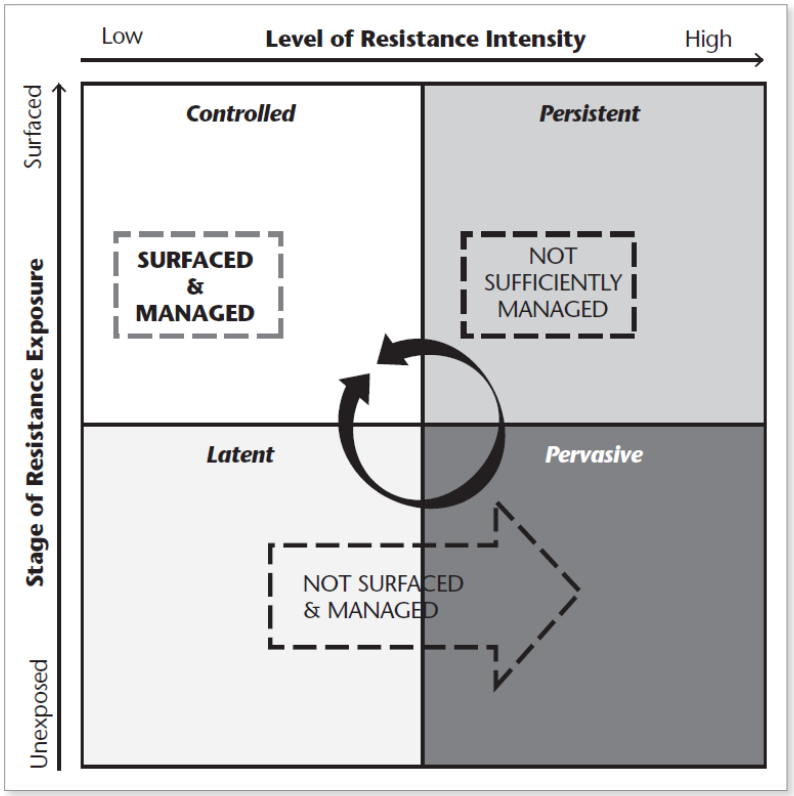

Figure 4.2 • Change resistance risk management grid

Unexposed resistance should be plotted in the *Latent* quadrant if the resistance is present or potential, but not fully active or widespread across the change initiative and the target organization. At this stage latent resistance is considered a low level of resistance intensity impacting the change initiative. However, if unexposed resistance is observed in larger numbers of people with greater frequency, it is considered a high level of resistance intensity, and should be plotted in the *Pervasive* quadrant. Latent risk that remains unexposed will ultimately migrate and expand to the Pervasive quadrant. Symbolic of the quadrant colors used in management dashboard tools, resistance will move from light gray (caution) to dark gray (danger/ stop) if it is not surfaced and managed in a timely and effective way. Pervasive resistance is the most dangerous type because it is risk that is not surfaced or managed and has spread.

Previously unexposed risk that has been systematically surfaced through diagnostic methods, tools, and interventions should be plotted in one of the top two quadrants. This means that the causes have been revealed from the resistance observed in the bottom two quadrants. As alluded to earlier in this chapter, these are *extrinsic* causes

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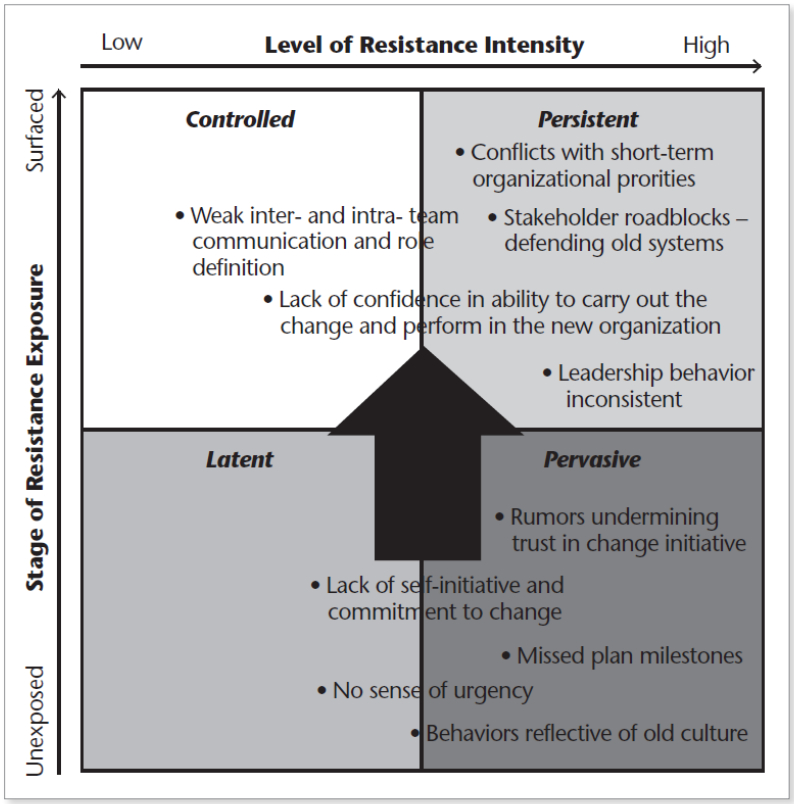

Figure 4.3 • Plotting change resistance risk example

of resistance: what the change initiative is or is not doing that is contributing to the resistance. In other words, the intrinsic sources of resistance that people naturally bring with them to the change are either growing or they are being alleviated and controlled by how the change initiative is being managed.

Resistance causes which are specifically being addressed on the change initiative should be plotted in the *Controlled* quadrant. This is the most desirable position for resistance to be in, reflective of the white neutral shade (maintain). Although resistance is dynamic, it is being contained proactively through systematic measurement, applied interventions and adjustments to the change initiative where needed.

Resistance that has been systematically surfaced, but has not been sufficiently managed and contained, should be plotted in the *Persistent* quadrant. Persistence means continuance of specific resistance after the cause has been initially addressed, which has a greater intensity on the change initiative. It may be that the interventions have not been effective or frequent enough in addressing the causes of

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resistance or that more substantive change on the initiative is needed. The medium gray shade symbolizes that although the causes are known, more effort from the change initiative is needed to counter them.

Figure 4.3 provides an example of plotting resistance risk.

SURFACING AND COUNTERING RESISTANCE

Your identification of resistance through sensing, observing, or having people communicate what is holding them back is an important first step, but it does not substitute for the need to systematically surface the causes of resistance. Surfacing is the process of exposing "what" the specific resistance is that has been observed or reported to determine "why" it is occurring (i.e. causes). This sets the groundwork for addressing the causes through specific interventions.

Figure 4.4 depicts the process of surfacing resistance.

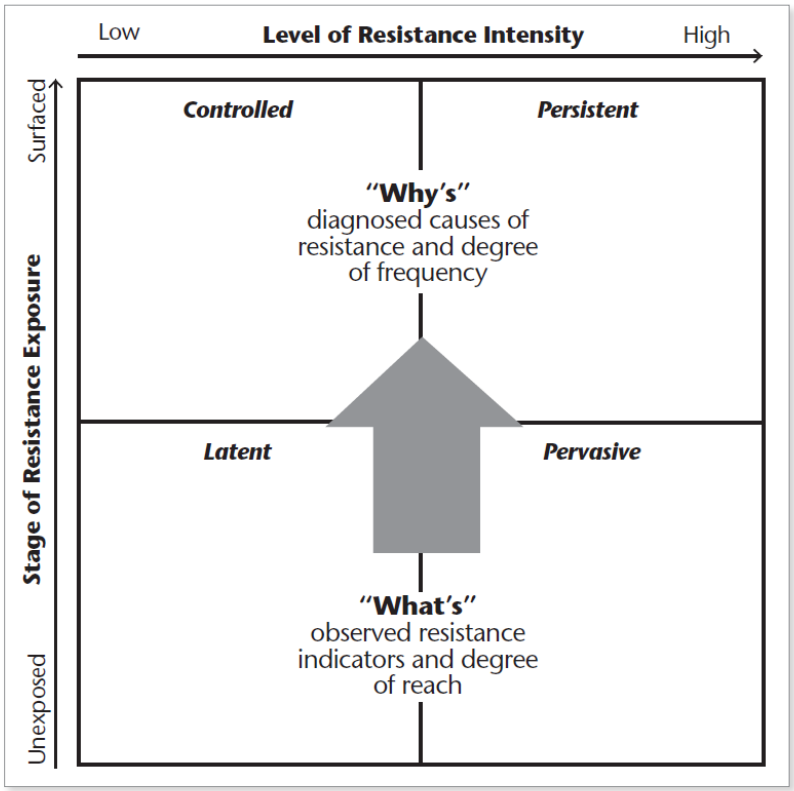

Figure 4.4 • Surfacing causes of resistance from "what's" to "why's"

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Excerpted from *Leading and Implementing Business Change Management*

There may be a common cause contributing to multiple types of resistance on the change initiative, which, if isolated and addressed on the change initiative, would mitigate much risk (e.g. inconsistent anti-change leadership behavior). There may also be multiple causes affecting a recurring type of resistance. Surfacing tools, especially diagnostics, are useful for these analytical purposes (e.g. lack of directional clarity and boundaries, poor communications).

Diagnostic and assessment tools are classified in this book broadly under interventions, since they provide results which explain resistance. This promotes self-awareness which may encourage individuals to modify their own resistance. Diagnostic tools and methods, however, are not a substitute for providing specific actions to counter the resistance, which may include altering aspects of the change initiative itself (e.g. new performance models and behavior standards for change leadership).

The process of surfacing cannot be separated from the results. Surfacing has impacts on those who are providing input on resistance as well as those leading the surfacing activities and must be applied thoughtfully. The Hawthorne effect is a form of reactivity whereby subjects improve or modify an aspect of their behavior being measured simply in response to the fact that they know they are being studied.[4] Even the acts of sensing or observing resistance in an attempt to identify it and its impact can be intrusive. If you are a change leader or an authority figure for the change initiative you are subject to the Hawthorne effect: your presence or your participation in resistance identification and surfacing will affect the behaviors of those you are attempting to measure. This can be a positive. In this sense clarity, consistency and authenticity in leadership behavior modeling have additional impacts when identifying or observing resistance among members of the change initiative and target population. Honest and open surfacing of resistance with clear, timely reporting of results and follow-up actions goes a long way to building trust in a change initiative.

Be cognizant that what you measure and how you measure it will shape the results, as Heisenberg famously theorized from his work in quantum mechanics measurement.[5] To this end, surfacing resistance should seek a broad and deep range of input regarding peoples' perception of the change and without presumption that the causes are known in advance and are just being validated. Surfacing should be performed interactively with members of the change initiative and organization, for purposes of empowerment, accountability and problem solving (e.g. assessments, facilitated inquiry, team exercises). It is not an independent behind-the-scenes analytical exercise.

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Excerpted from *Leading and Implementing Business Change Management*

It is important to use a combination of surfacing methods which are:

- **Formalized** – repeatable, verifiable and rooted in change management practice
- **Measureable** – in a quantifiable sense, progress can be tracked over time
- **Qualitative** – in terms of respondent input, e.g. thoughts, perceptions, feelings, and suggestions
- **Safeguarding** of individuals – encourages honest, unrestricted expression by assuring anonymity, confidence, and/or immunity from retribution for their views
- **Empowering** – enables the respondents to see themselves as responsible for acting on some of the data they provide, not just to identify actions change leadership needs to take
- **Applicable to change initiative leadership** – not just staff and employees
- **Preventative as well as repair-oriented** – addresses both types of instances.

A strategy for resistance surfacing and countering should address interpersonal dynamics as well as individual needs. Aspects of personal and group dynamics which surfacing and countering tools should seek to assess and address include respondents' perceptions and feelings regarding:

- **Personal**
  - purpose/passion alignment with the change
  - role on the change initiative
  - support/capabilities confidence level they have to perform the change work
  - WIIFM regarding the change
  - goals for personal and career growth in relation to the change
  - understanding of what is expected of respondent on the change initiative
  - difficulties with change.
- **Inter-personal (within and across teams, as well as interaction with change leadership)**
  - authentic interaction, trust and credibility
  - openness to ideas
  - fairness/rules/guidelines
  - communication
  - effectiveness, especially regarding decision-making, action, closure.

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Figure 4.5 depicts a range of interventions which can be used to surface and counter resistance.

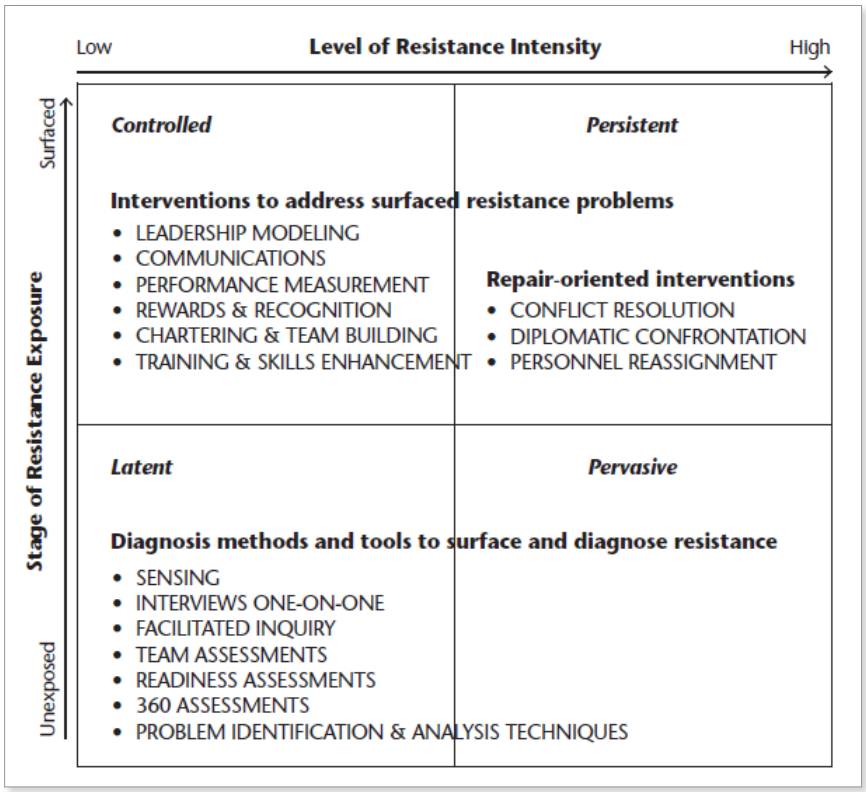

Figure 4.5 • Organizational change interventions for surfacing, diagnosing and addressing resistance

As shown in the bottom half of Figure 4.5, latent or pervasive resistance should be surfaced via one or more methods. Sensing is considered here in the list as the least intrusive method of surfacing, but it is not completely passive. The manner in which sensing is performed will reveal more or less candid and useful impressions of potential causes that can be used to frame probing in subsequent diagnostic activities. Interviews, facilitated inquiries, and assessments follow in order of intervention depth and complexity. These will be examined in a table later in this section.

The top half of the diagram contains types of interventions which can be applied to the surfaced causes of resistance in order to prevent and control them. Although many of the interventions listed can be applied in a proactive manner to prevent or mitigate causes of resistance, persistent causes of resistance may require a more reactive stance through repair-oriented interventions, like conflict resolution or

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Intervention type	*Identifying resistance*	*Preventing resistance*	*Surfacing resistance causes*	*Addressing causes and issues*	*Useful for resistance in these areas*	*Intervention examples*
Diagnosis methods and tools to surface resistance						
Sensing	H	L	L		Engagement, urgency, mindset, behavior, culture	Random walks through the change initiative; meeting participation
Interviews (one-on-one)	H	L	H		Engagement, trust, understanding, probing concerns	Structured interviews with wide range of participants
Facilitated inquiry			H		All – root causes	Group sessions to probe known resistance areas and problem-solve
Team assessments	H	M	M		Communications, collaboration, work styles, roles, trust, goal-setting, productivity, support	Personality inventories and work style assessments (e..g. Myers Briggs)
Readiness assessments	H	M	H		All – especially roadblocks, trust and change capabilities	Survey questionnaires, anonymous
360 Assessments	M	H	H		Trust, authenticity, quality of communications, competency	Surveys or interviews at all levels
Problem identification and analysis techniques		L	H	M	Root causes, including needed adjustments in design and implementation	Force field analysis; fishbone, inhibitors/ enablers
Interventions to address surfaced resistance causes and issues						
Leadership modeling		H		H	Engagement, culture	Pro-change attitude and behavior, authenticity, team member support
Communications		M		H	Engagement, understanding, performance	Regular messages providing clarity in direction, boundaries, and expectations, progress
Performance measurement		H		H	Performance, productivity	Desired change values and behaviors embedded in appraisals
Rewards and recognition		H		M	Engagement, productivity	Awards, bonuses, opportunities, time off
Chartering and team building		H		M	Collaboration, performance, productivity, integration	Facilitated exercises, chartering
Training and skills enhancement		H		M	Confidence, performance, productivity	Leadership training; change management training
Repair-oriented interventions						
Conflict resolution				H	Roadblocks	Structured sessions to work around entrenched issues

Table 4.2 • Intervention types and how they can be used for change resistance

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personnel reassignment. Structural interventions, such as performance measurement and rewards and recognition, should consider the kinds of resistance likely to persist in the existing culture, like for example, lack of accountability, weak self-motivation, inefficient decision making, and not thinking outside the box.

Surfacing may reveal, for example, that rumors running wild around the change initiative's "hidden goal to streamline operations and cut employees" are being caused by a lack of clarity around change boundaries, the business rationale for the change, as well as communications clarity and frequency. Additional reinforcing causes of resistance may include change leadership's:

- failure to prevent stakeholders and team members from blocking or undercutting change initiative activities
- absence of participation and input to important change tasks
- not making resources available.

Table 4.2 examines when and where these interventions can be applied on a change initiative to prevent, surface and address resistance.

ADDRESSING RESISTANCE AT THE ORGANIZATIONAL LEVEL

Interventions and changes for addressing resistance are largely focused at the *individual* and *group* levels, since that is where the source of resistance ultimately lies. If resistance at those levels is not managed effectively and in a timely manner it grows in scale to a level where larger-scale or macro organizational solutions are required. To prevent and control resistance from escalating to a persistent or pervasive state, as shown in the right-hand quadrants of the resistance matrices discussed earlier in this chapter, it is important to implement *organization* level interventions and changes. These may be permanent or semi-permanent changes reflective of the ultimate change solution, like new or redesigned roles and measures in contrast to temporary "project-level" adjustments that are intended to keep the change initiative on track. While resistance must be addressed at the individual and group levels, applying the necessary organization-level interventions and changes will also help keep resistance in check by encouraging support for and reinforcing adherence to the change target.

Organization-level interventions and changes include:

- **Business alignment**. Aligning or redesigning the business model or architecture (e.g. technology, organization, and process dimensions) and roles to the change

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target.

- **Process and system enablement**. Updating the policies and procedures, including embedding new business rules into the processes to reflect the changed environment.
- **Expanded performance measures and accountability**. Defining and applying metrics for organization and team performance in addition to individual performance, and incorporating change requirements.
- **People management augmentation**. Updating human resources practices and systems, rewards and recognition (e.g. compensation), competencies, hiring criteria, succession planning, and training and development programs to reflect the goals of the changed environment.

Organization-level interventions and changes play a key role in institutionalizing change in the culture, which are discussed in Chapter 5.

READINESS: A CRITICAL ASPECT OF SURFACING CHANGE RESISTANCE

Change resistance is correlated with readiness. Resistance is higher when people feel less ready or prepared for change, and vice versa. In terms of organizational change, readiness refers to how prepared people feel in regard to the change as it has been defined and communicated in the change initiative. Specifically, for members of the organization at large who will be targeted or affected by the change, readiness refers to how they feel regarding accepting and embracing the change. If they are members of the change initiative, readiness goes further to include how capable they feel to actively move the change forward.

The level of readiness for change which people feel depends on the cognitive as well as emotional mindset of the respondents. Readiness is perception-based, which means that how people feel and think regarding the change may or may not be rooted in reality. Even if their perception of their readiness for change is unrealistic (e.g. too negative or overly optimistic) it must be surfaced and addressed. Perceptions accumulate and create a collective force which can infect many members of the change initiative and those surrounding it, leading to slowing or derailment of the initiative.

Readiness assessment should determine if and how strongly those participating in the change, supporting it or affected by it:

- are clear on the vision and the business reasons for the change
- understand the benefits of the change to organization as well as the

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consequences of failing to change

- are clear on expectations for their role in the change
- understand their personal benefits from the change (i.e. WIIFM)
- have confidence in leadership's capability to make the change successful
- trust their leaders
- trust their team members
- are realistic about the work required and letting go of the old ways of doing things
- are accepting of the fact that the change will require hard work and sacrifice
- are being asked for their input and ideas, not just conformance
- feel empowered to make the change happen.

Readiness assessments work well because they:

- possess a formalized, quantitative rigor, which is useful in measuring progress
- retain respondent confidence through anonymity
- capture qualitative input, and invite thoughtful reflection and ideas
- foster public sharing of collective results, thereby creating accountability to address them (by change leaders as well as empowered team members).

Change readiness assessments are most often provided in the form of surveys (usually online). Surveys protect respondent identity and encourage openness and authenticity in responses, as well as encourage flow of input. They are easier for sorting and analyzing results, looking for patterns, and evaluating progress against prior benchmarks. A Resistance Readiness tool is provided in Appendix B.

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Excerpted from *Leading and Implementing Business Change Management*

Case Study

ADDRESSING CHANGE RESISTANCE: OVERCOMING RESISTANCE AT EASTER SEALS TO EMBRACE CHANGE AND A NEW MODEL FOR GROWTH

The need for business change and a reluctance to embrace it

Creating sustained business growth and a management team capable of driving it had been a long-standing challenge for Easter Seals. Operating much like a small business with 45 employees and an annual revenue base of $4 million, Easter Seals Capital Region of Eastern Connecticut possessed limited administrative and logistical infrastructure and was run by a senior management team selected primarily for their ability to deliver consistent, quality services. As a result, the organization was nimble from a tactical standpoint but not sufficiently equipped to take advantage of opportunities for growth and change.

The Easter Seals' regional executive director was aware that small businesses and organizations with less than $5 million in revenues tended to grow primarily through the efforts of their top executive. As with many other organizations of this size, the senior managers reporting to the executive director had little capability or incentive to create needed models for meaningful business growth and facilitate the corresponding business change required to make that happen. The inherent strength of the management team had embedded in it the seeds of complacency. The managers believed that quality was achieved through doing whatever it takes to create a positive outcome for the patient, client, or customer, approaching work, "the way that a professional would recognize as the highest standard of service." While this was philosophy was laudable in terms of meeting current customer needs, it did not address the need to proactively understand customer market potential in a "big-picture" context, devise new strategies for expanding Easter Seals' customer base and apply analysis-backed forecasting and budget planning. Neither did it address the important need to develop models to support the new growth opportunities once identified. The executive director had privately and publicly communicated his expectations of the managers, who were in positions of strategic leadership for Easter Seals, to adopt a growth-oriented mentality and the enabling capability to begin creating models for new business growth. However, within a short period of time after each attempt to communicate the importance of this management responsibility the managers' focus and behavior defaulted to the day-to-day delivery of service to customers, responsibilities which could have been delegated to their more tactical subordinates.

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Excerpted from *Leading and Implementing Business Change Management*

In response to the managers' reluctance to move beyond a narrowly-defined delivery mentality and embrace the need for changing to a growth-oriented mindset, the executive director began taking management responsibility for everything in the company besides delivery of services. Other than a nominal level of staffing for accounting and billing, most of the infrastructure support and planning remained within the executive director's domain of responsibility. The time, effort, and energy required to develop growth strategies for Easter Seals was consumed by immediate priorities.

Despite its limitations, the short-term delivery-dominated model practiced by the management team fueled Easter Seals' success for a number of years in terms of earning the organization a strong reputation for quality and internal stability. But when the reputation, quality, and stability gave rise to growth opportunities, the executive director encountered problems with Easter Seals' ability to capitalize on and sustain the growth because he was stretched to drive the line-level business planning and reallocate administrative infrastructure resources by himself. To transfer and stabilize a service line innovation or expansion to an existing manager who was focused on maintaining his or her existing business was a nearly impossible task.

Probing the sources of resistance to the change

Over time, a clear pattern emerged:

- The executive director identified and championed an emerging growth opportunity for Easter Seals to act on and around which to create a new service or business line.
- Expectations were communicated to a manager or managers to embrace the opportunity and implement the necessary changes to support the new service or line of business.
- Resistance arose in terms of the reluctance of the managers to embrace change and address the growth opportunity (e.g. by putting in place the necessary business planning process elements and creating or reallocating the infrastructure resources to provide the needed innovation solutions to support the new business).

The issue ultimately was perceived within the organization as a "disconnect" between the executive director and the managers. The impression also of a shared lack of ability and confidence in Easter Seals' leadership to create business change began to form.

When queried by business change consultants who assisted Easter Seals with its transition to a growth-oriented model, the executive director explained that he was

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perplexed by the reluctance of the organization to embrace this opportunity for changing to a more dynamic business model. He had assumed that managers and their respective staff would be motivated to engage in the change by the prospect of seeing their programs grow, expanding their mission to a larger scale, and achieving commensurate financial rewards.

When that belief had proved ill-founded, it was assumed that only a lack of resources would prevent otherwise intelligent, capable managers from embracing the change. But a wealth of supportive resources still did not elicit change in the managers in the direction of a growth-oriented mindset and business model.

The executive director wondered if a reluctance to embrace change was the absence of the managers feeling the change need, because it was the executive director who "owned" the responsibility to change the organization. However, no combination of carrots, sticks, or support proved effective in delegating responsibility to or creating ownership for the change in the managers. The organization continued to deliver its quality services, but it would not grow or demonstrate impetus to change in that direction.

This situation grew even more difficult as the executive director stretched himself increasingly thin to pursue his goal of change and growth for Easter Seals, without getting closer to achieving it. Realizing that he needed help, the executive director called in business change consultants to diagnose the problem.

Using the results of the organizational and leadership change assessment, the consultants conducted in-depth interviews with the executive director, the management team, and representative members of the staff to objectively understand the barriers that were causing the resistance to change. In summary, the analysis revealed that sources of resistance were mainly passive but deeply rooted:

- The managers and their respective staff perceived the change solely being the executive director's personal agenda.
- The executive director was doing little to create a culture of change and address the root causes of the resistance. In fact, by not empowering his managers and instead continually throwing out growth opportunities without engaging his managers in realistic dialogue about the process of change, the executive director was creating a contradictory role model that enforced the managers' dependence on him.
- The "pull" of the existing culture was strong. The managers were proud of what they were achieving in terms of consistent delivery. They had difficulty seeing

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what was in it for them to change (WIIFM), the benefits as well as the consequences of failing to change.

- By virtue of what had made them successful in their roles for so long, the managers lacked change experience and the ability to conceive of significant change from their insider perspective.

Analysis of these surfaced issues resulted in a plan of action for the change. The approach would need to include a status quo-destabilizing "business trigger" for change that came from outside the organization, rather than another imperative from the executive director. Managers would need to immerse themselves in substantive change and see concrete examples of the new growth-oriented organizational culture and business model that Easter Seals needed to build. The approach would need to include senior-level individuals who were experienced and successful in managing the change process, and who could serve as role models for the managers ensconced in the existing culture. Additionally, clear rewards and consequences regarding embracing change and the new growth-oriented direction would also have to be put into place.

Stage 1: Creating the external impetus for change

The change plan was initiated around a growth opportunity which arose in the form of a failing competitor that was servicing a slightly different customer base in an adjoining region. The competitor company was preparing to shed most of its business lines that it had been unable to transform into viability and were now dragging the company into insolvency. The Easter Seals executive director identified three particular lines within the failing company that were compatible with Easter Seals' mission and service lines, and complementary to its operational expertise. If the company's business lines were acquired, the annual revenues and employee population of Easter Seals would both double in size. The management of the competitor organization's business lines understood that if Easter Seals decided not to take on the dying business lines their jobs would disappear. This potential for job liquidation provided incentive for the senior manager and his staff to be open-minded about change should they be acquired by Easter Seals.

If exercised, this would be an ideal scenario to apply the change strategy for Easter Seals by demonstrating a model for growth through acquisition and addressing its culture's internal resistance to change. Integrating the company's business lines into Easter Seals' existing operation would engage 55 new employees in the change

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process, which could be tested and refined before applying it to the current management culture of Easter Seals.

In the absence of meaningful data to support a decision on acquiring the three business lines of the failing competitor, the executive director built his pro forma business analysis around the issues and risks that potentially contributed to the business lines' financial misfortunes. But rather than simply base the Easter Seals' decision on whether or not to acquire the new business lines on the analysis results, the executive director asked the senior business manager of those business lines for a business case as to why and how the business lines could be brought to a point of viability if Easter Seals acquired them. This method demonstrated how the risks and issues might adversely impact the organization's business performance and it became the responsibility of the senior business manager and his team to convince the executive director that the risks carried less impact than the analysis would suggest, and that the risk could be prevented, reduced or mitigated. In their efforts to sell the Easter Seals executive director on the value of acquiring them, the senior manager and his team were selling themselves on the process of change.

While making most of the decisions for the Easter Seals organization and centralized leadership, rather than delegating to his managers, had been counterproductive to a culture of change and growth, the executive director's directive style could be leveraged to foster the new business line manager's and staff's confidence in the executive director as the champion of change they needed. What had previously been a barrier to change for the Easter Seals managers could now be a catalyst for a motivated group that had suffered through a leadership void.

In contrast to the situation which existed within the Easter Seals' current culture, resistance on the part of the new managers was anticipated and mitigated before the change unfolded, to reduce the risk of the organizational change failure. The first step in addressing potential resistance was understanding the change concerns and needs of both parties (i.e. the executive director and the potential new members of the organization) and working together to address them.

As the impending acquisition started to take real form and the likelihood of execution grew, the executive director met with the management of the to-be-acquired business lines, presenting and collaboratively fine-tuning the plan for change required to effectively integrate the new business lines into Easter Seals' operation. They agreed on three core thrusts needed to drive and sustain the effort:

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- a vision for business line viability aligned with Easter Seals' overall vision and mission
- an affirmation of the new management team's belief in their capacity to achieve that vision
- a guarantee that upon execution of the acquisition that individuals currently working within the business lines would be employed without suffering a decrease in hours, wages, benefits or position.

The executive director communicated his expectations around the change. He would supply the "what" and the new senior manager and team would deliver the "how" in terms of realizing the change. As their champion of change, the executive director would supply the target for the change, the change road map, and support for helping the new members navigate through the change wilderness while they brought their business lines up to financial viability. Having previously gone through multiple iterations of unmanaged change, the new managers eagerly embraced the "offer" and the change leadership the executive director presented.

Once the acquisition was completed the real work of bringing on the new businesses and creating a unified organization began. The executive director modeled the change by making himself a highly visible and accessible business change manager, frequently shifting his work location to the "new" service sites. His words, actions, and presence communicated that the needs and interests of new staff were his priority and that there would be no favorites in this blended organization.

The executive director kept his word that he would retain all of the acquired managers and staff, but he knew that previously burned employees would test the gray areas of preserving their employment status and compensation before they could fully embrace the change. As a result, those initial tests were resolved in the employees' favor wherever possible and the strongly communicated decisions quickly built acceptance and buy-in to the executive director's plan for change.

This building sense of buy-in paved the way to begin the shifting of operations and procedures in accordance with the executive director's growth-oriented vision for the future of Easter Seals. Though the new employees knew that they had to change to embrace many procedures of the acquiring Easter Seals organization, the executive director's readiness to support their interests spurred the employees' trust and readiness to accept that the evolving changes.

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Since they were engaged in discussion of the pro forma statements before the acquisition was executed, the new senior business line manager and his team were already comfortable with the language and focus of the potential changes. The key now was to create assessment and monitoring tools that incorporated these factors and evaluated their impact on attainment of the goals established in the projections of financial viability. These tools would track the factors that were positively or negatively impacting business line viability.

The executive director had created similar tools for managers of the Easter Seals' business lines, but adoption of those types of tools had been weak because those managers never internalized or owned the impetus for change. The managers correctly assumed that if their individual line was underperforming, the executive director would take the steps needed either within their line or elsewhere in the organization to make things work out.

In the acquired lines, however, the executive director had managers and staff who realized that their sustained employment was still ultimately dependent on financial viability, which was a motivator for change, and adoption of the tools that monitor changes and their impact. Scorecards were created to monitor daily operations around the possible causes of those services' previous failure.

It became clear that the identified operational and logistical issues incorporated into the pro forma statements and monitoring tools were accurate and improvement was on track. The focus of the business change process shifted from the newly acquired operations to the entire organization or, more precisely, the "original" management team that had been reticent or unable to embrace change.

Stage 2: Addressing resistance to change in the expanded organization

Stage 1 was a change process in and of itself that set the groundwork for overcoming the resistance of the original team of managers who were comfortable with the Easter Seals culture and the executive director's owning responsibility for change. Within that culture, the de facto norm was to leave change to a supervisor, which was ultimately the executive director. In contrast to the complacent style of the original managers, the newly acquired business lines had a manager who readily took responsibility for initiating change when the executive director communicated his expectations for change and was thus demonstrating measurable success. Then the question became, "Would the behavior of the original managers emulate the new manager's embracing of change as the new management model, or resist it?"

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Excerpted from *Leading and Implementing Business Change Management*

The change consultants established a group process to: (1) systematically evaluate the integration of old and new into a unified organization relative to the recent acquisition and (2) plan for the migration of the original business lines (which provided different services to a different customer base in a different region) into the territory of the acquired operation. Both the senior manager of the new business lines and the original managers were brought together into a work group that would be reporting to the executive director and his board of directors. The group was given its charter and then the executive director carefully stepped away from the process, leaving the managers to find their collective way without him.

The senior business line manager was cut from the same cloth as the other managers, believing, "I'm a program person who knows how to deliver consistently and with quality," but having no more skill or experience in business analysis, planning, or marketing required for the growth-oriented business model the change was aimed at. However, during the negotiation, execution, and implementation of the acquisition, the senior manager had learned the tools of how to effectively manage change and growth. The new business line manager acquired the change skills and unwittingly became the model to show the original managers the mindset and behaviors required of the change.

Since they were not used to these tasks and tools associated with growth-oriented business models, the original managers initially struggled while they watched the new senior manager systematically document projections for profitability and growth with quantitative rigor and assemble detailed forecasts and plans to support their attainment. The new business line manager was not intentionally looking to show up his peers. He was following the normative approaches from his work with the executive director and assumed that everyone else would be doing the same.

The executive director strategically reinserted himself to provide feedback on the group's intermediate progress. While the senior business line manager's efforts didn't necessarily reflect mastery of the new process and tools, they set an example for learning and a willingness to work at change. Well-timed and repeated praise for the business line manager's efforts focused on his having brought a new level of analysis and perspective to the process. The sharply contrasting feedback to the original managers ("I am unclear as to what you are planning to do or what impact this strategy may have") made clear that they would have to bring greater thinking and value to the table in order to compare favorably to the senior business line manager when a final product was presented to the board of directors.

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Excerpted from *Leading and Implementing Business Change Management*

In contrast to the method for countering resistance applied before and during the acquisition, this method effectively employed role modeling to help managers see the change in terms of concrete behaviors, attitude and mindset. Additionally, the new behavior model for change provided a baseline for setting expectations, and building rewards and consequences around it.

Realizing the change and achieving business impact

Over the latter period of the change effort, most of the managers began stepping up to embrace the desired behavior model for change and the business target: the growth-focused, analytical, and plan-based approach in contrast to the informal process and the documentation of status quo that had been previously been accepted as sufficient for business planning.

The resulting output of the change effort and the implementation of the new planning model were useful in communicating the value and efficacy of the post-acquisition efforts and pave a clear path to the future. What was even more striking was the direct impact on the business performance of the Easter Seals organization after the executive director and the board of directors proclaimed the efforts of the work group to be complete. The managers:

- embraced annual budget development with a degree of analysis and planning not previously observed
- for the first time in years, managers initiated budget proposals for significant growth within their departments, in one case as much as a 60 percent increase
- started developing business and operational plans on their own, without request or spurring from the executive director or the board
- personally initiated use of monitoring tools that the executive director had previously provided
- started bringing in sustained growth 20-30 percent over the ambitious growth goals that were now being set
- for the first time in years, brought in new large accounts without losing existing accounts
- for the first time in years, successfully introduced service and product lines without losing others.

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Excerpted from *Leading and Implementing Business Change Management*

A management development program centered on building change capabilities was instituted to support ongoing needs for change required of the new growth-oriented organizational model.

Managers and employees of both the original and the acquired organizations of Easter Seals had overcome their resistance and embraced the change. Culture and behavioral measurement showed that the existing norms upholding the status quo and creating inertia had been displaced in favor of new norms which encouraged dynamic, disciplined planning supportive of growth for the organization.

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