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Deriving Value From Change Management

Chirag Metre
University of Pennsylvania, cmetre@sas.upenn.edu

Submitted to the Program of Organizational Dynamics in the Graduate division of the School of Arts and Sciences in Partial Fulfillment of the Requirement for the Degree of Master of Science in Organizational Dynamics at the University of Pennsylvania
Advisor: Jean-Marc Choukroun

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Abstract
A theoretical analysis on the perception of change management initiatives, with a focus on how one can one optimize and derive increased value from change management efforts. The context of this capstone is to determine the degree to which change management initiatives are successful. I intend to explore and catalogue reasons that control and predict change management success, and provide best practices identified from the scholarly literature. Creating a base level of knowledge, I present a literature review in which I summarize from the body of knowledge key theories and contributions to effective change management in the modern workplace. Building upon this baseline, I present the details of why it is important to derive specific value from a change management initiative, outlining the key areas where the facilitation of the strategy of change can promote impact. Based on the research, it is apparent that change should always be results driven. It is imperative for change agents; leaders, managers or even consultants to create a sense of urgency amongst the community chartered to implement change. A collaborative environment that facilitates two-way communication from leadership and the community at large creates a heightened sense of change ownership and active involvement which are crucial to the change effort's success. A change path must be outlined and defined, planning a change effort is involved as various facets of an organization and its people need to be considered. Communication initially, and throughout the change process is imperative.

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by

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DERIVING VALUE FROM CHANGE MANAGEMENT

Approved by:

Jean-Marc Choukroun, Ph.D., Advisor

Charline Russo, Ed.D., Reader

Larry M. Starr, Ph.D., Reader

ABSTRACT

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CHAPTER 1

BACKGROUND

Over the past few years, I have become increasingly fascinated and interested in the theories and practices of change management, reflecting and leveraging upon my professional experiences as a management consultant coupled with my prior educational pursuits at Business School. The process of managing a fundamental change initiative, conducted to maintain performance and competitiveness through a defined and prescribed model or framework captivated my curiosity and focus and was the sole motivation for me to pursue a Master of Science degree at the University of Pennsylvania in Organizational Dynamics.

Scholarly literature suggests that change management, is for the most part moderately successful. Serkin (2005), reported that studies show that in most organizations, two out of three transformation initiatives fail. “The more things change, the more they stay the same. Managing change is tough, but part of the problem is that there is little agreement on what factors most influence transformation initiatives.” (p. 110). Metrics for failure within change initiatives are more involved than simply stating that one’s specific goal’s were not attained in a specific window of time. Sometimes, once the change has been executed, actual results are not realized until weeks or months after, some changes have more of a direct impact and are expected to yield value once the change effort has been executed. In both cases sustainable value add derived from the change effort is what drives the true success or failure on an initiative. Lesson’s learned from such efforts weather deemed a success or failure are of immense value. Such lessons can indicate the openness of an organization or specific group within a firm to adopt to change, helping refine future efforts down the road.

I intend to determine how far on the success or failure spectrum the research lies, and how then can one optimize change management efforts. What are some of the key derailers of change management efforts? I am also interested in determining where in the planned change process specific adjustments may be injected to ensure a smother, more effective transition. I am also interested in evaluating how one can derive value, positive measurable contribution to a company's bottom line, from a change management initiative?

The purpose of my thesis is to determine the degree to which change management initiatives are successful. I intend to explore and catalogue reasons that control and predict change management success, and provide best practices identified from the scholarly literature. My perspective is analytic in that my goal is to describe how value from a change management initiative can be increased by mitigating risks that have led to less successful change initiatives.

My data on change management success factors are based on primary management research published in the Journal of Change Management, Journal for Quality and Participation, Academy of Management Review and other publications and articles published between 1992 and 2009. This thesis document is organized into five distinct chapters; each covering specific areas as I build toward my concluding thoughts.

Chapter 1 serves as background material to my thesis. It outlines how I arrived at this point and provides some background on what motivated me to select this topic.

In Chapter 2, I present a literature review in which I summarize from the body of knowledge key theories and contributions to effective change management in the modern workplace.

In Chapter 3, I present the details of why it is important to derive specific value from a change management initiative. This chapter outlines the key areas where the facilitation of the strategy of change can promote impact. I provide insight into the organizational nature of the various conflicts or concerns in play, building upon the research outlined in Chapter 2.

In Chapter 4, I provide a summary and interpretation of my findings in order to distill meaning and interpret results.

In Chapter 5, I offer my concluding thoughts based upon the research conducted.

CHAPTER 2

LITERATURE REVIEW OF CHANGE MANAGEMENT

Definitions of Change Management

Definitions of change management are as diverse as the challenges clients may be faced with given today's ever evolving business environment characterized by rapid rates of change, uncertainty, and complexity. Change management is the systematic approach and application of knowledge, tools and resources to leverage the benefits of change, managing an as-is process or function moving towards a better or more efficient process or function in hopes to positively impact performance. In order to achieve desirable utility change must be effective, successful and most importantly sustainable. Change management entails thoughtful planning, sensitive implementation, and consultation with, and involvement of, the people affected by a specific change. Increasingly, change management is seen as a permanent business function to improve productivity and profits by keeping organizations adaptable to the competitive marketplace. Change must be realistic, achievable and measurable.

Globalization, competition and accelerated technological innovation are creating conditions under which change itself is changing; change is becoming more complex and omnipresent, requiring enterprises to develop focused capabilities for change management.

Expectations have shifted from seeing change as an extraordinary event to seeing it as a permanent condition of business life. Similarly, change management is increasingly perceived as an ongoing business function rather than a focused response to an occasional need for reorganization. Change management is becoming institutionalized in various ways: having a dedicated change management function within an organization (typically within HR), dedication and commitment to developing tools for planning and implementation, focused communication efforts directed at facilitation of change, reorientation of corporate culture toward flexibility and agility with regard to change.

When competition across the globe is intensified, organizations have to improve their competitiveness by adopting varied management styles. Many organizations have adopted contemporary management improvement programs such as six sigma total quality management and blue ocean strategy. Others turn to classical and proven approaches such as organizational development, relationships between an organization and its employees.

According to Andrews (2008) academic literature has shown that, in spite of the multiplicity and variety of change theories available in handbooks, textbooks and courses, the practice of change management is problematic. (p.300)

Change is consequently redefined as either individually constructed, brought about and given meaning in interaction with other social agents and context contingencies, or as an organizational context which brings to the fore and gives particularly sharp profile to the competing and conflicting interests and ideologies of groups of organizational members as the base of their status in the organization. Hortho (2008) notes that "…change is presented as an objective fact that happens to the organization, either as a consequence of external drivers, or as an outcome of management choice." (p.725)

Schaffer and Thomson (1992), suggest that results-driven programs bypass lengthy preparations and aim for quick measurable gains within a few months. The results-driven path stakes out specific targets and matches resources, tools, and action plans to the requirements of reaching those targets. As a consequence, mangers know what they are trying to achieve, how and when it should be done and how it can be evaluated. (p.85)

Rooted within culture, communication and leadership, successful change is essential, yet amazingly elusive. To maintain a competitive advantage, organizations must be able to adapt and change quickly. Change is driven by economic, social and environmental factors as well as business trends. Many organizations strategically use change to improve organizational effectiveness. Unfortunately, change management efforts have had a poor record of success. For example, according to Lucey (2008), Ernst & Young stated that 75% of all transitions fail and 50%-75% of reengineering projects fail. Over the last decade, approximately 84% of US companies underwent at least one major business transformation. (p. 11)

According to Madhavan and Gnyawali (2001), firms are embedded in networks of cooperative relationships that influence the flow of resources among them. Madhavan and Gnyawali assert that dynamic resource flows and differentiated structural positions lead to asymmetrics and influence firms' competitive behavior towards others. (p. 431)

Change Management Models

Based upon the literature reviewed by Mento et al. (2002), there exists a number of change models intended to guide and instruct the implementation of major change in organizations. Kotter's (1995) strategic eight-step model for transforming organizations, Jick's (1991) tactical ten-step model for implementing change and General Electric's seven-step change acceleration process model (based on Lewin, 1947) are examples of the more commonly referred to within change management practice and literature and each is described here.

<u>Kotter</u>

John Kotter (1995) described a model for understanding and managing change based on his experience in consulting with hundreds of organizations. He observed the myriad difficulties associated with change efforts, distilled the common themes and turned them around into a prescriptive framework. His model (see Table 1) is aimed at the strategic level of the change management process and is best viewed as a '*vision*' for the change process.

Table 1. Kotter (1995) 8-Step Change Model

	8 Steps to Transforming Your Organization
1	Establishing a sense of urgency
2	Forming a Powerful Guiding Coalition
3	Creating a Vision
4	Communicating the Vision
5	Empowering Others to Act on the Vision
6	Planning for and Creating Short-Term Wins
7	Consolidating Improvements and Producing Still More Change
8	Institutionalizing New Approaches

Kotter's first step is to stress the sense of urgency. To him, urgency inspires individuals and creates a sense of realism with respect to a change efforts goals and objectives. It is also important to attain the right chemistry and mix amongst team members, paying close interest to levels of emotional commitment.

Forming a powerful guiding coalition was the second step in Kotter's model. By this Kotter was most interested in the assembly of the powers that be, senior management and key influencers within an organization, encouraging teamwork and unity throughout the process.

Once a team is established and in place, Kotter's third step was that of a communal vision. The creation of this vision serves as a roadmap for the change effort, developing strategies on how one is to accomplish each phase of the change.

Once a common vision is established, Kotter's next stage focuses on communicating the vision, suggesting one should involve key-influencers from as many facets of the change process for their individual buy-in, communicating clearly and thoroughly throughout the process.

Kotter's fifth step involves empowering others to act on the vision. This stage involves removing change obstacles, anticipating and looking ahead, focusing on the change systems and structures undermining change. Channeled risk taking is also encouraged in this stage in the form of activities and ideas.

Next, Kotter suggests planning for and creating short-term wins. Breaking up the over change initiative into smaller manageable parts that can be measured for completion and success. It is at this stage that Kotter also suggests individual employees be rewarded for their efforts leading to the over all change initiative.

The seventh step of Kotter's framework involves consolidating improvements and producing more change. Focus on this stage is centered on change systems, policies, procedures that inhibit the vision, hiring, promoting and developing people who can implement the vision.

The eighth and final stage of Kotter's model involves institutionalizing new approaches, clarifying connections between new behaviors and corporate success. AT this stage leadership development and succession is also of importance.

Jick's 10-Step Change Model

Jick (1991) developed a tactical level model to guide the implementation of major organizational change (see Table 2). His ten-step approach, (adapted from the article written by Mento (2002), serves as a blueprint for organizations embarking on the change process as well as a way to evaluate a change effort already in progress. "Jick states that implementation is a blend of both art and science." (p.46) Jick argues that "…how a manager implements change is as important as what the change is. How well one does in implementing a particular change depends on the nature of that change…" (Mento, 2002, p.46)

Table 2. Jick (1991) 10-Step Change Model

10 Steps For Implementing Change	
1	Analyze the organization and the need for change
2	Create a shared vision and common direction
3	Separate from the past
4	Create a sense of urgency
5	Support a strong leader role
6	Line up political sponsorship
7	Craft and implementation plan
8	Develop enabling structures
9	Communicate, involve people and be honest
10	Reinforce and institutionalize the change

Jick's approach to implementing change is from a rather pragmatic point of view. The first step in his model involves assessing the specific organization and its actual need for change.

Once an actual need for change is established, Jick's second step, similar to Kotter's third, involves creating a shared vision and a common direction for driving change.

On his third step, Jick indicates the importance of separating current change initiatives from initiatives that have been undertaken in the past.

Jick's fourth step involves creating urgency around the vision and separation achieved in steps two and three. It is interesting to note the contrast in thought between

Jick and Kotter as Kotter's initial step within his framework was to establish a sense of urgency.

Providing support to strong leadership was Jick's fifth step of the process. In this step it is crucial for a change orientated leader to have a team around him or her that can support and execute the change vision.

Jick follow's up leadership support with his sixth step, political sponsorship. In this stage Jick stresses gaining buy-in from senior management and key influencers that could help move the change initiative forward.

Once the vision is created, the leadership and management buy-in has been secured, one needs to craft and create an implementation plan, Jick's seventh step in his process.

Jick's eighth step in the process captures activity around developing enabling structures, removing any foreseen obstacles that may hinder the progress of the change initiative at hand.

Communication, another key aspect of any successful change program is Jick's ninth step in the process. This step is crucial as it involves disseminating an honest message amongst the change agents and the recipients of change.

Jick's tenth and final stage focuses on reinforcing the actual change initiative and then once complete, institutionalizing the change ensuring that the effort is sustainable and can be maintained well after the actual change effort has been executed.

General Electric (GE)

The seven-step change acceleration process used at GE follows Lewin's notion (1947) of unfreezing, movement and refreezing as the essential components of the change process. The model focuses on the leader's role in creating urgency for the change, crafting and communicating the vision, leading the change, measuring the progress of the change across several dimensions.

Table 3. General Electric 7-Step Change Model

	GE's Change Model
1	Leader Behavior; owns, champions, role models, commits resources
2	Creating a shared need; ensures everyone understands the need for change
3	Shaping a Vision; ensure employees see desired outcomes in concrete behavioral terms
4	Mobilizing Commitment; build support, understand interests of diverse stakeholders
5	Making change last; start it, concrete actions, develop long term lasting plans
6	Monitoring Progress; creating and installing metrics, milestones and benchmarks
7	Changing systems & structures; staffing, training, appraisals, communications, roles and reporting relationships, rewards

The GE model focuses initially on leadership, where the change leader is one who owns the entire process with full accountability. The leader is also responsible for committing resources to the change effort, providing role models to the rest of the team and championing the overall effort through execution, perhaps even beyond.

Communicating a shared need of change is the second step within the GE change model. A crucial stage ensuring all change agents and recipients of the change effort understand the reasons behind the effort and the planned gains after executing the change effort.

The model's third step of shaping a vision builds upon the communication activity outlined in step two. This stage ensures that all employees involved in the change effort see desired outcomes in concrete behavioral terms.

Mobilizing commitment, the fourth stage, is built upon the change agents clear understanding of the various diverse stakeholders, the ability to identify key constituents, and continuous building and maintenance of support.

The fifth stage is concerned with making changes that last. This stage assumes the change effort has been executed and focuses on the concrete actions post change. Actions are aimed at developing long term plans to attain sustainability of change efforts.

Monitoring progress is the sixth stage outlined within the GE change model. Creating and installing metrics that measure performance and progress surrounding a phased completion, working toward the over all change execution. Preliminary benchmarks and milestones should be formally established as change agents work towards a full change implementation.

The final step within the GE Model refers to changing systems and structures. Considerations within this phase include staffing, training, reward structures, communications and roles and reporting relationships. This stage focuses on assuring these various considerations are looked into after a change effort in case revisions or realignment is necessary.

Challenges to Change Management

Successful implementation of organizational change requires understanding and addressing the complex interactions that take place between different change agents within an organization. It is not common for a single 'leader' or 'organizational development consultant' to be charged with implementing a linear change. Andrews (2008) notes that "Four distinct types of change agent may be involved in any particular change process, namely: senior leaders, middle managers, external consultant teams; each having different experiences and perspectives." (p. 302)

Behavior in organizations is predominantly driven by expectations and routines derived from past experience rather than by envisioned scenarios reflecting future potentialities. According to Ford (1994), disproportionate weight has been placed on expectations derived from past experience and has been blamed for a variety of problems associated with individual creativity and organizational change. Projecting expectations derived from past experience on to the future promotes the adoption and maintenance of individual and organizational routines, a potentially dangerous practice that underlies well documented organizational pathologies such as escalation of commitment and competency traps.

The growing frequency and complexity of workplace change requires employees to adapt to change without disruption; however resistance to change is the more common reaction. As managers make decisions for change initiatives, they must consider not only how firm performance will be affected but also how employees will be affected.

How Organizations Change

Research has shown that organizations change primarily in two ways: Through drastic action and through evolutionary adaptation. Drastic action is a term used to describe often forced change on the organization mandated by top management. Evolutionary Change is more gentle; an incremental, decentralized change that occurs over time produces a broad and lasting shift with less upheaval.

CHAPTER 3

STRATEGIES ON DERIVING VALUE FROM CHANGE MANAGEMENT

Leaders vs. Managers

According to Lucey (2008), “Leaders foster change and create an environment where change is the norm, whereas managers stabilize the organization and ensure that the changes are well implemented.” (p.12)

Kotter (1999) suggested that management is not leadership, but more about controlling and problem solving and producing the short-term results expected by the various stakeholders. Leadership then is about establishing direction, developing a vision of the future and setting strategies for making changes needed to achieve that vision. Kotter (1999) further states that “… (leadership) is about aligning people, communicating the direction to all those whose co-operation is needed.” (p.60)

Strebel (1996) argues that managers and employees view change differently. Both groups know that vision and leadership drive successful change, but far too few leaders recognize the ways in which individuals commit to change to bring it about. Top level managers see change as an opportunity to strengthen the business by aligning operations with strategy, to take on new professional challenges and risks, and to advance their careers. “For many employees, however, including middle managers, change is neither sought after nor welcomed. It is disruptive and intrusive. It upsets balance.” (p.86)

To close the gap, managers at all levels must learn to see things differently, either by cross-pollination, rotating managers around from one function to another or perhaps working in multi-functional teams, to help foster and encourage various different viewpoints. They must put themselves in their employees’ shoes to understand how change looks from that perspective and to examine the terms of ‘personal compacts’ between employees and the company.

Leveraging Consultants during Change

Based on my experience and perception as a management consultant the last few years, I feel managers often fear that their use of consultants may be viewed as a sign of managerial dependence and (even) incompetence to their peers and / or subordinates. To successfully support a change process, management consultants therefore need to anticipate and address these pressures in their communication with managers and their organizations. They need to offer attractive or at least acceptable subject positions to their client managers and the managers’ social environments.

The sociological and psychological identity threats originate from the reactions that the use of consultants may evoke within the client manager’s surrounding organization.

Managers’ contracting of an unknown outsider to accomplish results in the organization may create anxiety and skepticism within the client organization. Baclund (2008) argues, for example, that “Several studies show that consultant-supported change projects may trigger critical reactions within the client organization towards consultants and their ideas, inflicting self-protective behavior by the client’s peers, subordinates and superiors.” (p.759).

Employees might refuse cooperation, hide information, express cynicism, etc. which may jeopardize the project and, in turn, the client manager’s position and career in the organization. The term ‘Covert Processes’ coined by Marshak (2006) refers specifically to the unspoken beliefs and assumptions underlying people’s behavior, affecting what one says or even does when we are unaware of them." (p.1). Marshak continues, suggesting that this is a "… hidden or unconscious dynamic that impact human interaction…" and therefore weakens one's ability to fully realize his or her goals (p.1).

According to Whittle (2006) two paradoxes arise from conflicting accounts of the nature of the client-consultant relationship. One concerns how consultants relate to power and politics in the client organization. The other concerns where jurisdiction for decisions and actions lay. (pp.425-426)

Consultants are often seen as agents used to legitimate or rubber stamp the decisions by senior management. Consultants can benefit from the momentum, resources, and legitimacy that accompany high-level sponsorship. The purchase of advice can be a double-edged sword if it is interpreted as a sign of managerial incompetence, or if consultants renew the managerial anxieties they were enlisted to assuage. Moreover, consultants can act as a scapegoat for allocating blame or diverting, deflecting or disguising opposition to the sponsoring group and their ideas.

Depersonalized knowledge, knowledge that is technology infused, perhaps industry knowledge that is uniquely creative guarantee the client's success by bringing about innovation and rapid change. Knowledge is developed and accumulated on an organizational level by networks of consultants tapping the consultancies' own research and experience as well as the general ongoing knowledge development. Consultants are often brought in to maintain independence and bring in objectivity.

Resistance to Change

Many no longer are experiencing discrete changes, i.e. temporary shifts between two successive states that are assumed to be stable, but rather actual movements, in the sense of continuous flows. In this permanent change, management may consider employees as flexible and adaptable to organizations' need, even if such need may fluctuate. There would therefore appear to be no limit to the human capacity to "bend" to variable and uncertain social norms, in some cases at the expense of the employees' physical and psychological balance and health.

Stebel (1996) notes that, "In a telling statistic, leading practitioners of radical corporate reengineering report that success rates in Fortune 1,000 companies are well below 50%; some say as low as 20%." (p.86). The scenario is all too familiar. Company leaders talk about total quality management, downsizing, or customer value. Determined managers follow up with plans for process improvements in customer service, manufacturing, supply chain etc. Management looks for enthusiasm, commitment and acceptance; but it gets something less. "Communication breaks down, implementation plans miss their mark and results fall short." (Strebel, 1996, p.90)

This resistance to change occurs because most people like things to be comfortable and familiar. They like to feel capable and confident in their work. Change affects people's ability to feel comfortable, capable and confident because it means that they must learn new systems, work in new ways, and accept new responsibilities while being expected to maintain or increase existing productivity levels. Resistance to change can be categorized into these three general forms:

- Revolt: an explicit and active form of ideological confrontation
- Withdrawal: a form of passive resistance to what is seen as the oppression of work
- Discreet Resistance: One goes through the motions. It is this last form of resistance, which is less blatantly obvious, and more implicit, everyone accepts the position in

practice because everyone is satisfied with the status quo. This is not explicit resistance (as in conventional revolts), or a mental pulling-out from the professional sphere (as in withdrawal).

Organization change efforts often run several form of human resistance. Although experienced managers are generally all too aware of this fact, surprisingly few take time before an organizational change to assess systematically who might resist the change initiative and for what reasons. Four of the most common reasons people resist change as Adapted from Strebel (1996) are as follows:

First is Self-Interest. Sometimes people resist organizational change because they think they will lose something of value as a result. Since people focus on their own best interests and not on those of the total organization, resistance often results in ‘politics’ or ‘political behavior’ – the cliché ‘What is in it for me’ is quite applicable in this phase.

Second is misunderstanding and lack of trust. People resist change when they do not understand its implications and perceive that it might cost them much more than they will gain. Such situations often occur when trust is lacking between the person initiating the change and the employees.

Third is due to different assessments. People resist organizational change is that they assess or perhaps diagnosis the situation differently from their managers or those initiating the change and see more costs than benefits resulting from implementing the actual change, not only for themselves but for their company as well.

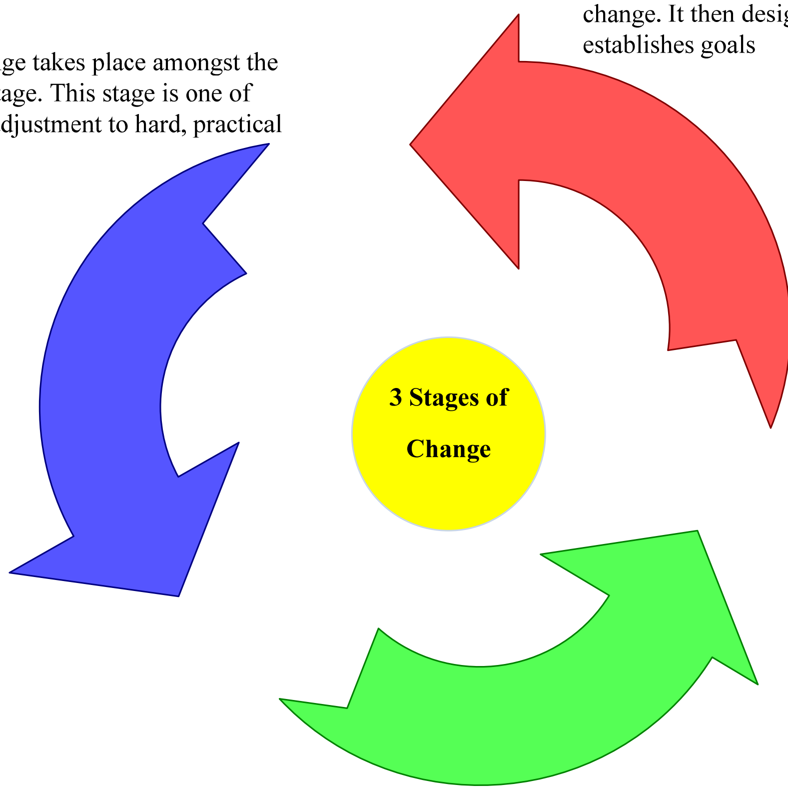
Fourth is due to low tolerance for change. Some people fear they will not be able to develop the new skills and behavior that will be required of them. All human beings are limited in their ability to change, with some people much more limited than others.

Organizational change can inadvertently require people to change too much, too quickly.

Strebel (1996) noted that “Peter Drucker has argued that the major obstacle to organizational growth is managers’ inability to change their attitudes and behavior as rapidly as their organizations require. Even when managers intellectually understand the need for changes in the way they operate, the sometimes are emotionally unable to make the transition” (p.85). Support for the change process, including the steep learning curves, new systems and the eventual implementation of change may not be suffice. Such conditions increase anxiety amongst employees, as they are chartered with maintaining their day-to-day responsibilities along side that of the change. Such imbalance can effect core values amongst employees such as trust and commitment.

Based on the research, there are three main stages that lead to and involve change. Initially change occurs as a response mechanism to environmental stimuli, weather it is competitive pressures from the outside or an opportunity to improve performance internally. A goal and future state is envisioned and a process is formally outlined, to work toward this state. The second stage is about managing the change and executing toward a define set if deliverables, working toward the envisioned goal. The third and final stage is about reflection. The organization assesses its performance against its goal, rating achievement and viability of the change effort moving forward.

Figure 1. Stages of Change



Failed change initiatives carry high costs including the loss of credibility of leadership and employee resistance to future change. Obstacles encountered during major organizational change are communication breakdown and employee resistance. Other barriers include insufficient time devoted to training, staff turnover during transition, costs exceeding budget and insufficient timelines developed for change implementation.

CHAPTER 4

INTERPRETATION OF FINDINGS

In today's marketplace of 2009, change is a necessity. Business trends influence the decision of an organization to make changes, as do stakeholder expectations, factors, demographic shifts, and social, global and political developments. Change initiatives are often broad in scope, with an impact on the entire workforce.

Table 4. Categories of Change Initiatives

Categories of Change Initiatives	
Strategic Change	looking at the organization as functional parts
Leadership Change	Reconfiguring the organization's leadership
Cultural Change	Programs that focus on human aspects (the relationships)
Cost Cutting	Identifying and eliminating non-essential activities and operations
Process Change	Focusing on how things get done for greater effectiveness and efficiency

To successfully enact change, it is important to have a clear vision and to get everyone in the organization engaged in the process.

<u>Hard Side of Change Management</u>

In recent years change management has focused on what is often referred to as the traditional soft issues such as culture, leadership, motivation. Serkin (2005) argues that such elements are important for success, but managing these aspects alone is not sufficient to implement transformation projects. Serkin suggests that companies must pay as much attention to the hard side of change management as they do to the soft aspects by addressing at least four key factors referred by the acronym DICE.

Duration (D) refers to the time until the change program is completed if it has a short life span; if not short, the amount of time between reviews of milestones.

Integrity (I) concerns the performance team's ability to complete the initiative on time depends on the members' skills and traits relative to the project's requirements.

Commitment (C) addresses the attitude to change from top executives and the enthusiasm of the people who must deal with the new process or ways of working.

Effort (E) is an assessment of how much more effort the change initiative requires on top of an employee's daily work demands.

To create pervasive and sustainable change, there are often barriers to overcome. Typically, barriers develop as a result of the organization not closely addressing the essentials of change management – specifically, thoughtful planning, communication and collaboration across multiple business lines.

Table 5. Kubiciek (2005)10 Biggest Agents of Change

10 Biggest Agents of Change	
• Merger or Acquisition	• Downsizing
• New Boss	• Moving into Growth mode
• Move to Shared Services	• New Management
• Outsourcing	• Introduction of New Technology
• Unwanted Exposure	• Going Public

When an organization decides to implement a change initiative, the reason for the anticipated change often determines the timing. Timing is influenced by the type of change (Kubiciek, 2006);

- Anticipatory - staying ahead of the competition
- Reactive - making changes in response to business trends
- Crisis - unforeseen change; disaster etc.

Prior to considering a change initiative, it is imperative that an organization first determine and assess its readiness and capacity for change. In reality, change is ongoing. Small changes are easier to manage and tend to have a better likelihood of success than broad changes. Change can be hampered when change initiatives occur at the same time or when one initiative is implemented before others are completed. Multiple change process can lead to change fatigue.

Table 6. Maurer (2006) 12 Steps to Build Support for Change

	12 Steps to Build Support for Change
1	Identify the stakeholders; determine what is needed, what support are you likely to get
2	Make a case for change
3	Determine strategies that assist in the the case for change throughout the life of the project
4	Determine who will lead and who will take part in planning the change
5	Look for potential resistance
6	Undertake all subsequent actions in a way that allows you to mitigate problems
7	Create a vision that lets people know where you are headed
8	Develop a plan for reaching the vision
9	Create measures of success and timelines
10	Keep the change alive
11	Develop contingency plans
12	Celebrate and learn from this change

The most relevant issue is not what the tool is called but the importance of knowing and understanding the tool's strengths and weaknesses and the context of when to apply it. One of the most important tools for building common understanding around change is organizational dialogue. The change process that combines physical representations of mental models of value creation with organizational dialogue enhances a company's capability to successfully conduct system-wide change initiatives. Value creation then can be best accomplished through:

- Designing change processes that promote organizational dialogue between key stakeholders and organizational staff
- Discussing the organization's past, present and future value creation using a variety of storytelling and analogies coupled with physical models during the change process

Table 7. Beaman and Guy (2005)Change Management Pitfalls

Change Management Pitfalls
• Poor Communication (e.g. goals, motives, methods, commitment etc.)
• Lack of understand of the urgency of change
• Unclear rationale for change
• Mixed messages from top and middle management
• Multiple initiatives ongoing simultaneously
• Underestimation of barriers; lack of due diligence
• Changed or diminished priorities; lack of focus
• Inadequate employee mobilization and engagement
• Cultural mismatch (e.g. blending of two contrasting cultures as a result of M & A)

"Changing requires addressing the strategy - what you are trying to change, skills - what capabilities the recipients of the change need for success in the new state, and structures - the long-term and short term organizational tools that support the new state. If these areas are not aligned, the desired outcome may never be realized." (Carter, 2008)

Leading Change

To lead change successfully one must analyze situational factors. Determine how much and what kind of resistance to expect. Assess your own power relative to potential resisters. Identify who has the most accurate information to design the change initiative. Decide how urgently the company must change. Determine the optimal speed of change is another crucial factor. One must proceed with caution if you anticipate intense resistance, have less power than resisters or need information from others to design and implement the change. (Cameron 2008, p.2)

Dealing with Resistance

Education and Communication: One of the most common ways to overcome resistance to change is to educate people about the actual change beforehand. Communication of ideas helps people see the need for and the logic of a change. The education process can involve one-on-one discussions, presentations to groups, or memos and reports.

Participation and involvement: If the initiators involve the potential resisters in some aspect of the design and implementation of the change, they can often avert resistance. With a participative change effort, the initiators listen to the people the change involves and use their advice.

Facilitation and Support**:** Another way that managers can deal with potential resistance to change is by being supportive. This process might include providing training in new skills, or giving employees time off after a demanding period etc.

Negotiation and Agreement: In a scenario where someone or some group will clearly lose out in a change, and where that group has considerable power to resist it is imperative that a delicate balance is struck between the goals of management and the collective or group at large. A win-win scenario is ideal, if unachievable, the focus should be on minimizing the impact.

Focusing on the individual then is imperative to alleviate any potential resistance to change. Providing employees a clear and consistent message about the course of change and its associated benefits, both individually and for the company coupled with active involvement and participation goes a long way in reshaping the mind set of a would-be change resistor. Providing managerial support from above is also crucial – the delivery of such support, weather it be training or additional vacation time helps garner trust and in turn further motivates the employee.

Choice of Strategy

In approaching an organizational change situation, managers explicitly or implicitly Make strategic choices regarding the speed of the effort, the amount of preplanning, the involvement of others, and the relative emphasis they will give to different approaches. Successful change efforts seem to be those where these choices both are internally consistent and fit some key situational variables.

Reorganization is usually feared, because it means disturbance of the status quo, a threat to people's vested interests in their jobs, and an upset to established ways of doing things. For these reasons, needed reorganization is often deferred, with a resulting loss is effectiveness and an increase in costs.

According to Kotter (2008), "…change initiatives often backfire because managers apply one size fits all approaches. To lead change, tailor strategies to the types of resistance you'll encounter provide training etc." (p.132)

Few organizational change efforts tend to be complete failures, but few tend to be entirely successful either. Most efforts encounter problems; they often take longer than expected and desired, they sometimes kill morale, and they often cost a great deal in terms of managerial time or emotional upheaval.

Table 8. Key Drivers of Change Management

Key Drivers of Change Management	
Organization	Structure | Global & Domestic Initiatives | Outsourcing | New Alliances
People	Behavior
Process	Process | Redesign | New Systems
Technology	Technological advance or differentiation

Making Adjustments

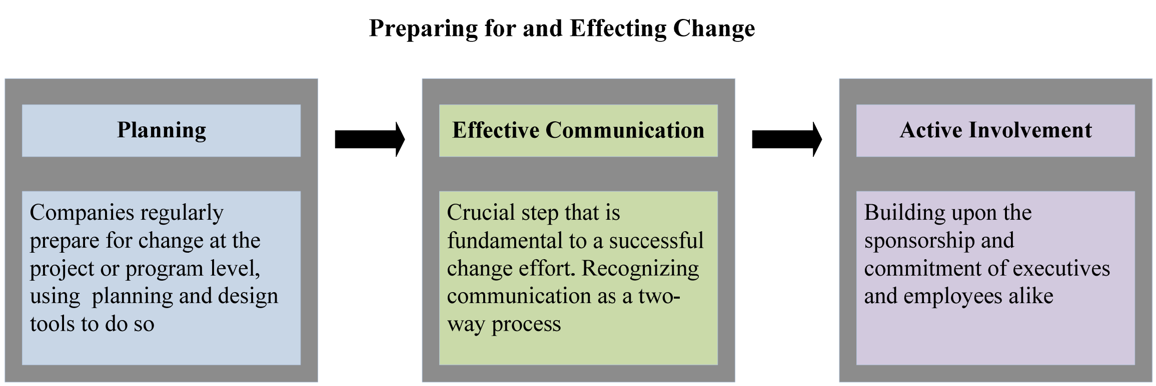
Change management, like any form of management, must allow for revising plans or altering the process in the light of experience. Changes in corporate priority can often lead to revisions to a specific change initiative. The lead time for change management planning is often considerable, and market conditions, competitive pressures, or organizational restructurings can easily intervene before the change is completed, requiring an alteration of scope or direction.

Other similar factors cited are changes in alignment and commitment. Changes must be coordinated across various divisions and units with differing concerns; therefore, maintaining alignment among stakeholders and retaining their commitment to the process throughout the implementation of the change is a regular challenge for change managers.

Another group of factors leading to plan adjustments involve availability of resources, time pressures and budgetary constraints. Their importance speaks to the planning challenges in change management. It is sometimes difficult to forecast the full scope and time demands of a change project and its impact on budget and resources.

There appears to be three crucial factors in preparing an organization for a change process: Planning, Communicating, Active Involvement

Table 9. Preparing for and Effecting Change



Planning

Effective change is a continual process and is challenging from both an operational and results driven approach. Successful change must have the appropriate organizational and social structure, either at the project or program level, within an organization that will ensure and facilitate ongoing attention to the process of change. Supporting tools, resources and any necessary training must also be accounted for.

Successful Communications

The vital importance of communication in change management has been repeatedly stressed since the field was first developed. Clarity, continuity and constancy allow communication efforts to be most effective. Communication is a reciprocal process as management must listen as well as talk.

Engaging Employees

Successful implementation is greatly facilitated when the people carrying out the change is engaged in the process and there is buy in to the strategy and tactics. The key focus areas: Acceptance, Understanding, Willing Participation, Enthusiasm. In order to fully engage stakeholders two-way communication is critical; not just top-down dissemination of instructions and information, but also soliciting and listening to workforce questions, concerns and suggestions. Attention should also be paid to building motivation and incentives into the change process, such as recognition and rewards programs and links to compensation.

Critical to the success of any change initiative is follow-up feedback loops during and after implementation to evaluate the new processes and modify them if they are not having the intended impact on departments and individuals.

Overcoming Resistance and Sustaining Change

Follow-through is often the tedious and unglamorous part of change – the hard slog of identifying bottlenecks, flaws, and resistance; finding solutions; revising the plan; and rising to the challenges.

External consultants may have come and gone by this time and senior management has turned its attention to other things, but the process is not complete and will not be so without sustained effort.

It is imperative that ownership falls on a certain individual or group to carry out follow through efforts, deriving and quantifying value from a completed change. Successes and any associated failures need to be measured and tracked, as these change initiatives are ultimately about results.

“Casualties” of Change

However much management seeks to make the change a win-win situation, some change inevitably results in someone else’s demise. Some departments may lose staff, responsibility, or budget, or suffer a loss of institutional clout and status. Some may take on new, perhaps less attractive, tasks and responsibilities. Other units may have to work harder to lose valued perquisites or privileges. Institutional jealousies and rivalries may also come into play.

Overcoming organizational resistance requires commitment and engagement from top leadership. An effective and lasting resolution can only come form the top leadership, the ones that have in mind the best interests of the entire enterprise.

Achieving strategic alignment is generally a problem of planning, sponsorship and commitment – the solutions lie in strengthening these areas.

Measuring Progress

Appropriate assessment of outputs and results is vital to sustain the business case for change and change management. Surveys and scorecards, which can be customtailored to focus on the features that are more relevant to a given change process or to investigate issues of greatest concern, are the most commonly used metrics.

Financial indicators such as revenue, costs and market share, although key financial measures which the market evaluates a company's performance focus on overall performance over a period of time and thus can be influenced by a number of factors that are independent of the change management process. Therefore, as tools for tracking the course as a change, financial measures are relatively crude.

Most of the remaining metrics are more specifically focused on the process of change. On-time completion is an obvious way to track the progress of a change implementation, especially when a project is phased and interim target dates can be set. Quality indicators can be focused on desired outcomes or on components of the change process such as training, communications, and the like. Process tools can be tracked to study implementation, and expectation indicators are customizable to fit local circumstances.

<u>Achieving a Sustainable Plan</u>

Sustainability in change management depends on a complex dance of strategy and tactics, overall vision, and meticulous attention to detail. It requires foresight and strategic planning. But plans must be revised in light of experience. An effective and sustainable plan not only requires attention to the overall business context (the market and competition) and business goals but also a close focus on the specifics of the process:

- Identifying resistance, redundancies, and inefficiencies and overcoming or eliminating them
- Ensuring every necessary step in the change process is taken

- Building and maintaining internal relationships to ensure engagement

Sustainability demands continuing commitment and support from the top, but it can only be put into effect by the actions of individuals throughout the organization. Ultimately, sustaining change and bringing it through to success means that it must become institutionalized – a part of regular practice across the organization. Tracking progress toward that goal consists of tracking a shift in corporate culture.

Achieving success within a change effort hinges upon the interaction and momentum generated via organizational alignment, leadership and external pressures that drive change.

Achieving success through change requires 3 key ingredients according to (Carter, 2008). The first is Alignment, and is premised on obtaining buy-in across the enterprise as a key component or preparing for change. The ability to work on relationships with associates and secure positive attitudes are essential competencies for implementing change as achieving employee engagement is a recurring theme in successful studies of change management. (p.21)

Leadership and Organizational Competency is the second foundation. Change leadership is perceived as an important enabler of success, especially when the top leaders are seen as models of desirable behaviors. When management sees change processes as a means to achieving strategic results, it implies that successful change management is an institutional priority and enabler of improved organizational performance.

The final foundation is competitive pressures as it creates a sense of urgency and clarity about the need for change. Ultimately, change for the sake of change is pointless, even counter productive. Initiating any change requires justification, which is objective and clear to all, making it somewhat easier to make the case for change and bring associates on board.

CHAPTER 5

CONCLUDING THOUGHTS

To change successfully, companies should intersperse major change initiatives among carefully paced periods of smaller, organic change.

According to Abrahamson (2000), "…change is usually orchestrated and creates initiative overload and organizational chaos, both of which provoke strong resistance from the people most affected." (p.76)

Managing the Cycle of Change

Change Resistance according to Craine (2007) is a very influential factor that is often overlooked in action plans and contingency scenarios is the natural and emotional reactions of people when things change. Focus tends to be on the process of change or the product of change and the enabling systems and technology in place to enable such shifts.

The challenge to change and improve is often misunderstood as a need to better deal with or cope with a new form of complexity. Such complexities then require the addition of new of refined skills, ones that have been learned but not fully developed. There seems to be a need of achieving delicate balance between external demands and one's capacity as an individual. "When one consider's the world as too complex, the individual is merely describing a "mismatch" between external and internal complexity." (Kegan and Lahey, 2009, p. 11-12).

In their book, Kegan and Lahey (2009) outline three mind plateaus of mental complexity; the socialized mind, the self-authoring mind, and the self-transforming mind.

Table 10. Kegan and Lahey (2009) Three Mind Plateaus of Mental Complexity

Socialized Mind ▪ We are shaped by the definitions and expectations of our personal environment. ▪ Our self coheres by its alignment with, and loyalty to, that which it identifies. ▪ This state of mind can express itself primary in our relationships with people, with our ideas and beliefs or both.
Self-Authoring Mind ▪ We are able to step back enough from the social environment to generate an internal personal authority that evaluates and makes choices about external expectations. ▪ Our self coheres by its alignment with its own belief by its ability to self-direct, take stands, set limits and create and regulate its boundaries on behalf of its own voice.
Self-Transforming Mind ▪ We can step back from and reflect on the limits of our own ideology or personal authority. Have the ability to see that a system may be partially incomplete; more tolerant toward contradiction. Hold onto multiple systems rather than projecting just one. ▪ Our self cohere through its inability not to confuse internal consistency with wholeness or completeness and through its alignment with the dialectic understanding of difference

The way information permeates throughout an organization, which has access, which does not is crucial to how a system works. Change management experts are mostly concerned with how a certain system effects individual behavior rather than the deeper root cause of how powerful the mental complexity with which the individual views the organizational culture or a pending change initiative.

Resistance to change is often a more troubling problem than even the most complicated tangle of technology. Rapid innovation in technology is forcing people to change at an ever-quickening pace. The rapidity coupled with technical difficulties associated with high tech change has given a rise to a pattern of resistance within corporate culture. Because people often automatically resist change – due to routine, habit and apprehension of the unknown, it is imperative to mitigate the negative effects of people's reactions while implementing changes in technology, process and workflow.

According to Moon (2009) the uncertainties of change outcomes and the fluid nature of organizations, planned change projects are disrupted regularly. Therefore, Moon (2009) add that "the change agent instigates a process of sense making (diagnosis) to understand disruption in the planned change process through dialogue, facilitation and active listening. The change agent may face ambivalence or other forms of resistance based on uncertain or conflictual common sense perspectives." (p.526)

However all too often what is overlooked when these projects are being planned and implemented is the people aspect. Many projects fail because they only gather support from senior management who sign the purchase agreements with various vendors but then themselves do not actually use the technology. Technology introductions succeed or fail based on how effective the organization is at getting the end users to change their way of working an the organization supports that way of working.

Change management works in conjunction with the other elements of any project, whether it be implementing a new technology or new ways of working due to a change in legislation. By undertaking a structured approach to change management, one is ensuring that it is planned, managed, reinforced and above all focused on delivering sustained business benefits.

Successful Change Management Programs include:

- Developing the vision and the case for change
- Reviewing and capturing how the change contributes to the business's strategies, goals and their measures, to endure competitive advantage
- Knowing and managing your stakeholders
- Managing communication – message management and refinement, channel management and feedback loops
- Reviewing organizational design and culture against new requirements and refining accordingly
- Reviewing people performance systems, reward and recognition, recruitment and induction, retention and succession planning against new requirements, refining accordingly focusing on how to reward new behaviors
- Identifying and developing change leaders
- Reviewing current and future learning and development needs

To stay competitive, a company must be dynamic in the marketplace, constantly revising its strategy in response to its competitors and aligning with the changing demands of its customers. The organizations that make it to the top are the ones that can respond quickly to the marketplace – particularly those that adapt faster than their competitors – and are able to transform themselves on the fly.

Transformation then is a fundamental shift in a company's functioning in order to significantly improve the current performance by better aligning with the changing market conditions and demands. It typically encompasses change at every level of the organization from executive-level management down to he individual employee.

<u>Resistance as a Resource for Change</u>

According to Ford, Ford and D'Amelio (2008), the 'change agent-centric' view presumes that resistance is an accurate report by change agents of an objective reality (resistance by change participants). Change agents therefore are not portrayed as participants who enact their environments or construct their realities but, rather, as people who deal with and address the objectively real resistance of change participants.

Change presents both agents and recipients with potential problems that are an occasion and trigger for sense making, "…an active process involving the interaction of information seeking, meaning ascription, and associated responses." (p.363). The types of questions change agents would ask would be along the lines of "How will this get accomplished?', change recipients on the other hand would ask the opposite, "how will this change effect me?"

Ford et. al (2008) provide three elements to consider as a reconstruction of the resistance to change:

Table 11. Ford et al. (2008) A Reconstruction of the Resistance to Change

A Reconstruction of the Resistance to Change	
Recipient Action	Any behaviour or communication that occurs in response to a change initiative and its implementation
Agent Sensemaking	Agents' interpretation of the meanings given to actual or anticipated change recepients based on an individual agent's interpretations and sense of meaning
Agent – Recipient Relationship	Provides context for the first two elements and shapes and is shaped by Agent – Recipient Interactions

Successful Change Programs Begin with Results

The performance improvement efforts of many companies have much impact on operational and financial results. While some companies constantly improve measurable performance, in many others, managers continue to dance round and round the issues. Toyota for example instituted the ‘Toyota Way’ as a form of continual process improvement on their production lines, leading to the manufacturing of high-quality products. Over the years, this core belief has become a source of competitive advantage at Toyota.

Some managers introduce programs aimed at change but under the surface they contribute little to the bottom line. At the heart of these “activity centered” programs is a fundamentally flawed logic that confuses ends with means, processes with outcomes.

This logic is based on the belief that once managers benchmark their company’s performance against competition, assess their customers’ expectations, and train their employees; sales will increase, inventory will shrink and quality will improve.

Table 12. Schaffer and Thomson (1992) Comparing Improvement Efforts

Activity-Centered Programs	**Results-Driven Programs**
• The improvement effort is defined mainly in long term, global terms.	• There are measurable short-term performance improvement goals, even though the effort is a long-term sustaining one
• Management takes action steps because they are "correct" and fit the program's philosophy	• Management takes action steps because they appear to lead directly toward some improved results
• The program's champion(s) counsels patience and fortitude	• The mood is one of impatience. Management wants to see results now, even though the change process is a long-term commitment
• Staff experts and consultants indoctrinate everyone into the mystique and vocabulary of the program	• Staff experts and consultants help managers achieve results
• Staff experts and consultants urge managers and employees to have faith in the approach and to support it	• Managers and employees are encouraged to make certain for themselves that the approach actually yields results
• The process requires management to make big investments up front – before results have been demonstrated	• Relatively little investment is needed to get the process started, conviction builds as results materialize

Change Management: Drivers and Considerations

Based on the research, I feel change should always be results driven. It is imperative for change agents, leaders, managers or even consultants to create a sense of urgency amongst the community chartered to implement change. A collaborative environment that facilitates two-way communication from leadership and the community at large creates a heightened sense of change ownership and active involvement which are crucial to the change effort's success. A change path must be outlined and defined, planning a change effort is involved as various facets of an organization and its people need to be considered. Communication initially, and throughout the change process is imperative. Not only sharing how the change is to be executed, but key drivers and goals need to be articulated form the outset. Championing change efforts take time and progress should be measured - key small wins or milestones achieved need to be recognized and celebrated amongst the change participants and community at large.

Keen detail and emphasis need to be placed on the organization, people and process. These pillars of change not only drive an initiative forward, but can also stall or hinder progress if not managed effectively.

Conclusions

The biggest challenge in this entire process is changing people's behavior. The key to this behavioral shift, so clear in successful transformations, is less about the analytics but more about seeing and feeling. (Kotter and Cohen, 2002, p.179)

Change management is a collective process with distributed responsibilities and competencies. To make it work, all components of the organization – individual, department / group, and organization - have to work together, collaborating on a common goal and aligning efforts. They also have to work separately, carrying out their separate responsibilities and developing their individual competencies.

All aspects of the change management process, including planning, implementation, and assessment, require some degree of segmentation, distributing different pieces to different units and individuals and making different demands form each of these perspectives.

Globalization, competition and accelerated technological innovation are creating conditions under which change itself is changing; it is becoming more complex and omnipresent, requiring enterprises to develop focused capabilities for change management.

Expectations have shifted from seeing change as an extraordinary event to seeing it as a permanent condition of business life. Similarly, change management is increasingly perceived as an ongoing business function rather than a focused response to an occasional need for reorganization. Change management is becoming institutionalized in various ways: having a dedicated change management function within an organization (typically with in HR), dedication and commitment to developing tools for planning and implementation, focused communication efforts directed at facilitation change, reorientation of corporate culture toward flexibility and agility with regard to change.

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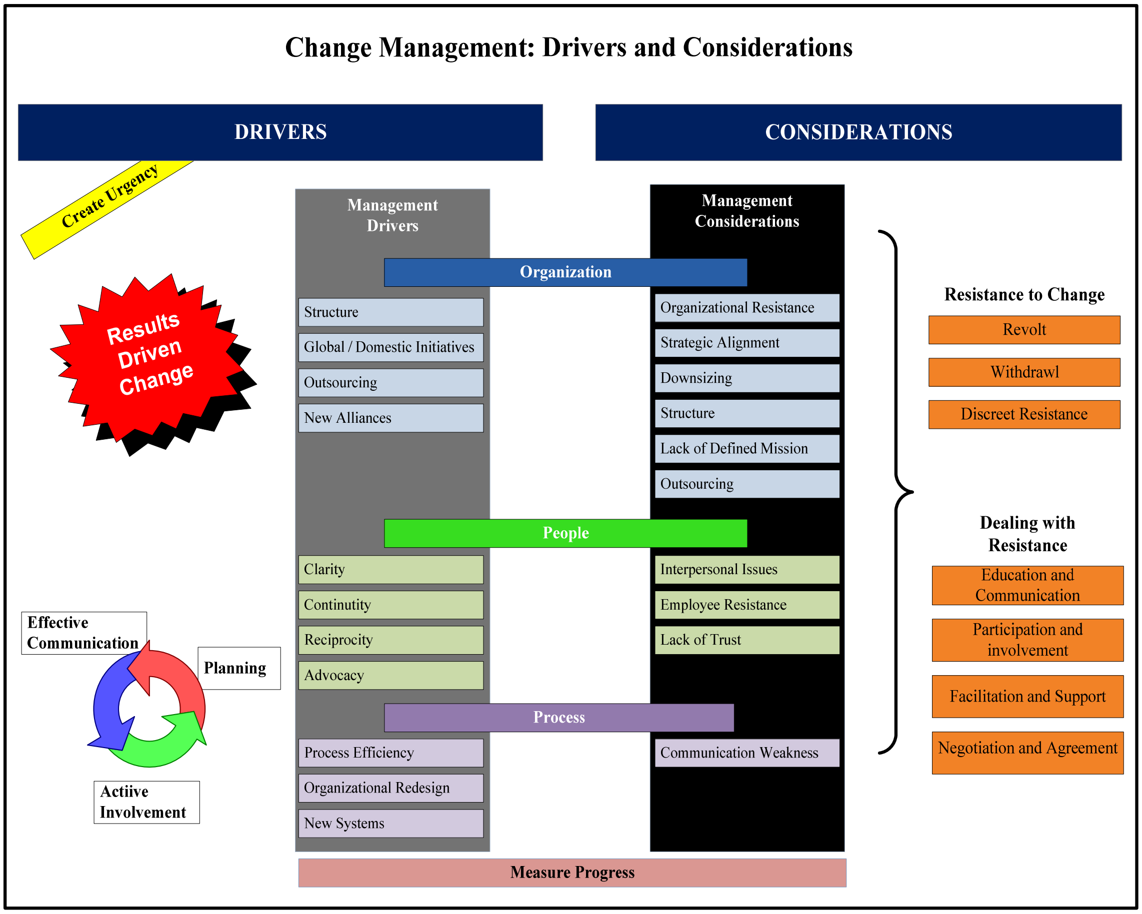
APPENDIX


Change Management: Drivers and Considerations
DRIVERS
CONSIDERATIONS
Create Urgency
Results Driven Change
Management Drivers
Management Considerations
Organization
Structure
Global / Domestic Initiatives
Outsourcing
New Alliances
Organizational Resistance
Strategic Alignment
Downsizing
Structure
Lack of Defined Mission
Outsourcing
Resistance to Change
Revolt
Withdrawl
Discreet Resistance
People
Clarity
Continutity
Reciprocity
Advocacy
Interpersonal Issues
Employee Resistance
Lack of Trust
Dealing with Resistance
Education and Communication
Participation and involvement
Facilitation and Support
Negotiation and Agreement
Effective Communication
Planning
Actiive Involvement
Process
Process Efficiency
Organizational Redesign
New Systems
Communication Weakness
Measure Progress