MANAGING CHANGE

Questionnaire

CHANGE

QUESTIONNAIRE
ASSUMPTIONS ABOUT MANAGING CHANGE

Instructions:
What follows are 25 True-False statements about the nature of change in organizations. Please read each statement carefully, then indicate whether the statement is true or false by circling either the "T" or the "F" for each item. When you have responded to all 25 statements please fill in the appropriate circle on the ANSWER SHEET using a #2 black lead pencil. **DO NOT USE INK OR BALL POINT PEN.**

When marking your answers on the ANSWER SHEET, be sure to fill in completely the appropriate circle. Please do not make any stray marks on the ANSWER SHEET; they may be read as intended answers. If you make a mistake or want to change your rating, thoroughly erase the old response and fill in your new response.

T   F   **1.** People invariably resist change.

T   F   **2.** The articulation of the organization's future state by its leaders is one of the most important aspects of a successful change effort.

T   F   **3.** The most difficult aspect of any change effort is the determination of the vision for the future state.

T   F   **4.** In any change effort, communicating what will remain the same is as important as communicating what will be different.

T   F   **5.** Lacking freedom of choice about change usually provokes more resistance than change itself.

T   F   **6.** A highly effective, early step in managing change is to surface dissatisfaction with the current state.

T   F   **7.** A common error in managing change is providing more information about the process than is necessary.

T   F   **8.** As movement toward a new future begins, members of an organization need both time and opportunity to disengage from and grieve for the loss of the present state.

T   F   **9.** The planning of change should be done by a small, knowledgeable group that communicates its plans on completion of this task.

T F **10.** Despite differences in organizational specifics, certain clear patterns typify all change efforts.

T F **11.** In any change effort, influencing people one-on-one is more effective than in small groups.

T F **12.** Managing resistance to change is more difficult than managing apathy about change.

T F **13.** Complaints about the change effort are often a sign of progress.

T F **14.** *"Turf issues,"* both individual and group, are usually the greatest obstacle to systemic change.

T F **15.** The first question asked by most people about organizational change concerns the general nature of the future state.

T F **16.** Symbols, slogans, or acronyms that represent organizational change typically reduce the effectiveness of the effort rather than add to it.

T F **17.** Leaders find it more difficult to change organizational goals than to change the ways to reach those goals.

T F **18.** Successful change efforts typically require changing the reward systems to support the change.

T F **19.** With little information about the progress of a change effort people will typically think positively.

T F **20.** A change effort routinely should begin with modifications of the organization's structure.

T F **21.** The more members of an organization are involved in planning the change, the more they will be committed to the change effort.

T F **22.** A reduction in the organization's problems represents clear-cut evidence of progress in the change effort.

T F **23.** Organizational change is typically a response to external environmental pressures rather than internal management initiatives.

T F **24.** In managing change, the reduction of restraints or barriers to the achievement of the end state is more effective than increased pressure toward that end state.

T F **25.** Effective organizational change requires certain significant and dramatic steps or *"leaps"* rather than moderate incremental ones.

MANAGING CHANGE

PARTICIPANT GUIDE

INTERPRETATION AND INDUSTRY COMPARISONS

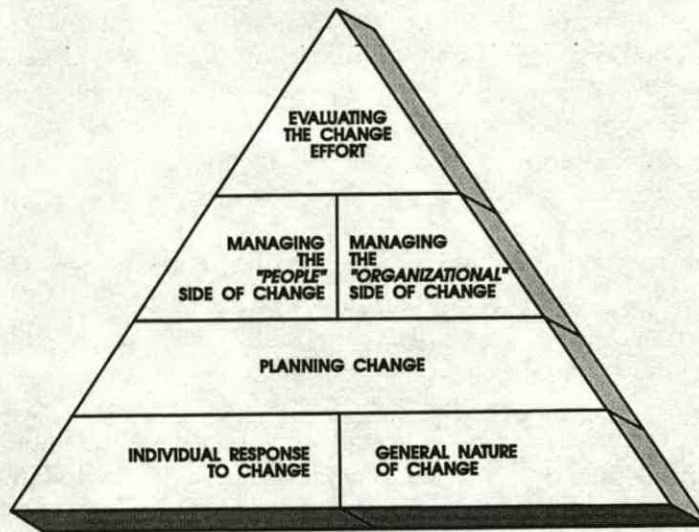**WWB A** W. Warner Burke Associates, Inc.
ORGANIZATION CONSULTANTS

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To paraphrase Machiavelli: "There is only one thing more difficult to take in hand, more perilous to conduct, and more uncertain in its success than taking the lead in the introduction of change--and that is managing how to get there."

Understanding how people respond to change is the essence of this guide.

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                    EVALUATING
                    THE CHANGE
                     EFFORT

         MANAGING          MANAGING
            THE            THE
         "PEOPLE"         "ORGANIZATIONAL"
       SIDE OF CHANGE    SIDE OF CHANGE

              PLANNING CHANGE

      INDIVIDUAL RESPONSE    GENERAL NATURE
          TO CHANGE           OF CHANGE
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THE MANAGING CHANGE MODEL

The conceptual model (illustrated above) is based on six dimensions, illustrating the principles of managing change and aiding in clarification of the essential aspects, or "domains," of Managing Change. The model comprehensively builds on the basic foundation of Managing Change, beginning with the "Individual Response" and "General Nature of Change" to the sixth domain, "Evaluating the Change Effort." This Guide presents an expert view based on theory and research against which managers can compare their own views about managing change.

MANAGERS GET A "C" IN MANAGING CHANGE

Global markets, deregulation, customer needs and demands, increasing competition and technical innovations are all forcing manufacturing as well as other organizations to become more service and quality oriented. It seems that the only constant in today's world of organizations is change. One of the most important skills leaders and managers can have in their repertoire these days is the skill to lead and manage change; an understanding of the personal and the organizational dynamics involved in a change effort, accompanied by the ability to lead people through one successfully.

The **Managing Change Participants Guide: Interpretation and Industry Comparisons** is derived from the *Managing Change Questionnaire* (a product developed by W. Warner Burke Associates, Inc.) and is designed to measure one's knowledge about 25 key issues (in the form of true or false statements) on how to lead and manage organizational change.

The *Managing Change Questionnaire* is based on (1) theoretical and research knowledge regarding the change process and (2) years of practical experience in helping managers guide their organizations through change efforts. Typically administered during a leadership and/or management development program, as part of a session on managing change, the foremost objective of the instrument is not to test individuals in the strict, evaluative, academic sense, but to stimulate thinking, discussion, and learning. In essence, it is designed to confirm and/or challenge existing assumptions, to promote one's knowledge about fundamental aspects of leading and managing change, and to enable participants to view the abstract concept of change in more concrete and useful ways.

The Questionnaire has been administered over a ten year period (1986-1995) to leaders and managers within the airline, broadcasting, insurance, pharmaceutical, chemical, professional services, utility industries and the federal government. The resulting international database enables each manager to compare his or her knowledge with that of others in his or her industry as well as with managers from other sectors.

Analyses of participants' scores on the instrument reveal an alarming lack of knowledge about these issues; in fact, results from over 2,600 executives in more than 15 industries indicate that the average score on the *Managing Change Questionnaire* is a "72" out of a possible 100. In the 1990s, when all environments are likely to be characterized by constant change, such insufficient understanding of this pervasive phenomenon is cause for concern.

The figure below displays the average individual and "team" scores obtained across 10 different industry categories. It also provides the average individual score obtained by organization change experts (note that the scores obtained for these experts are **not** included in the Total score listed for managers and executives).

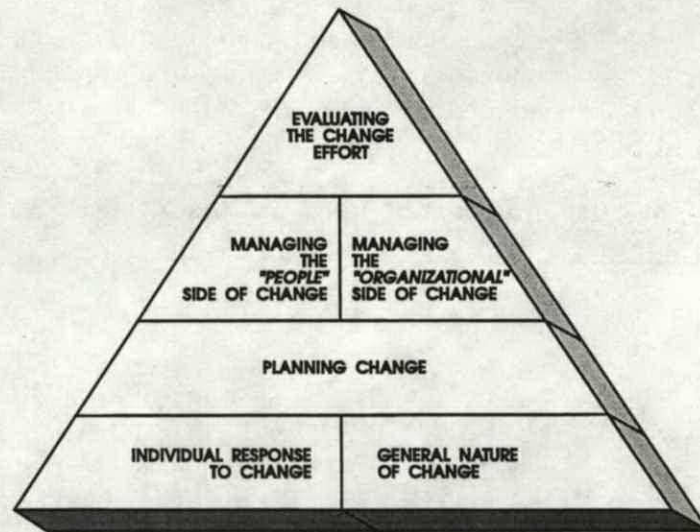**Average Individual and Team Scores by Industry: Total Score**
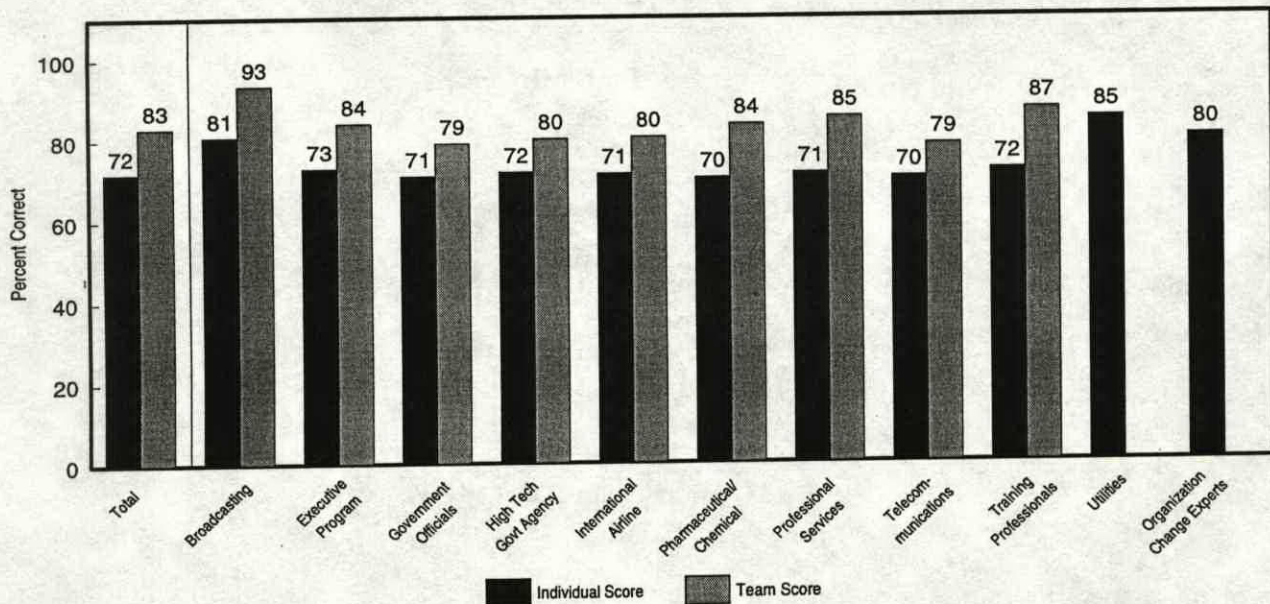
In examining these results across industries, two general patterns emerge: (1) The average individual score, regardless of industry, is in the low 70s. Only three groups (Broadcasting, Utilities, and Organization change experts) achieved scores above 80. (2) Team scores are almost always superior to individual scores. In many ways, this latter finding serves to validate the development and use of the *Managing Change Questionnaire* as a tool for understanding group process and decision making as well.

DIMENSIONS OF MANAGING CHANGE

The 25 items in the *Managing Change Questionnaire* are organized according to the conceptual framework, or model, depicted below. The triangle, or delta symbol (which, incidentally is the Greek symbol for change) is used to convey two ideas: (1) Each of the components, or dimensions, is an integral part of one's overall knowledge regarding change, and (2) each dimension builds on those "below" it; for example, knowledge of the fundamental aspects of change is critical to the process of planning, leading, managing and evaluating change. The conceptual model is displayed once again on the following page.

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              EVALUATING
              THE CHANGE
                EFFORT


      MANAGING        MANAGING
         THE          THE
       "PEOPLE"       "ORGANIZATIONAL"
      SIDE OF CHANGE  SIDE OF CHANGE


            PLANNING CHANGE


   INDIVIDUAL RESPONSE   GENERAL NATURE
        TO CHANGE         OF CHANGE
```

THE MANAGING CHANGE MODEL

THE FUNDAMENTAL ASPECTS OF CHANGE

For a change effort to be successful, actions and events need to be based on a sound understanding of how individuals respond to change, as well as how transitions affect and are affected by organizational processes. The leader and manager who has developed an appreciation for the fundamental aspects of change is better prepared for leading and managing the change process than one whose knowledge of the underlying dynamics of change is deficient or non-existent. Therefore, the framework of the change model, and of any successful change effort, is based on a foundation of knowledge regarding individual and organizational responses to change.

Individual Response to Change

This dimension addresses the distinction between change that is embraced and change that people resist strongly. As we all know, resistance to change does occur. However, one can easily think of change that people welcome and embrace, not necessarily avoid or resist--a promotion to a new position, an opportunity to take on a different assignment, or even to get married! The items in this dimension deal with resistance that stems from two conditions. The first is loss of the known and tried--when people exchange certainty for uncertainty, and are required to spend a great deal of effort in getting to know the situation and in coping with initial frustrations. The second condition from which resistance stems is loss of personal choice--what people are resisting is not necessarily change but the imposition of change. The items in this dimension also address the difference between managing resistance and managing apathy. An example of an item in this dimension is "Lacking freedom of choice about change usually provokes more resistance than change itself."

General Nature of Change

Like "Individual Response to Change", this dimension addresses fundamental aspects of change. The primary focus for this dimension, however, is not on change as it affects individuals, but rather in terms of broad, universal propositions. Topics covered include the issue of whether certain clear patterns typify all change efforts, and the issue of "revolutionary vs. evolutionary" aspects of change -- whether change requires certain significant and dramatic steps or "leaps" rather than moderate, incremental ones. An item within this dimension is "Despite differences in organizational specifics, certain clear patterns typify all change efforts."

THE CHANGE PROCESS

If the fundamental dynamics of change are thoroughly understood, the process of implementing the change effort stands a better chance of success. Moving up the Change Model, the planning phase becomes the foundation for the further efforts of managing and evaluating change--a change effort that is planned well provides solid support for success in these subsequent phases. Similarly, one that is managed well assists the evaluation of that effort. It should be noted that planning, managing and evaluating are not discrete steps but, rather, phases in a change effort.

These items represent, of course, the major thrust of the instrument. It should be emphasized that the toughest job is to **manage** the change process. To paraphrase Machiavelli, in today's rapidly changing environment, there is only one thing more difficult to take in hand, more perilous to conduct, and more uncertain in its success than taking the lead in the introduction of change--and that is managing how to get there! In writing about this aspect of management, one can be logical, rational, and perhaps convey the idea that dealing with organizational change is indeed subject to management. In reality, however, managing change is sloppy if not chaotic--people never do exactly as planned. And it follows Murphy's Law--if anything can go wrong, it will. Moreover, organizational politics is always present, and change, after all, affects us all emotionally.

Even with these qualifications and the perspective that managing change is not always manageable, it is useful to consider certain principles and guidelines. The more a process may seem unmanageable, the closer we should stick to those activities that have been demonstrated to be helpful.

Planning Change

Planning Change covers activities in the change process that occur, or should occur, prior to implementation. As the planning of change begins, one needs to understand that the "word" will spread and rumors will multiply; thus, **managing** the change process has already started--or, at least, needs to start. It is helpful for our understanding, nevertheless, to think of the change process as a phased movement from planning to implementing.

The items in the Planning Change dimension focus on prerequisites of change, as well as on the importance of involvement during the planning process. For instance, items address the significance of surfacing dissatisfaction with the current state and of articulating the vision of the future state. An example of an item from this dimension is "The first question asked by most people about organizational change concerns the general nature of the future state."

Managing the "People" Side of Change

The items included in this dimension provide principles and guidelines that meet the criterion of demonstrated helpfulness in the area of leading and managing people. Primarily, they address the issue of communication; **what, how much**, and **how** to communicate during the change effort. They also address the difficulty of determining the vision for the future state as well as the importance of allowing time for disengaging from the present state.

The item "A common error in managing change is providing more information about the process than is necessary" is illustrative of those within this sub-dimension.

Managing the "Organizational" Side of Change

This dimension centers on managing organizational aspects of change: the reward system, the organizational structure, barriers that exist to reaching the end state, and the use of institutional symbols to facilitate the process of change. One example of these items is "A change effort routinely should begin with modifications of the organization's structure."

Evaluating The Change Effort

How can you tell if you are making any progress in a change effort? The general answer is "Not in the most obvious ways." The quantity of problems that organization members must handle may not be any different; in fact, problems may actually increase after the change effort is introduced. The items in this dimension cover the importance of keeping momentum and positive energy directed toward the change goal(s), monitoring progress, and providing feedback to members about any change milestone that is reached, no matter how small it may seem.

Example: "Complaints about the change effort are often a sign of progress."

RESEARCH FINDINGS

We examined managers' and executives' scores on the various dimensions; these scores can be seen in the figure below. Perhaps the most obvious and somewhat distressing finding is that the average score on the *Managing Change Questionnaire* is a "72." One could say, then, that today's managers receive a "C" in managing change. Regardless of the "grade," it may be more meaningful to look at patterns of responses to determine where leaders and managers may need to increase their knowledge and skills.

Average Individual and Team Scores
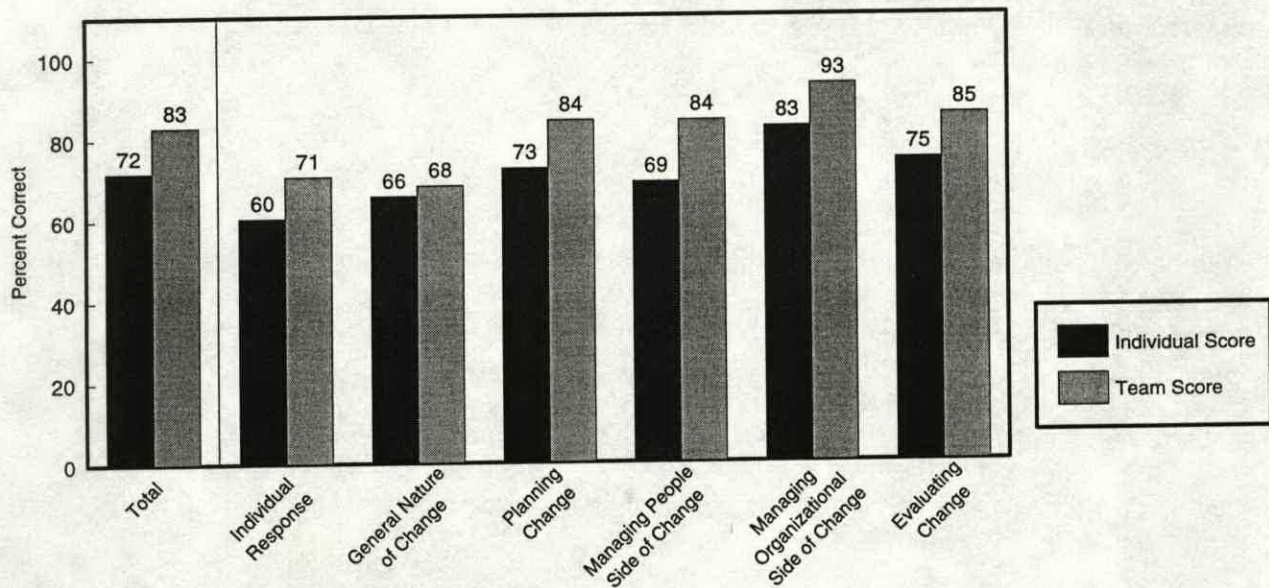
Taken collectively, the six dimensions represent a model of the key aspects of managing change (see chart above). However, it is possible to consider the dimensions as conceptually different in two respects. The first addresses the distinction between knowledge of the fundamental aspects of change and knowledge of the process of implementing a change effort. The second deals with the management of people compared with the management of the organization during a change effort.

Two of the dimensions address the fundamental nature of change and how it affects individuals (Individual Response to Change and General Nature of Change). The remaining four dimensions deal more with the process of managing change (Planning, Managing (2) and Evaluating Change). The items in these dimensions deal with activities that occur or should occur prior to, during, and after implementation of the change effort.

Our analysis of managers' scores reveals that they are more knowledgeable about the process of change than they are about the underlying dynamics of change. This makes sense when one considers that managers are doers and are therefore most comfortable with implementing and managing a process, procedure, system, method, or routine. Many of them probably do not spend much time contemplating the reasons why change occurs or why it affects people the way that it

does. However, a critical factor in helping one's organization to chart and manage a course for change is an understanding of the fundamental aspects of change--the reasons why things are the way they are.

Regarding the issue of management of people vs. management of the organization during a change effort: By scoring low on the dimensions of Managing the People Side of Change and Individual Responses to Change, and scoring high on the dimension of Managing Organizational Side of Change, managers indicated that they are much more knowledgeable about how to manage change in the organizational system than they are about the personal, or people, side of change. Once again, this finding is not surprising in view of the likelihood that most managers are more comfortable focusing on organizational tasks than personal issues. Concentrating on how to alter the organization chart or the reward system is, for many managers, easier than focusing attention on why one's subordinates are being so resistant.

IMPLICATIONS

Coming from such a large and varied group of managers, the results are disturbing. Such average performance, while passable perhaps, indicates insufficient knowledge of some very important issues. Insufficient knowledge implies, at best, average performance--and average performance is simply not good enough in the "white water" conditions that most businesses are experiencing today. As more managers struggle with change on a day-to-day basis, perhaps they will grasp the dynamics of change themselves; through trial and error, perhaps they will get it right. This analysis would argue, however, that managers need greater awareness of the fundamentals of change and need more skill development in leading people through a change effort. If change really is here to stay, managers had better know how to manage it.

THE FOLLOW-UP STUDY OF ORGANIZATION CHANGE EXPERTS

Given the results for leaders and managers, we thought it would be interesting to see if organization development and change practitioners--the "experts" in this area--would be more knowledgeable about managing change than their managerial and executive counterparts. As a group, organization change practitioners and consultants have been facilitating, training and working with change from the very inception of the field in the early 1960's. In fact, the theoretical underpinnings of the field (e.g., group dynamics, participative management, survey research and feedback and psychoanalysis) are implicitly and explicitly based on principles of change, as are many of the practitioner's tools.

Thus, we conducted a survey of change practitioners in the field to see how well they would do on the *Managing Change Questionnaire*. In total, 357 consultants returned their surveys. The demographics of those who responded were quite diverse: We had a balanced mixture of internal (53%) and external consultants (47%); 65% were male, 35% female; 14% had received their bachelors, 42% had their masters, and 44% had their doctorate; and the majority (73%) were highly experienced in change management--having been practicing in the field for 7 years or more.

Organization Change Experts Get a "B" in Managing Change.

Compared with managers, who received a "C" on the *Managing Change Questionnaire*, practitioners did fare somewhat better, averaging about 80% correct, which would correspond to a grade of "B." Based on this observed difference it seems that, overall, organization change practitioners do have a better grasp of the principles and practices of change management than their managerial and executive counterparts. Of course, on an individual basis some practitioners scored significantly lower than managers. If we were to examine the individual scores across the entire group of participants and assign grades, these would have ranged from an "F" (at 32% correct) to an "A" (at 96% correct). Clearly, some OD practitioners are more knowledgeable about managing the change process than others.

In short, our results show that organization change experts score better on all measures of the change management process than their managerial and executive counterparts but one: the subscale describing the General Nature of Change (see figure below).

Average Individual Scores: Organization Change Experts

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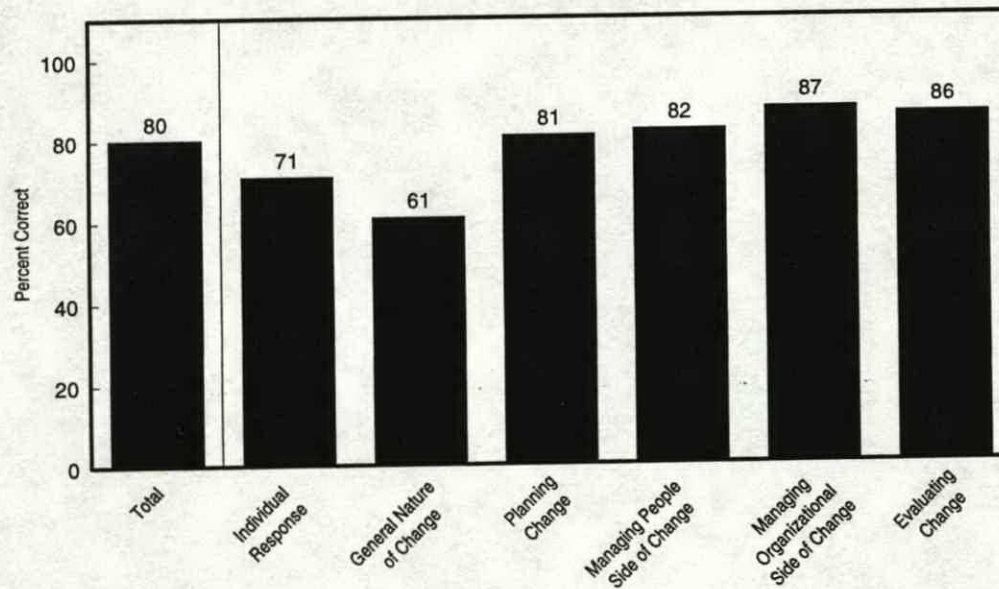
On this particular subscale, managers and executives averaged correct responses 66% of the time, while organizational change experts gave correct responses only 61% of the time. Since our results clearly indicate that organizational change experts overall have a better grasp of the change management process, one would not generally expect such a result.

Based on further analysis, it appears that organization change experts seem to have a better grasp of the nature of the *change process* (Planning, Managing, and Evaluating) than they do of the *fundamental aspects of change* itself. In fact, both managers and organization change experts obtained lower scores on the two subscales of the *fundamental aspects of change* than they did on the process dimensions. Conversely, both managers and organization change experts scored higher on managing processes of change than they did on the aspects of change. In effect, both managers and experts have a better understanding of the change process than of its inherent aspects and characteristics.

This finding is a curious one that has serious implications for the management of change in organizations. How can people be successful at the *implementation* of change when they do not fully understand the fundamental aspects of what they are causing or facilitating? If many organizational change experts do not have a solid understanding of the *principles* upon which change management is based, then their management of the *process* can never be optimal.

In our model each dimension builds on those below it; therefore, knowledge of the fundamental aspects of change is needed in order to master the subsequent process of change. If organization change experts hope to improve their knowledge of managing the *process* they must make efforts to increase their knowledge of underlying *principles*. In short, these experts need to go back and do their homework.

THE MANAGING CHANGE QUESTIONNAIRE

At the outset, let us be clear about ambiguity. A primary criterion for a good true-false test is that the items are written in a fairly general, if not ambiguous, manner. When asking groups about how they think we did on this criterion, we have uniformly received high marks!

More importantly, we should not lose sight of the foremost objective for this true-false questionnare. The objective is not to test individuals in the strict, evaluative, academic sense. Rather, the objective is to stimulate thinking, discussion and learning. The "testing" involved is to confirm and/or challenge our assumptions about change. Our objectives with the "test" are to:

- Stimulate thinking
- Confirm assumptions about change
- Challenge assumptions about change
- Provoke discussion
- Provide conditions for learning
- Suggest useful ideas about managing change
- Enjoy the process

RATIONALE FOR THE ANSWERS

Since the 25 true-false items are ordered in a relatively random manner, it is best to discuss them according to a conceptual framework or model so that the potential for learning can be enhanced. Rather than going through the test in numerical order, we will use the following arrangement and sequence for the discussion:

- Individual Response to Change
- General Nature of Organizational Change
- Planning Change
- Managing the "People" Side of Change
- Managing the "Organizational" Side of Change
- Evaluating the Change Effort

In addition to the explanation for each question, there are two charts that present the Industry Comparisons for both Individuals and Teams. The data presented in the Individual Scores chart were collected from executives and managers who individually completed the *Managing Change Questionnaire*. The Team Scores chart presents data from the same executives and managers but after they have come to a group decision using a consensus decision-making process.

These three items cover the nature of change for human beings and, more particularly, the concept of resistance.
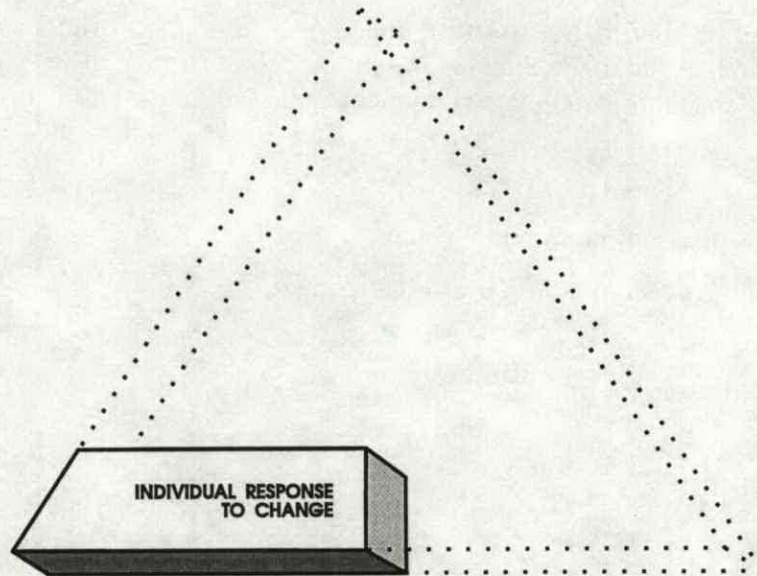
THE MANAGING CHANGE MODEL

QUESTIONS: 1, 5, AND 12

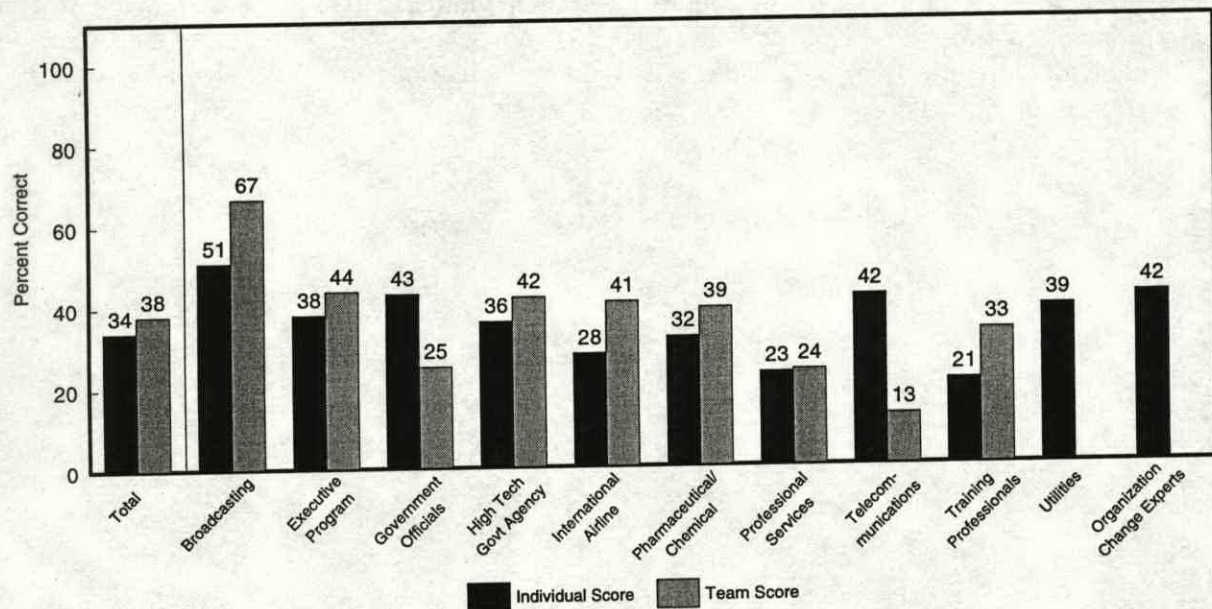## 1. PEOPLE INVARIABLY RESIST CHANGE. (FALSE)

"Grief has limits, whereas apprehension has none. For we grieve only for what has happened, but we fear all that possibly may happen."

Pliny the Younger (A.D. 61-113)

"The world fears a new experience more than it fears anything. Because a new experience displaces so many old experiences."

D. H. Lawrence (1885-1930)

Average Individual and Team Scores by Industry: Question 1

When all our lives we have heard adages such as the two above, it is no wonder that we believe people naturally and consistently resist change. Our attention at the outset needs to be drawn to the key word in the statement: **invariably**. You might ask what the word means. Examples of good synonyms are **constantly**, **unalterably** and, of course, **without exception**. Is it therefore sensible to assume that people always resist change, under all conditions? One can easily think of examples of change that people welcome and embrace, not necessarily avoid or resist--a promotion to a new position, an opportunity to take on a very different assignment, task or job, or even to get married!

But as we all know, resistance to change does occur. What distinguishes change that is embraced from the changes that people resist strongly is the fact that welcomed change is typically understood in advance, whereas resistance stems from perceived **loss**--loss of the known and tried and loss of personal choice. The degree of people's resistance to change depends on the kind of change involved and how well it is understood. Thus, what people resist is not necessarily change per se but loss, or the possibility of loss. As indicated above, loss in this context may be either of

two kinds. First, as we cover item #5, let us consider loss of the known and tried; then we will consider the second type--loss of personal choice.

Change may involve a shift away from a known situation, with all its familiarity and possible advantages. The people concerned are exchanging the known for the unknown; certainty for uncertainty; stable, existing patterns of behavior and adaptation for the need to evolve new patterns; tried rewards for untested ones. In addition to the uncertainty of the satisfactions to be gained from the new situation, the people being asked to make the change are required to spend a great deal of effort and psychological energy in getting to know the new situation and in tolerating and coping with frustration until they can evolve new work or living patterns. In psychological terms, newness and the need to cope with it constitute stress. If the long-term rewards to be gained from the change are no greater than those enjoyed formerly, the stress cost outweighs the future advantage. If the new advantages outweigh the old but are not well understood by those making the change, again the effort involved will not seem worthwhile. Only if the advantages are greater and are desired sufficiently to outweigh the efforts required to make the transition are people likely to embrace change willingly. The matter of a loss of personal choice is addressed in the next questionnaire item.

5. LACKING FREEDOM OF CHOICE ABOUT CHANGE USUALLY PROVOKES MORE RESISTANCE THAN CHANGE ITSELF. (TRUE)

**Average Individual and Team Scores by Industry: Question 5**
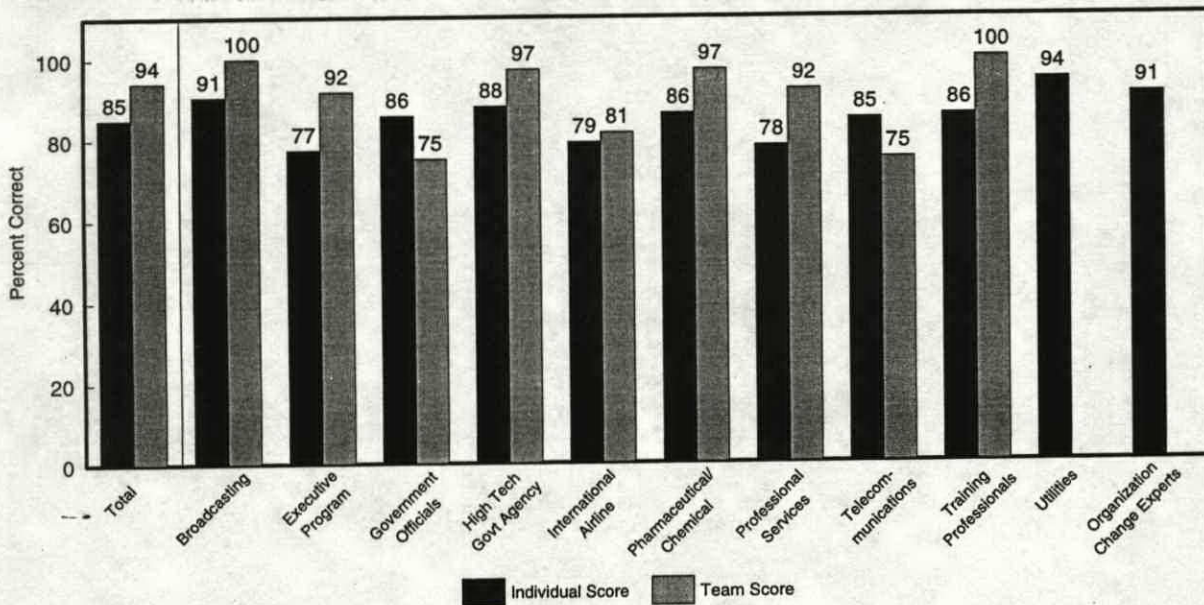
People are not simply and naturally resistant to change. What comes closer to a universal truth about human behavior is that people resist the **imposition** of change. Brehm's research and his theory of **psychological reactance** help to explain this human phenomenon. When one's feeling of freedom is in jeopardy, the immediate reaction is likely to be an attempt to regain this sense of freedom. This reaction is so strong, in fact, that people frequently will not bother to defend their beliefs and may even change them to oppose others' attempts at changing them. In some cases, the issues of advantage and change are in conflict, leading to a situation in which people may prefer to continue on a path that is not in their best interests rather than to give up the feeling of free choice.

Research shows, for example, that when a smoker is **told** to stop smoking, his or her typical reaction is either to continue as usual or to increase the rate. Brehm's theory is that when people believe themselves free to behave in a certain way, they will experience psychological reactance (that is, they will resist) if that freedom is threatened or eliminated. The degree of ease and success with which an organizational change is introduced is therefore directly proportional to the amount of choice that people feel they have in determining and implementing the change.

12. MANAGING RESISTANCE TO CHANGE IS MORE DIFFICULT THAN MANAGING APATHY ABOUT CHANGE. (FALSE)

Average Individual and Team Scores by Industry: Question 12
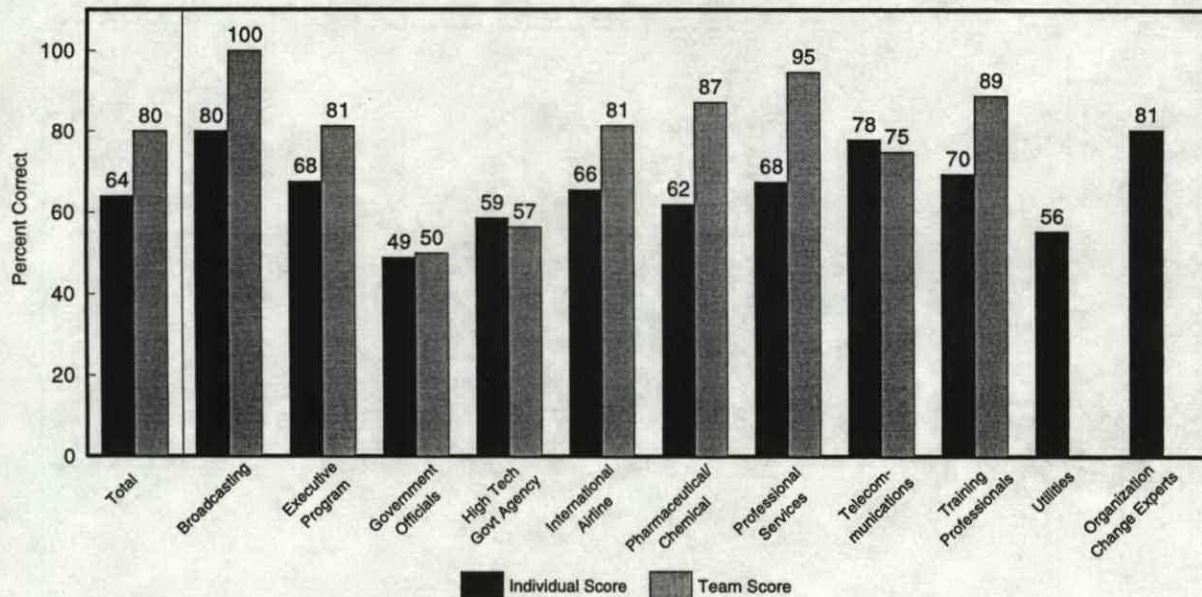
The key words are **managing** and **more**, the latter meaning "in relative terms." How does one **manage** apathy? And comparatively, what exists with resistance, unlike with apathy, is **energy**. At least with resistance people **care** about something. The secret, of course, is to rechannel the energy inherent within resistance.

First, one should determine if the resistance stems from a feeling of loss regarding the known and tried or from a lack of choice, or both. One can then either (1) work hard on clarifications about the change direction and what the future will be, at least as clearly as one can (one can never be completely clear, of course), (2) involve people in the change process so that the feeling of loss regarding choice can be restored, or (3) work hard on both.

Second, one should determine the **kind** of resistance that is being manifested. In this regard Donald Hambrick's and Albert Cannella's distinctions about resistance are useful. Diagnostically one should determine if the resistance is ideological, political, or blind:

Kind	Definition	Action
Ideological	A person or people genuinely believe that the planned change is ill-fated (it simply will not work and here are reasons why) or in violation of deeply held values (this change is the wrong thing to do and here are reasons why I feel this way). In other words, the resistance comes from honest, intellectual differences and/or genuine beliefs, feelings, if not philosophy, that are different.	One must attempt to counter with strong persuasion that is based as much as possible on data, facts, and substance. Mere opinion will not be persuasive, Careful prediction from and linkage to these facts, etc., is absolutely necessary.
Political	A person or people believe that they stand to lose something of value if the change is implemented--loss of one's power base, status, perks, job, income, etc.	With this kind of resistance, one needs to counter with negotiation, trading something of value with something else of value. Also, one might argue long term vs. short term--yes, for a while we will be losing some things, but over the long haul we stand to gain much more.
Blind	Some people, no doubt a small minority, are simply afraid and intolerant of change--any change.	Two strategies may be helpful. One is to provide as much reassurance as possible--moving into something unknown is always discomforting, at least for a while, but things rarely turn out as dire as we can imagine. Second, allow time to pass. Some people in this category merely need time to get used to the idea; it is just their nature to react defensively at first, like a reflex, but not necessarily forever.

The next two items concern the general nature of change including the importance of recognizing patterns of change and the need for making dramatic "leaps" or steps in the change process rather than incremental ones.
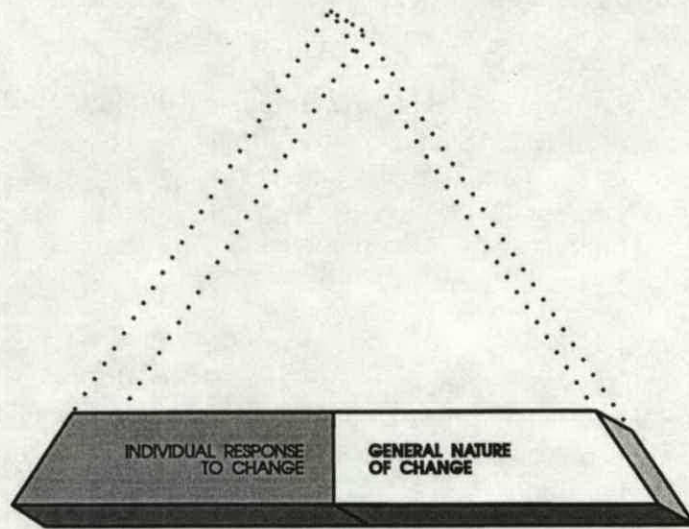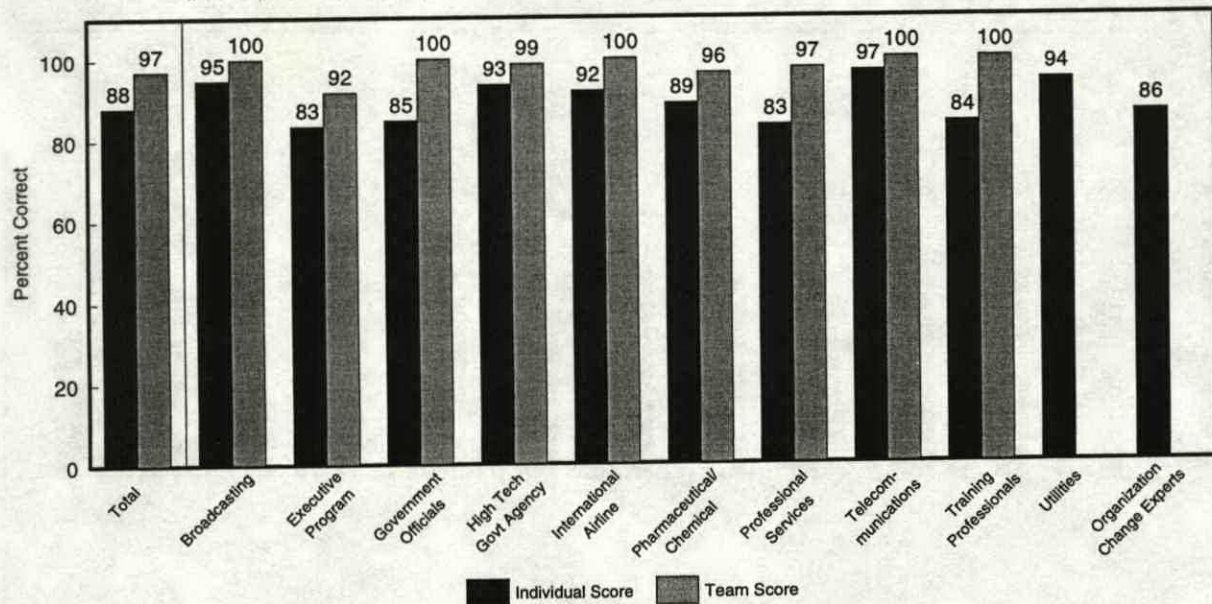
## THE MANAGING CHANGE MODEL

QUESTIONS: 10 AND 25

10. DESPITE DIFFERENCES IN ORGANIZATIONAL SPECIFICS, CERTAIN CLEAR PATTERNS TYPIFY ALL CHANGE EFFORTS. (TRUE)

Average Individual and Team Scores by Industry: Question 10

This statement being scored as true is, to some extent, quite obvious. If it were false, we would not be conducting this exercise and discussion! It is our hope, of course, that the "certain clear patterns" will be remembered and practiced.

One set of patterns concerns the standard process by which organizational change occurs. Kurt Lewin provides a fundamental description of change that has been incorporated into many organizational consultants' and managers' emergent models. He describes three basic steps that are inherent in any change process. The first step involves *unfreezing* the present level of behavior. The second step is called *movement* and involves taking action to change the organization's social system from its original level of behavior or operation to a new level. Finally, the third step is called *refreezing*. This involves establishing a process which ensures that the new levels of behavior will be relatively secure against reversion to prior modes of operation.
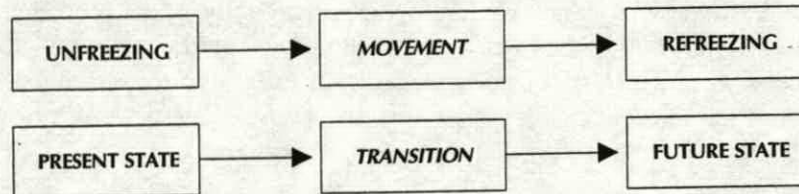

Similarly, Beckhard and Harris (in their 1987 book *Organizational Transitions: Managing Complex Change*) focus on the importance of the transition state through which the organization must navigate in order to evolve from its "present state" to its desired "future state."

25. EFFECTIVE ORGANIZATIONAL CHANGE REQUIRES CERTAIN SIGNIFICANT AND DRAMATIC STEPS OR "LEAPS" RATHER THAN MODERATE INCREMENTAL ONES. (TRUE)

Average Individual and Team Scores by Industry: Question 25
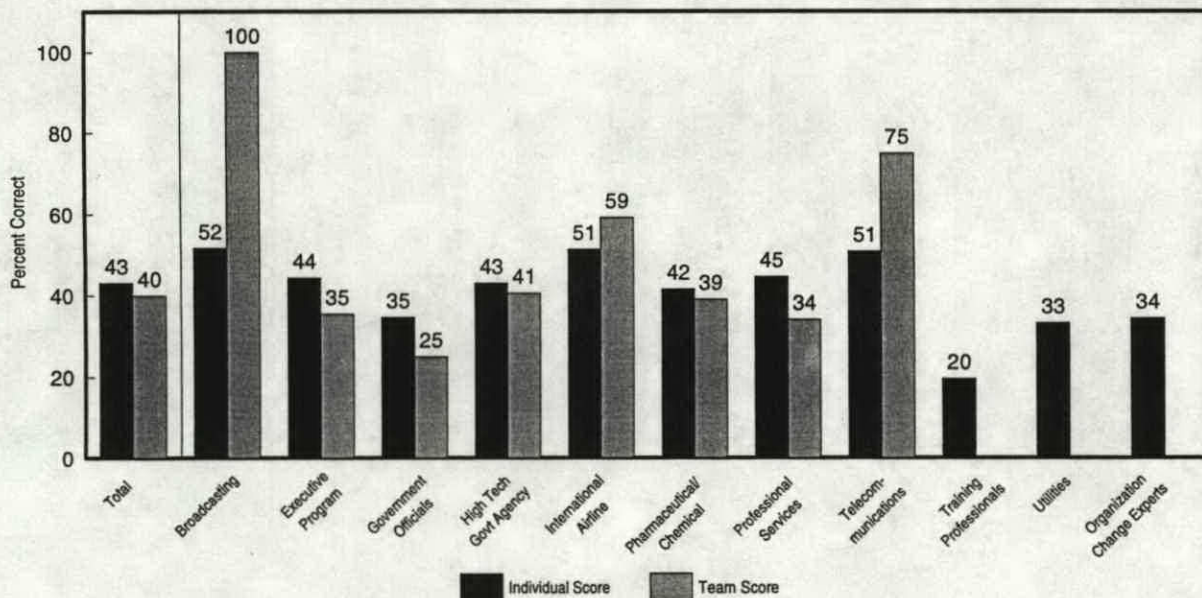
To put it in language that is even more provoking, should organizational change be revolutionary or evolutionary? We cannot find proof for the "truth" of this item, but there are two areas or examples that are convincing; one is the experience of at least one chief executive officer and the other is theory. First, the experience example.

Jack Welch, CEO of General Electric, was interviewed after he had been in the head position for five years. One of the questions was, "Looking back over these past five years, is there anything that you would have done differently?" Welch's quick response was, "Yes, I would have moved much faster. I didn't make the organizational changes in GE fast enough." GE people listening to his answer gasped. After all, Welch had been known as "Neutron Jack." He had left only the buildings standing. Many cuts had been made. Elaborating on his answer, Welch added that for every change he had made forces within GE (call it the old GE culture) would be deployed to push the company back to the way it was. For GE people especially, this comment by Welch seemed incredible. Their experience had been one of rapid and sweeping change. Welch's experience was just the opposite. Change took too long because of the power of resistance and the strong GE culture. From Welch's perspective, then, and from the change agent's point of view, he had made changes too slowly, too incrementally.

Now let us consider theory. Erich Jantsch, basing much of this theorizing on the prior work of Prigogine, states (in his book, *The Self-Conscious Universe*), that to understand the evolution of living things, one must concentrate more on disequilibrium than on equilibrium. The former, he

contends, is far more natural, affirmative, and central to growth and change. To achieve equilibrium is to gain comfort, yet this victory may bring us closer to stagnation and death than to vibrancy and life. Jantsch also holds that evolution is accelerating just as the overall process of change appears to be.

His theory has been heralded by some as a paradigmatic shift comparable to Einstein's move away from Newton. Just as Einstein's theory of relativity wrested the physical sciences away from Newton's static ideas of gravity, Jantsch's ideas challenge us to view movement, relativity, and change in living systems as constant. He argues that all living things are always co-evolving yet maintaining a "relativity" to one another. Both Jantsch and Prigogine believe that the disequilibrium and perturbation that arise from time to time in living things are actually a kind of "molting," a shedding of the old within organisms as they strive to attain a higher level of existence. These perturbations, activities of disequilibrium, are signs of positive change that lead to self-organization rather than to decline.

A related principle from general systems theory is the idea of the steady state and dynamic homeostasis. According to this principle, open systems to survive must maintain a steady state. However, a steady state is not motionless or a true equilibrium. And Katz and Kahn characterize this principle for organizations as follows: "There is a continuous inflow of energy from the external environment and a continuous export of the products of the system, but the character of the system, the ratio of the energy exchanges and the relations between parts, remains the same." Even though their theory contends that the steady state is not motionless, Katz and Kahn do note that "relations between parts remain the same" and they conclude that "The basic principle is the preservation of the character of the system." Perhaps their interpretation of general systems theory and Jantsch's thinking are not that different. Perhaps it is a matter of emphasis.

Life cycle theory of organization is also relevant here. Usually for an organization to move successfully from one stage of the cycle to another, wrenching changes have to be made even to the point of modifying the basic character of the organization. For more about life cycle theory of organizations, see the work of Larry Greiner and Ichak Adizes (refer to the bibliography).

The final point: Once a decision to make a significant organizational change has been determined, then announce it and get on with it quickly--make a "leap." **Managing** the change process, the implementation, however, should be done carefully, incrementally; it should be an evolutionary process. As for the change itself--do it without dragging the decision out. Getting there should be done with care, yet one should never look back, except for the grieving process which does not need to last for a long period of time.

These items cover activities in the change process that occur, or should occur, prior to implementation. It should be noted that planning and implementing change are not discrete steps but, rather, phases. As the planning of change begins, one needs to understand that the "word" will spread and rumors will multiply; thus, leading and managing the change process has already started--or, at least, needs to start. It is helpful for our understanding, nevertheless, to think of the change process as a phased movement from planning to implementing.
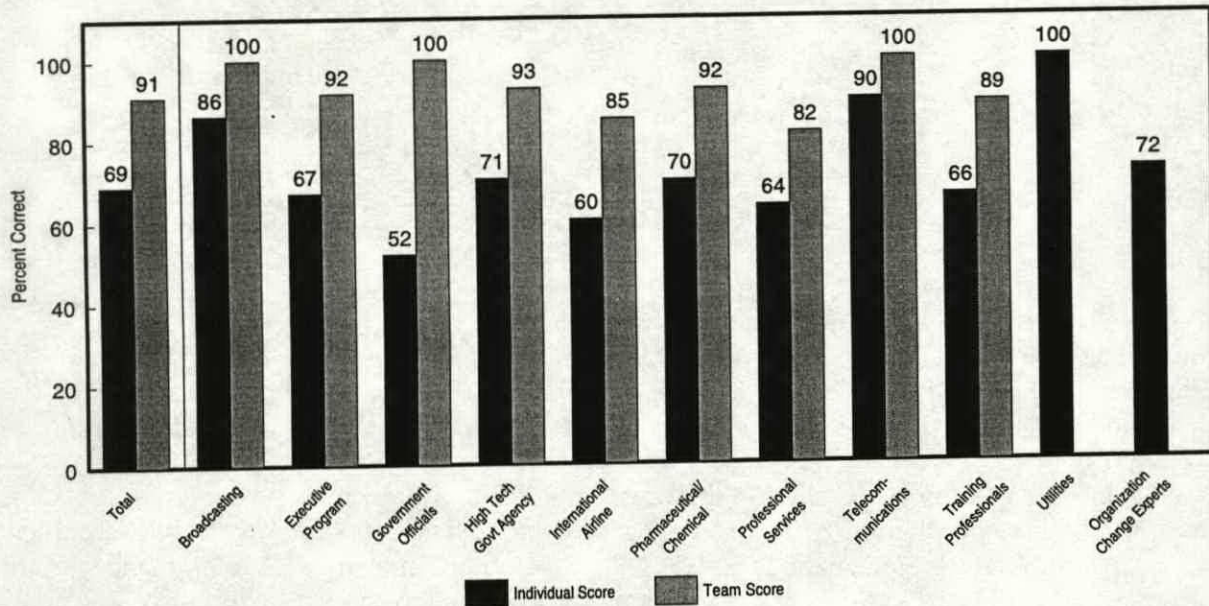

PLANNING CHANGE

INDIVIDUAL RESPONSE TO CHANGE

GENERAL NATURE OF CHANGE
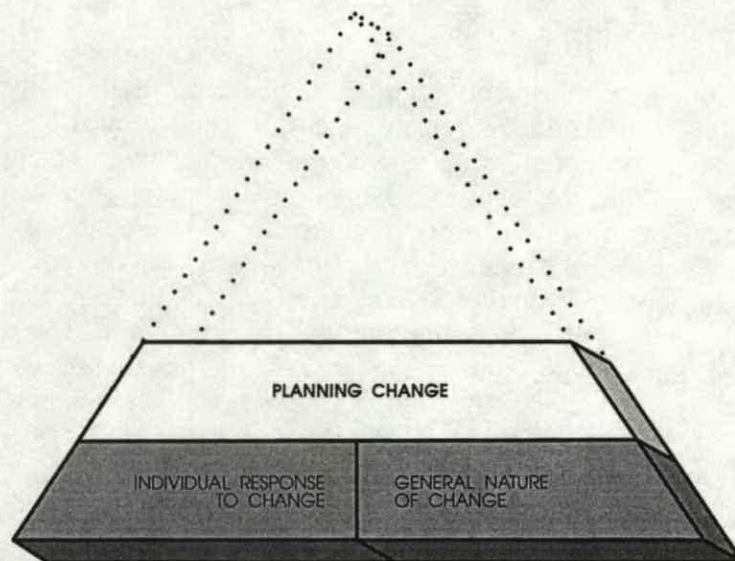
THE MANAGING CHANGE MODEL

QUESTIONS: 23, 2, 6, 9, 15, 14 AND 17

23. ORGANIZATIONAL CHANGE IS TYPICALLY A RESPONSE TO EXTERNAL ENVIRONMENTAL PRESSURE RATHER THAN INTERNAL MANAGEMENT INITIATIVES. (TRUE)

Average Individual and Team Scores by Industry: Question 23

| Industry	Individual Score	Team Score
Total	69	91
Broadcasting	86	100
Executive Program	67	92
Government Officials	52	100
High Tech Govt Agency	71	93
International Airline	60	85
Pharmaceutical/Chemical	70	92
Professional Services	64	82
Telecom-munications	90	100
Training Professionals	66	89
Utilities		100
Organization Change Experts	72	

What precipitates organizational change? It rarely occurs as an independent initiative on the part of senior management, independent meaning senior management acting without regard to what is happening external to the organization--shifts in the economy, new technology, competition in the industry and marketplace, changes in regulations, etc. In other words, it would be highly unusual for a CEO to say one day, "Irrespective of what our competitors are doing and regardless of what our market research shows, I think we'll change our company strategy."

Though a bit theoretical, it is nevertheless proper to think of any human organization as an open system. An organization is open because of its absolute dependency on the environment in which it operates. Closed systems exist only in the world of nonliving matter. Even a biological cell is an open system, since it depends on its environment for survival--taking in oxygen, for example.

For survival, then, an organization takes in energy from its environment. Energy is broadly defined and may include money, raw materials, or the work of people. This energy is then transformed into a product or service and thrust back into the environment. The output may encompass the same segments of the environment that were used as energic inputs or others. One critical element of input is money, which may take the form of a bank loan. After transformation into a product and sale in the marketplace (another aspect of the organization's environment), the income from sales provides additional input. For a product-making organization to survive in the

long term, sales income must become the primary input. The sales income then reactivates the system. Diagrammatically, the cyclical model is:

$$\text{INPUT} \longrightarrow \text{TRANSFORMATION} \longrightarrow \text{OUTPUT}$$
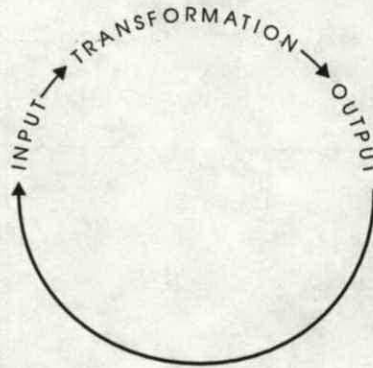
To understand this conception of an organization as an open system see the 1978 book by Katz and Kahn, and for a more specific perspective on how the external environment affects the organization see the 1978 book by Pfeiffer and Salancik (refer to the bibliography at the end).

An excellent framework for understanding this causal relationship may be found in the classic 1965 article by Emery and Trist. More specifically and recently, Prescott has empirically demonstrated how the organization's external environment influences strategy and, in turn, performance. And in 1978 Miles and Snow provided evidence to show that executive perceptions of their organization's environment and their consequent decision making are directly and causally linked. And finally, with respect to organizational culture, if we limit our definition of external environment to, say, industry group, then researcher G. G. Gordon, who studied utility companies and financial institutions, showed in 1985 that corporate culture is directly influenced by the industry category (external environment) of the firm.

And, finally, even though Peter Drucker uses the phrase "theory of the business; he very practically writes about the criticalness of executives constantly challenging their assumptions about the environment of the organization. As the environment changes, so should executives' assumptions about their "theory of the business."

2. THE ARTICULATION OF THE VISION OF THE ORGANIZATION'S FUTURE STATE BY ITS LEADERS IS ONE OF THE MOST IMPORTANT ASPECTS OF A SUCCESSFUL CHANGE EFFORT. (TRUE)

**Average Individual and Team Scores by Industry: Question 2**
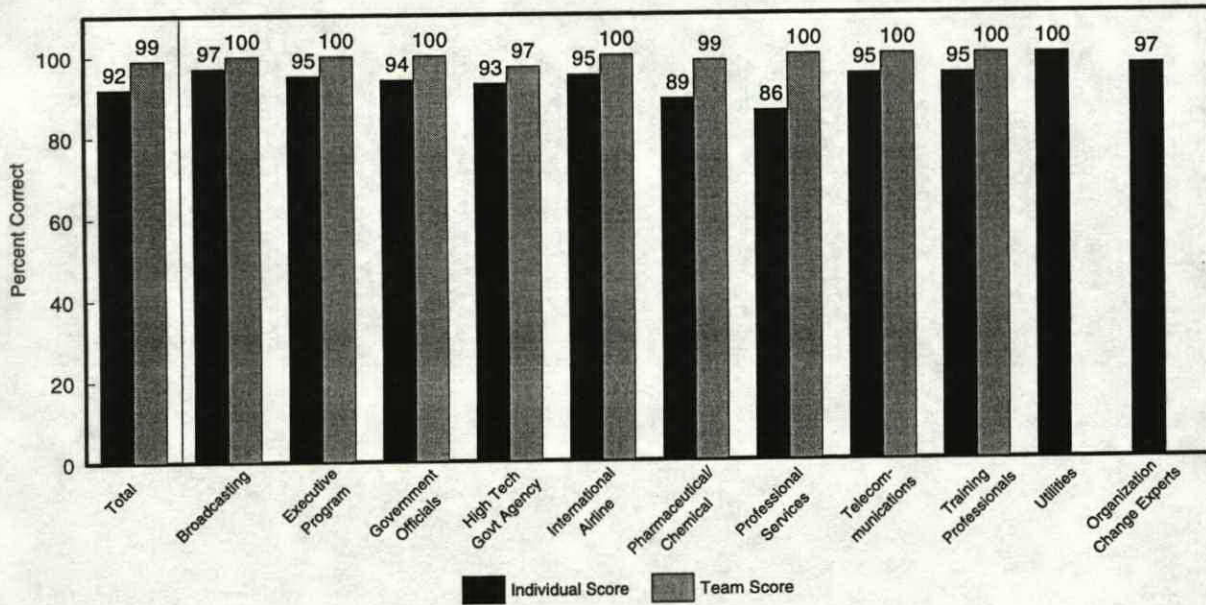
There is unlikely to be disagreement with the "true" answer for this item. In fact, so far in the use of this true-false test, team answers have been 100% true. Providing a vision for the organization is therefore a key, if not the key, component of leadership.

Useful sources that cover this visionary component and quality of leadership may be found in such books as those by Warren Bennis, Noel Tichy and Mary Anne Devanna, Jay Conger, and in an article by Marshall Sashkin and W. Warner Burke.

6. A HIGHLY EFFECTIVE EARLY STEP IN MANAGING CHANGE IS SURFACING DISSATISFACTION WITH THE CURRENT STATE. (TRUE)

Average Individual and Team Scores by Industry: Question 6
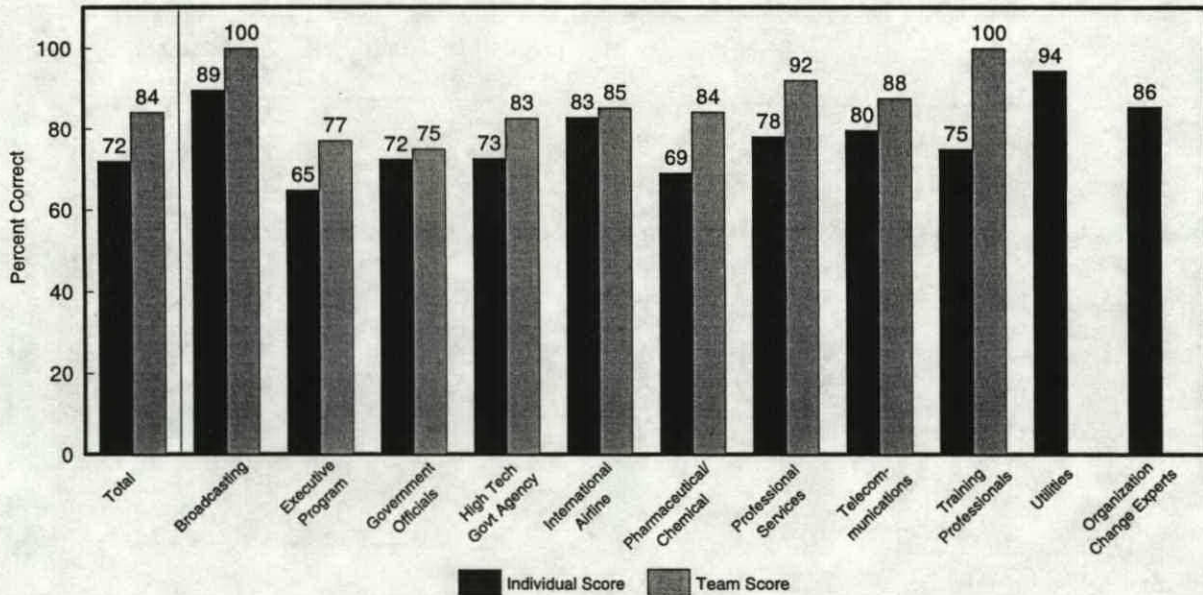
Richard Beckhard has expressed it one way and Harry Levinson another, but both essentially have said, when it comes to organization (or individual for that matter) change, "no pain, no change." Unless enough key people in the organization feel a real need for change, none is likely to occur, at least none that is planned and managed.

Readiness for Change

Sometimes determining readiness is quite obvious and straightforward. The company's sales have fallen dramatically, costs have risen so sharply that profit does not exist anymore, turnover and absenteeism are significantly out of line when compared with others in the same industry, morale has never been lower or the market strategy does not seem to work anymore--these are some obvious and rather straightforward examples of a need for change.   Under any of these circumstances, it is not difficult to determine a readiness.   In other instances, or even in the instances listed above, everyone may not see or understand a need for change. In this situation, the need must be generated, that is, determine a gap between what is and what would be. This may be done in either of two ways. One way is to gather information, the facts, about the current situation and contrast this information with where the organization was supposed to have been by this time. In other words, it is a matter of comparing actual achievements with what was desired, concerning the organization's goals or mission.

Assuming that organizational members have identified with these goals (no minor assumptions, it should be emphasized) and they then see a significant difference between the actual and the desired, they will experience a need to reduce the difference or gap between what is actual and what is desired. In this case, the desired state is known; not known is how far off the mark the organization's actual performance is from that which is desired. Contrasting actual with desired creates the required motivation for change.

Another way to generate awareness of the need for change is to describe a more desirable future state. Organizational members may be satisfied with the status quo and experience no need for change unless and until they are presented with a possibility of something better, more desirable. It might mean a lot of hard work and a considerable modification in the way that work is done, but the new mission and differences in how work would be accomplished may be sufficiently attractive to generate a motivational pull toward this more desirable future state.
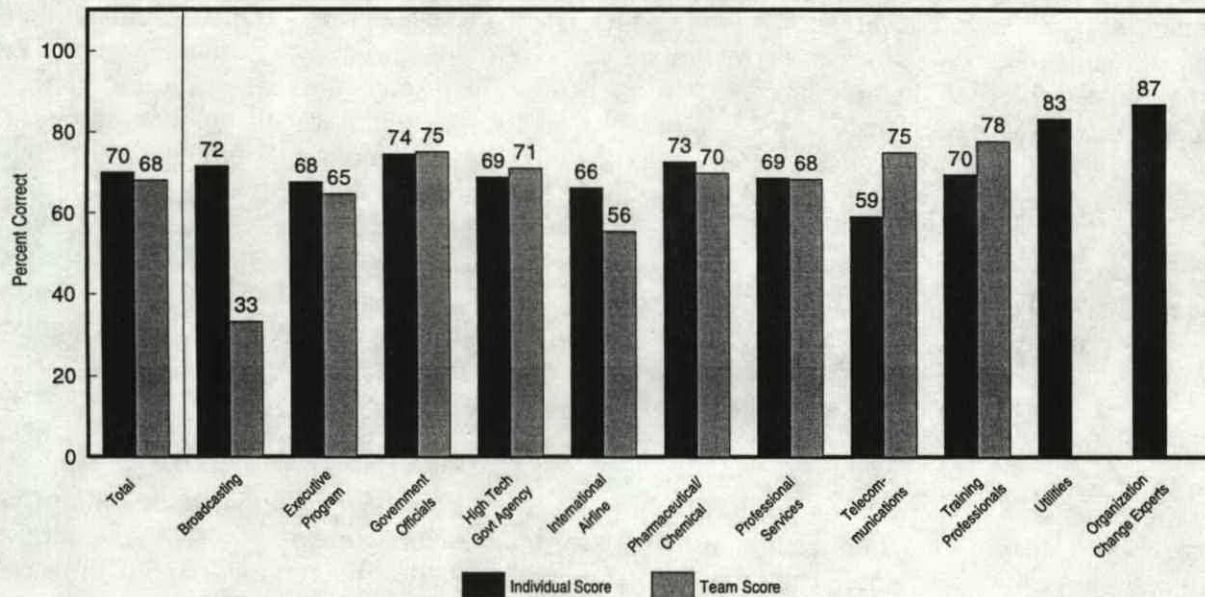
Even though generating awareness of the need for change may be accomplished in these two different ways, the principle is the same. Presenting people with a discrepancy between what is and what is desired will create tension, and the motivation will be in the direction of reducing that tension; that is, to move toward the more desired state. This principle of human behavior is based on sound theory and research; see, for example, the early work by Kurt Lewin and the later work by Duvall and Wicklund.

Preparing people for change, what we have labeled readiness, is what Lewin called the unfreezing stage. Unfreezing is creating conditions whereby organizational members are shaken loose (unfrozen) from the status quo. Their mental and emotional set has been broken and is therefore more amenable to consider, if not accept, change. For more elaboration on this stage, as well as additions to our understanding of Lewin's next two stages, changing and refreezing, see Schein's 1980 book and Chapter 4 in Burke's 1994 book.

9. THE PLANNING OF CHANGE SHOULD BE DONE BY A SMALL, KNOWLEDGEABLE GROUP THAT COMMUNICATES ITS PLANS ON COMPLETION OF THIS TASK. (FALSE)

Average Individual and Team Scores by Industry: Question 9

Percent Correct

Industry	Individual Score	Team Score
Total	70	68
Broadcasting	72	33
Executive Program	68	65
Government Officials	74	75
High Tech Govt Agency	69	71
International Airline	66	56
Pharmaceutical/Chemical	73	70
Professional Services	69	68
Telecommunications	59	75
Training Professionals	70	78
Utilities	83	
Organization Change Experts	87	

■ Individual Score   ▨ Team Score

The key phrase is the last one--"on completion of this task." This is too late. Clearly, initial planning cannot be done by everyone. A small, knowledgeable group is quite appropriate to start the process. Typically, however, these groups stay involved only with themselves far longer than necessary. An actual case example should help to highlight the issues associated with this item #9.

A number of years ago an organizational consultant was asked by a medical school dean to help with the implementation of an overall change in the school's curriculum. Prior to the consultant's arrival, a curriculum change had been in the planning process for two years. The planning was being done by a small committee of ten people from both the faculty and the administration. The committee was planning on behalf of a total faculty group of approximately 200 people.

In the early stages of the consultant's work it became clear that the committee had a sound plan and was very enthusiastic about it, but that the faculty as a whole was suspicious. The committee had been working on and off for two years, but no one beyond the committee members knew anything about the plan, and rumors were rampant.

In the consultant's meetings with the committee, members expressed their concern about faculty suspicion and rumors and their fears that their new plan would not receive the necessary faculty vote for ratification. The Dean and the committee chairman wanted it to pass with a two-to-one vote but they were realistic enough to realize that, if a vote were taken at that moment, the plan would be soundly defeated.   The consultant began by confronting the committee with the

probability that, if they wanted ratification, they would have to risk possible modifications to their plan. For overall faculty commitment to occur, something more than information sharing would be required. Regardless of the logic and elegance of the new curriculum design, simply explaining the new plan to the faculty would not overcome suspicion and guarantee ratification.

Resistance could be expected because of the degree of change involved in the plan. The plan called for greater coordination across courses and a shift away from the solo-instructor model toward more team teaching, with consequent loss of some freedom for the instructors. It thus involved some degree of loss of choice.

The consultant explained that, although the committee could remain in control of the planning, its responsibility and roles would need to shift from that of planning the curriculum content to that of leading and managing the change process. The committee began to organize the further planning process. It formed itself into a steering committee and assigned major managerial roles to each member. Four individuals were chosen to head the more detailed curriculum planning for each of the four medical school years, and four primary subcommittees were formed. These subcommittees were composed of faculty members other than those on the original committee. At that point, about 40 additional faculty members were included.

Other special committees were then formed as extensions of the four primary subcommittees. These "sub-subcommittees" became involved in planning specifics, such as how cell biology would be taught within an overall organic systemic approach. Eventually, some 100 faculty members were involved in planning at least one piece of the new curriculum. With so many people involved and with such a complex new plan, it took most of a year to get the job done. When the faculty vote finally came, however, the new curriculum was ratified by a four-to-one margin.

With respect to the original two years of the planning committee's existence, perhaps a James Thurber quote is an appropriate way to conclude this section: "Progress was all right. Only it went on too long." When the faculty finally got involved, the change did indeed occur.

15. THE FIRST QUESTION ASKED BY MOST PEOPLE ABOUT ORGANIZATIONAL CHANGE CONCERNS THE GENERAL NATURE OF THE FUTURE STATE. (FALSE)

Average Individual and Team Scores by Industry: Question 15
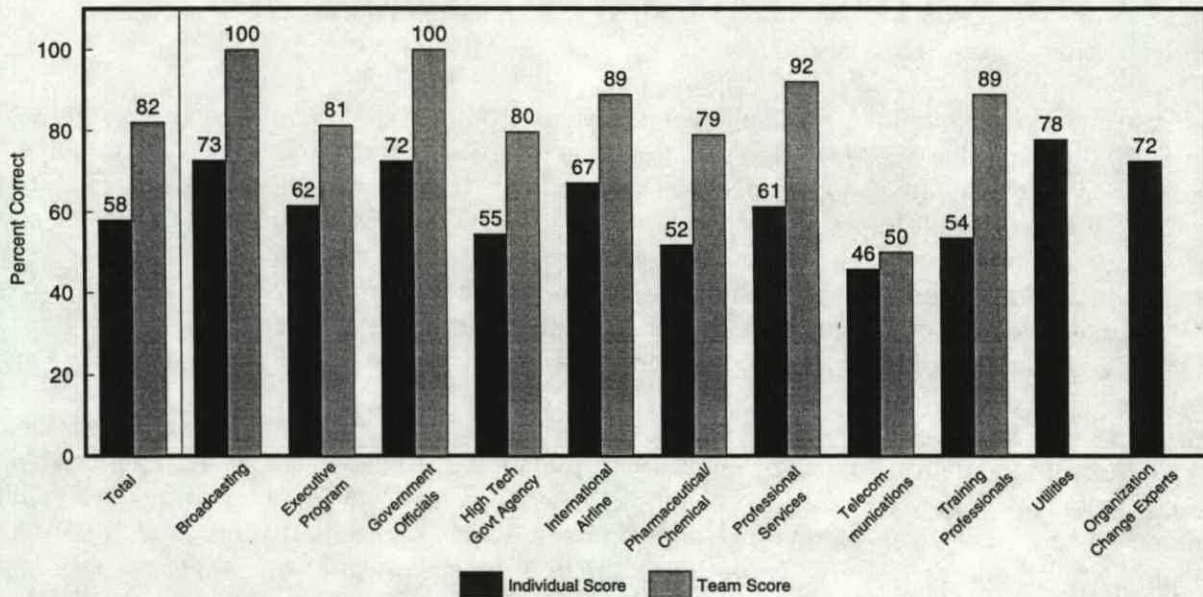
It is quite possible that some people will publicly ask about the future state, but what is really on most, if not all, people's minds, whether stated or not, is the question, "What does this change mean for me?" It is only human nature to personalize changes that are being planned for the organization.

The broader point associated with this item and with the next one to be covered, #14, is the political dimension of an organization. Organizational politics are characteristically subterranean -- below the surface, not discussed openly, much less in formal meetings within the organization. By **political** we mean those activities and processes in an organization that emanate from self-interest, or the particular interest of a group, that may not be in the overall interest of the organization.

It is not necessarily a matter of right versus wrong. It is more a simple matter of human nature. Thus, during the planning phase, it is imperative to address these "political" concerns, motivated by self-interest; that is, it is imperative to respond to the tacit question, "What's in it for me?"

As an answer here are some examples of what might be advantages associated with and therefore provided by the future state:
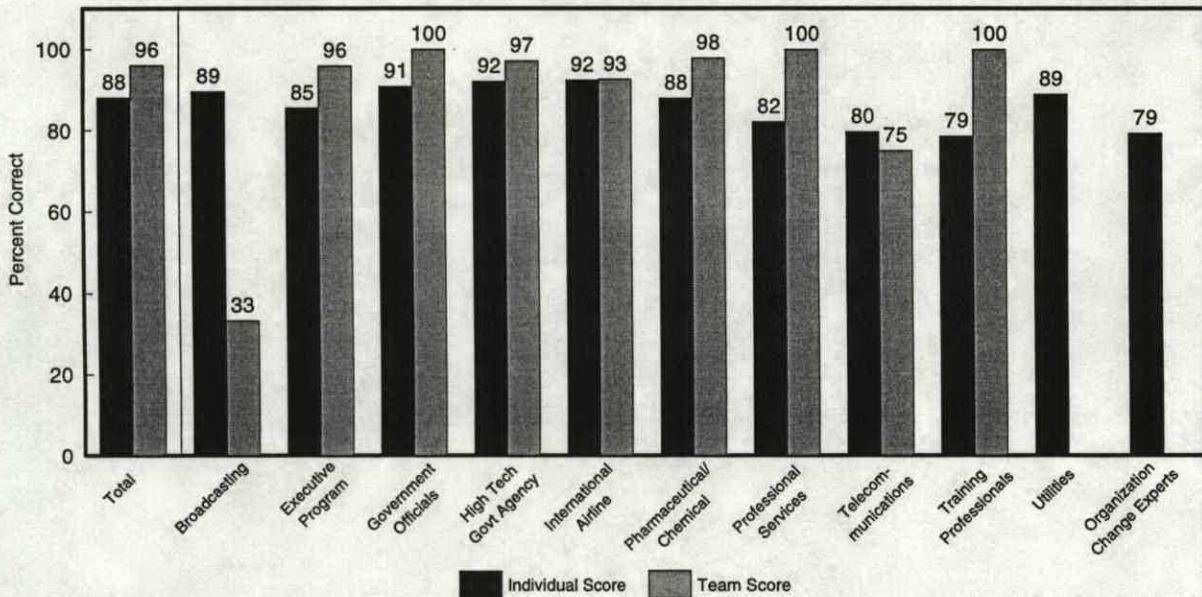
- A mission and purpose that is more meaningful and inspiring
- A set of goals and objectives that are not only clearer but more sensible in potential for attainment as well
- A more participative, pleasant place to work
- A reward system that is more flexible and responsive to individual differences
- A more decentralized structure that supports greater worker autonomy as well as responsiveness to the customer
- A management information system that handles relevant, current and, therefore, useful data
- A set of management practices that engender trust

With such examples, a statement of the future can begin to be responsive to individuals' personal concerns. More specificity regarding such statements would be required, of course.

14. "TURF ISSUES," BOTH INDIVIDUAL AND GROUP, ARE USUALLY THE GREATEST OBSTACLE TO SYSTEMIC CHANGE. (TRUE)

Average Individual and Team Scores by Industry: Question 14

Industry	Individual Score	Team Score
Total	88	96
Broadcasting	89	33
Executive Program	85	96
Government Officials	91	100
High Tech Govt Agency	92	97
International Airline	92	93
Pharmaceutical/Chemical	88	98
Professional Services	82	100
Telecommunications	80	75
Training Professionals	79	100
Utilities	89	
Organization Change Experts	79	

"Turf issues" means protecting one's territory, the organizational piece of one's empire, one's department, division, project, business sector, etc. The British use the word "patch" instead of turf, incidentally.

It is difficult to prove that this statement is true; that is, powerful empirical evidence is hard to find. As the charts above demonstrate, most people with experience in organizations, especially large ones, tend to agree with the statement, however. The item reflects the point made about political resistance in the section describing item #1 (see page 13). Useful for discussion is asking individuals who answered item #14 as false what their candidate would be for "the greatest obstacle."

17. LEADERS FIND IT MORE DIFFICULT TO CHANGE ORGANIZATIONAL GOALS THAN TO CHANGE THE WAYS TO REACH THOSE GOALS. (FALSE)

"There can be no acting or doing of any kind till it be recognized that there is a thing to be done; the thing once recognized, doing in a thousand shapes becomes possible."

Thomas Carlyle (1795-1881)

Average Individual and Team Scores by Industry: Question 17
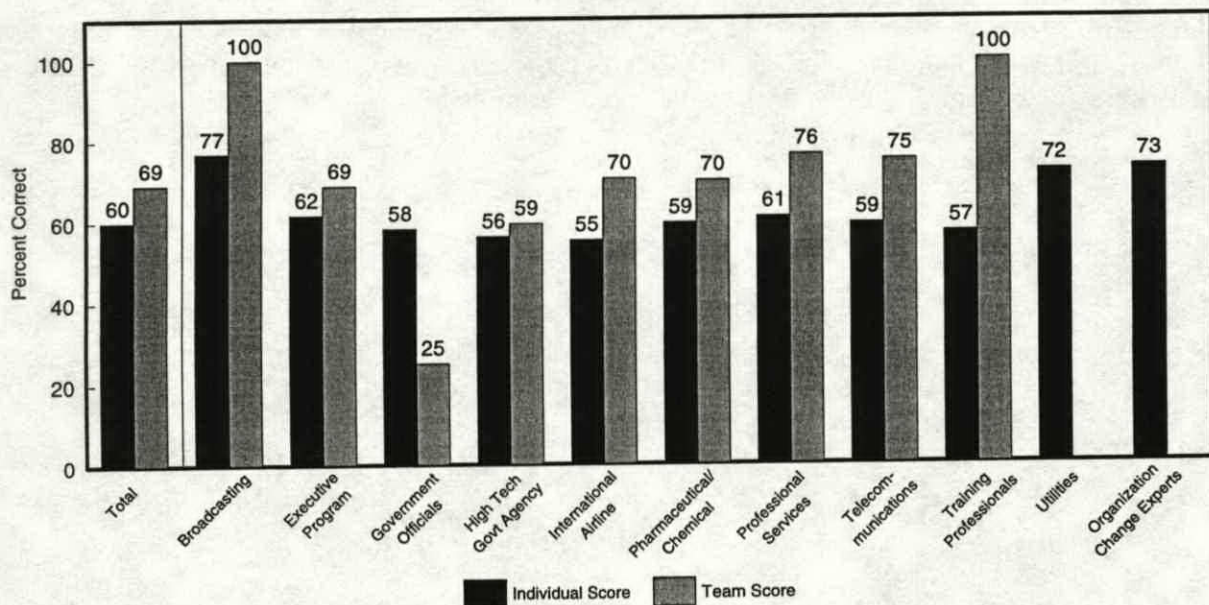
For every given goal there are many different ways that people may choose to reach the goal. The probability of disagreeing about means is therefore far greater than disagreeing about ends. A leader can more easily be arbitrary and highly directional about goals than highly directional about paths that followers should elect to accomplish the goals. A leader, of course, can be highly directional about both, but he or she will have to deal with significantly more resistance from followers when highly directional about means or paths, compared with the goal itself. Resistance could occur in either case; it is a matter of comparatively speaking. The true-false statement reads "more difficult."

Finally, there is empirical evidence to support the premise of this item in a book by the late Norman R. F. Maier and his colleagues Hoffman, Hooven, and Read (see bibliography).

Power and Leadership

Although not addressed directly by one of the 25 items, it is important during the planning phase **not** to overlook a critical dimension of organizational power.

In any sizable organization, formal as well as informal leadership exists. Often overlooked in a change effort is the latter group. It is obvious that senior management needs to be "on board." If unionized, leaders within the union(s) need to be involved and supportive. All the key managers who head the various boxes on the organization chart need to be on board. Not so obvious, however, are those who informally, from time to time, influence people's opinions. In an organization such as the National Aeronautics and Space Administration, for example, informal leadership comes from scientists and engineers who are not line, operational administrators but who are, as individuals, highly respected. Their opinions about matters are sought and they are influential. If these highly respected, listened-to, powerful individuals are not supportive of the change effort, resistance among organizational members will be greater than would otherwise be the case. It is wise, therefore, early in the planning process, to engage these informal leaders in discussing what change is needed and what is more desirable for the future.

These items represent the main thrust of managing change. It is likely that most discussion will occur with these statements, especially items such as #4 and #8. It should be emphasized that compared with the planning phase, for example, the toughest job is to manage the change process. In writing about this aspect of management, one can be logical, rational, and perhaps convey the idea that dealing with organizational change is indeed subject to management. In reality, however, managing change is sloppy if not chaotic--people never do exactly as planned. And it follows Murphy's Law--if anything can go wrong, it will. Moreover, organizational politics is always present, and change, after all, affects us all emotionally.
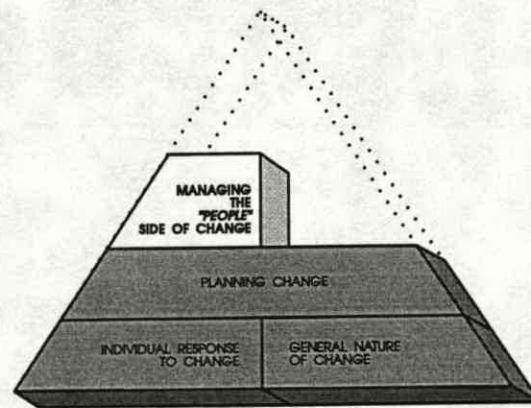
THE MANAGING CHANGE MODEL

QUESTIONS: 3, 4, 7, 8, AND 11

3. THE MOST DIFFICULT ASPECT OF ANY CHANGE EFFORT IS THE DETERMINATION OF THE FUTURE STATE. (FALSE)

Average Individual and Team Scores by Industry: Question 3
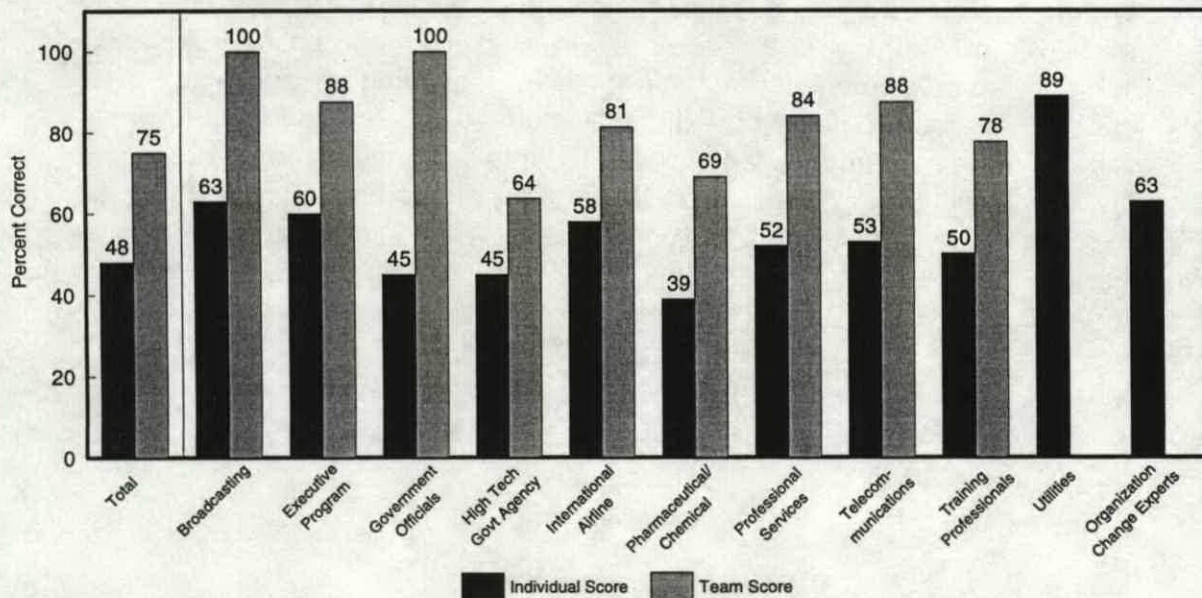
The most difficult part is getting there, not determining where there should be. This is not to argue that determination of the future state is an easy, simple matter. It can be quite arduous and complex. As Niels Bohr put it, "Prediction is very difficult, especially about the future." But what is even more difficult is implementation, managing the process of getting there.

Future state or desired state, compared with the actual or current state, is the language of Richard Beckhard and Reuben Harris (see their 1987 book). Developing a new mission, a new vision, a fresh image of the future is the process of creating a desired state. Planning any change effort involves this kind of development; i.e., creating an image of the more desired future state. This creative process is not easy to do, as noted already. But even more difficult, to drive the point home, is moving the organization to that desired future. Based on the earlier thinking of Lewin, Beckhard and Harris view the change process in three "states":

PRESENT STATE → TRANSITION → FUTURE STATE
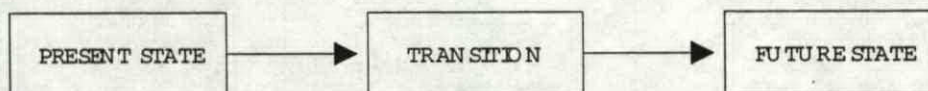
While determining the future state is obviously critical, Beckhard and Harris concern themselves far more with the transition state--managing the change process, the more difficult phase.

4. IN A CHANGE EFFORT, COMMUNICATING WHAT WILL REMAIN THE SAME IS AS IMPORTANT AS COMMUNICATING WHAT WILL BE DIFFERENT. (TRUE)

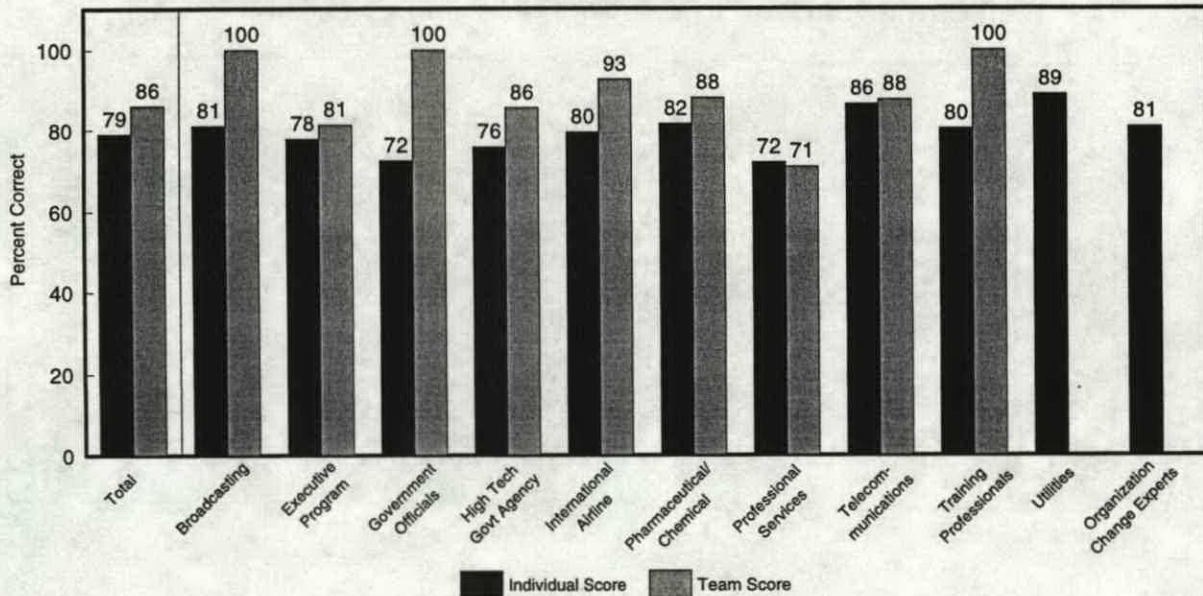**Average Individual and Team Scores by Industry: Question 4**
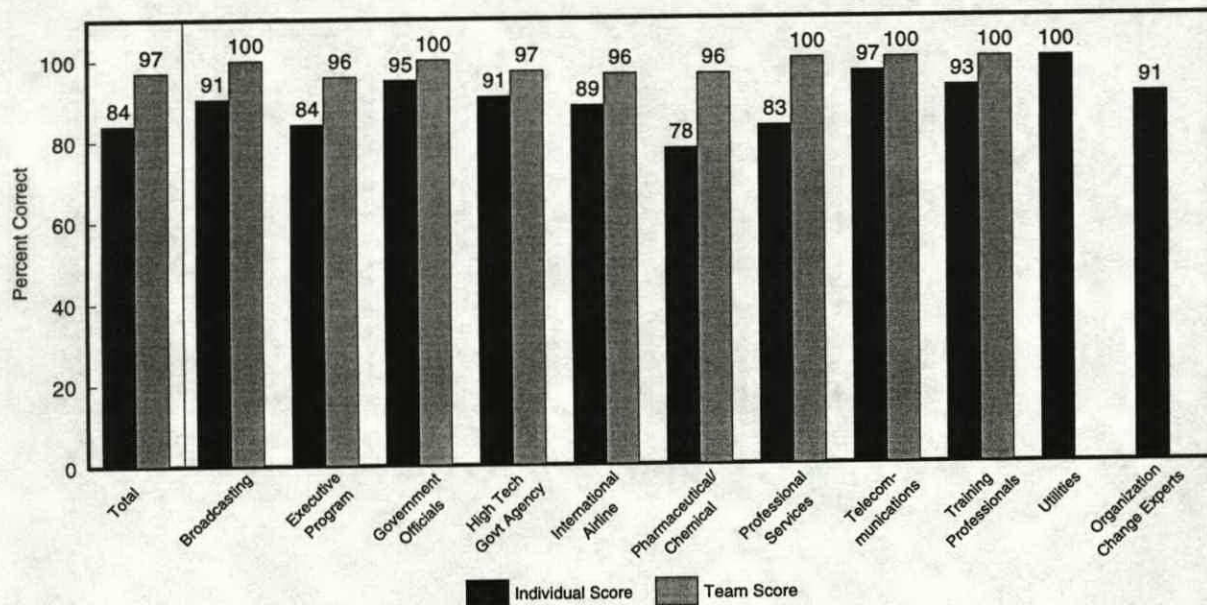
Wisdom from the world of counseling and clinical psychology is relevant and can be applied to leading and managing change at an organizational level. To help individuals cope with and manage change in their lives, the wisdom is that of keeping something stable in one's life while changing other aspects. It is not wise to change one's career, quit one's job and get a divorce all at the same time. Holding on to something that is not changing in one's life--having an anchor, as it were--helps one immeasurably to deal with the complexity of change in other parts.

The same is true at an organizational level. People can more adequately deal with and manage what may be considerable chaos and complexity with respect to an organizational change effort if they know that some aspects of the organization will remain stable--at least for the time being. We can more easily handle, say, a major overhaul of the organization's structure and even accompanying changes in our jobs if we can at the same time be assured that, for example, our compensation will not change; i.e., the organization's reward system will remain intact.

37

7. A COMMON ERROR IN MANAGING CHANGE IS PROVIDING MORE INFORMATION ABOUT THE PROCESS THAN IS NECESSARY. (FALSE)

Average Individual and Team Scores by Industry: Question 7

Chart: Percent Correct by industry category. Values shown:

Category	Individual Score	Team Score
Total	79	86
Broadcasting	81	100
Executive Program	78	81
Government Officials	72	100
High Tech Govt Agency	76	86
International Airline	80	93
Pharmaceutical/Chemical	82	88
Professional Services	72	71
Telecommunications	86	88
Training Professionals	80	100
Utilities	89	
Organization Change Experts	81	

Legend: ■ Individual Score ▦ Team Score

To quote another maxim, "If you explain so clearly that nobody can misunderstand, somebody will." Actually, the opposite is true. In times of organizational change, at least two sets of organizational members' behavior remain constant. One is the fact that the rumor mill flourishes and the second is that keen observations are made of senior management's actions to see if they are consistent--do they continue to reinforce consistently what they stated the day or week before? In other words, do their decisions, in particular, and daily behavior, in general, match their words?

Senior managers, the leaders of the change effort, are apt to say, "But I have explained that already." The counter "but" is, "But how many times and how recently?" Once is rarely if ever enough, and the longer between communications, the more rumors will fill the void. Moreover, the more the communications can be face-to-face rather than relying heavily on written statements to do the job, the better the management of the change is likely to be.

It should be noted that it is possible to communicate too much. In one actual case, the CEO communicated frequently about the change effort, and he used multiple modes--company newspaper, weekly videos, and even a personal memo mailed to each employee's home address. With this barrage of information, most of it redundant incidentally, people's expectations about how much and how quickly changes were to occur became highly unrealistic.

8. *AS MOVEMENT TOWARD A NEW FUTURE BEGINS, MEMBERS OF AN ORGANIZATION NEED BOTH TIME AND OPPORTUNITY TO DISENGAGE FROM AND GRIEVE FOR THE LOSS OF THE PRESENT STATE. (TRUE)*

Average Individual and Team Scores by Industry: Question 8
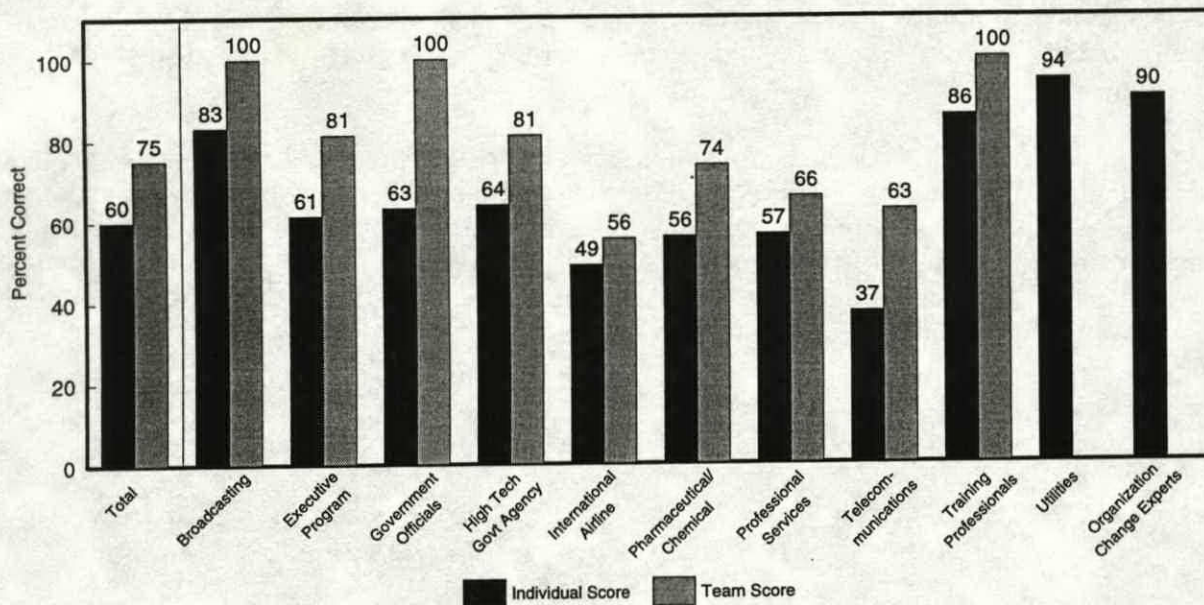
Since this item is likely to stir controversy, particularly the term "grieve" (which was deliberately chosen for this true-false statement), we are devoting considerable space to our rationale.

Disengagement from the past: Once it has been decided that change will happen and the planning has occurred, or is in process, time and energy need to be devoted to disengaging from the past-- that is, from certain ways of working; from a program, project, or product; from a geographic location; or from a group of people with whom one previously worked. Disengagement may take a variety of forms. An event can be held to recognize in a formal way what a certain program that will no longer be implemented provided for the organization, and what those people who were involved personally contributed. The event could be celebratory in nature, yet at the same time clearly demonstrate that the program would no longer be operational.

A case example should be useful here. An event like the process described above actually occurred. A particular program was to be phased out to make way for a new and different one. In this case, the program had involved research and development on a rocket used by NASA and the Air Force that gradually became obsolete. Yet R&D was conducted with the rocket program all along the way as if it would always exist and be constantly improved. Due to changing rocketry technology, such was not to be, however. After almost 20 years with this program the engineers and technicians involved were to be reassigned or encouraged to retire early. Change came surely

and swiftly for these rocket professionals. Before taking on a new program and having to acquire some new knowledge and learn new skills, the head of this NASA organization (one of the eight primary centers of the agency) conducted a brief event, actually a ceremony. On the front lawn in front of the administration building a table draped in black cloth was the focal point. Underneath the cloth was a small replica of the old rocket. After the table was uncovered, certain managers made very brief speeches extolling the former program and the people who had contributed to it over the years. All drank a toast, and the rocket was then covered again, symbolically buried. The head of the organization then gave a short explanation of the new program (solar energy for propulsion in space) that was replacing the old. The entire event took no more than 30 minutes. This event accomplished two important outcomes: First, an unequivocal symbolic act demonstrated the end of the program and, second, affirmative recognition was provided for those who had been involved.

While one may not need to conduct a funeral or demonstrate an ending quite as dramatically, two critical principles of managing change should be considered, both tied equally to human emotion. One is the Managing Change principle of "unfinished business" and the other concerns appealing to rather than ignoring people's feelings of pride. When something is not complete we humans tend to attempt some form of completion. A simple example from introductory psychology is when viewing a figure such as the following:
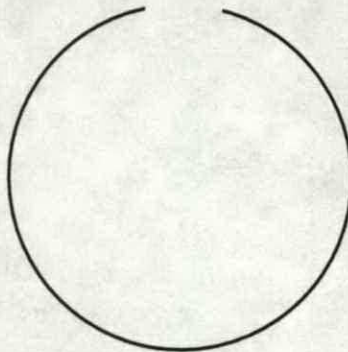
We "psychologically" close the gap and complete mentally what we believe to be a circle. Less simple, but based on the same principle, is the situation, for example, when we have an argument with someone that stops for one reason or another short of resolution; one tends to continue the argument mentally even though the other party is no longer present. We spend mental and emotional energy in an attempt to finish, to resolve, to complete the argument. So it is with organizational change. When newness is thrust on organization members, replacing, say, formal ways of doing things with no time to disengage and "finish the business" of the former way, they will spend energy trying to deal with the incompleteness. This energy may take the form of continuing simply to talk about the former ways or, even more resistantly, sabotaging the new ways. What is referred to as "resistance to change" often reflects energy devoted to closure attempts. Providing some ways for organizational members to disengage from the past, at least to some extent, helps them focus on the change and the future.

Pride

Even though pride is among the seven deadly sins, it can be appealed to in a positive way. People who have worked in a particular job over a period of years typically build feelings of personal pride in what they do. Sometimes when change comes and people are told they must now do things differently, not their old jobs anymore, an implied message may be that what they used to do is now wrong or no longer worthwhile. Often the tendency on the part of management is to want to "get on with it" and quickly forget the past. We no longer need to manufacture that product, provide that service, and so forth.

The point is that when change takes place and no time is given to recognize that even though an era has ended, and what organizational members had been doing was worthwhile, they tend to feel less worthwhile themselves. The stronger this feeling, the more organizational members' energy will be focused on dealing with their wounded pride. Usually a simple yet formal recognition that people had worked on important products or services for the organization and that significant contributions were made will be sufficient. This kind of act again helps organizational members to deal with potentially strong, human emotions, to achieve some degree of closure, and gradually to disengage from the past.

11. IN A CHANGE EFFORT INFLUENCING PEOPLE ONE-ON-ONE IS MORE EFFECTIVE THAN IN SMALL GROUPS. (FALSE)

Average Individual and Team Scores by Industry: Question 11
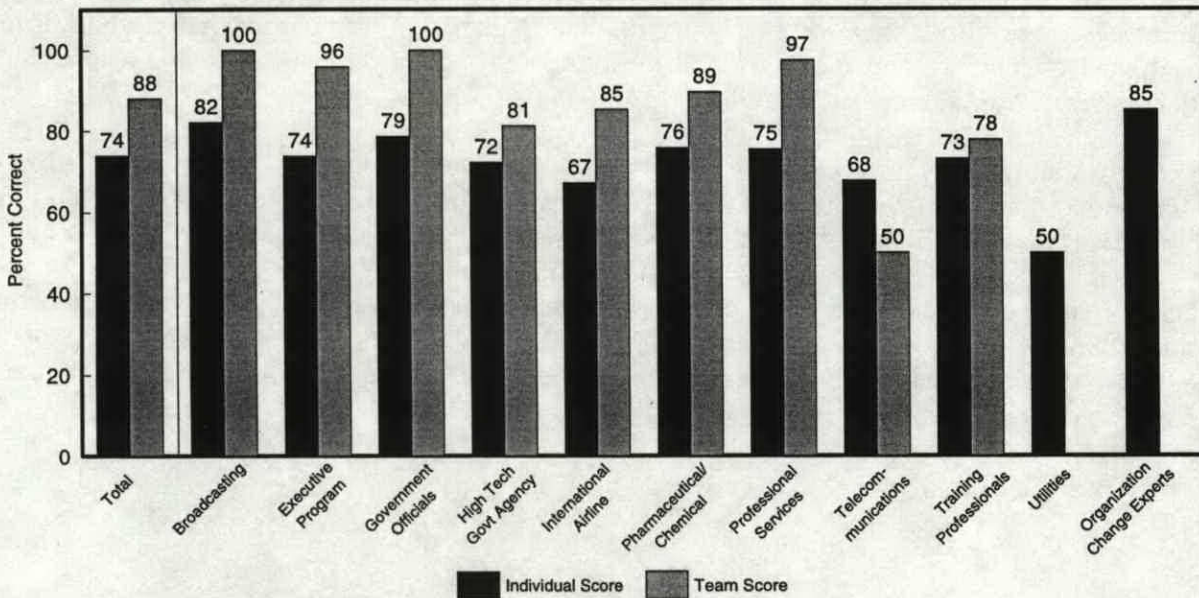

It is imperative that for organizational change to occur effectively certain, key individuals (opinion leaders) need to be involved, perhaps on a singular, one-on-one basis. But, in general, it is more effective to direct change at the group level than at the individual level.

If one attempts to change an attitude or the behavior of an individual without attempting to change the same behavior or attitude in the group to which the individual belongs, then the individual will be a deviate and either will come under pressure from the group to get back into line or will be rejected entirely. Thus, the major leverage point for change is at the group level; for example, by modifying a group norm or standards. As Kurt Lewin put it a number of years ago: "As long as group standards are unchanged, the individual will resist change more strongly the farther he is to depart from group standards. If the group standard itself is changed, the resistance which is due to the relation between individuals and group standard is eliminated."

While managing change is not always manageable, it is useful to consider certain principles and guidelines. The more a process may seem unmanageable, the closer we should stick to those activities that have been demonstrated to be helpful. The following items provide principles and guidelines that meet the criterion of demonstrated helpfulness.
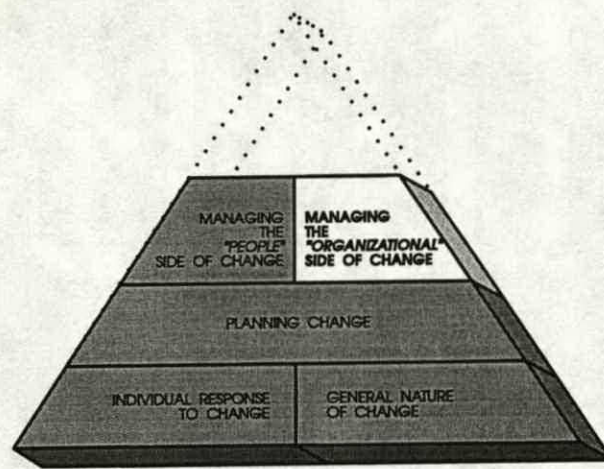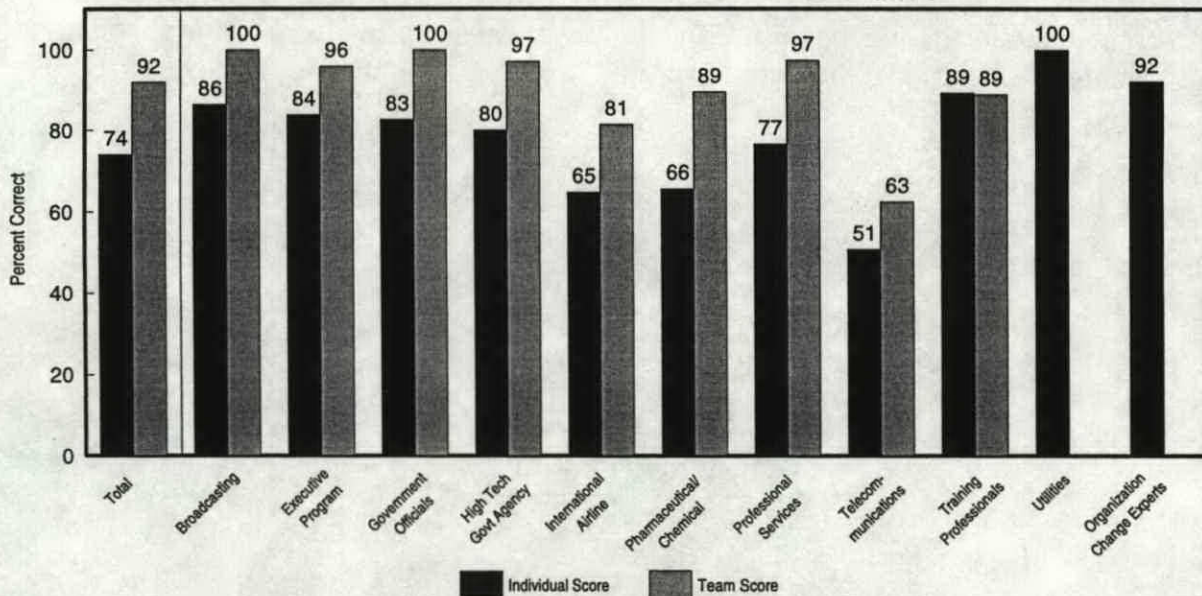
THE MANAGING CHANGE MODEL

QUESTIONS: 20, 21, 24 & 16

20. A CHANGE EFFORT ROUTINELY SHOULD BEGIN WITH MODIFICATIONS OF THE ORGANIZATION'S STRUCTURE. (FALSE)

Average Individual and Team Scores by Industry: Question 20

What is critical to our understanding here is that for organizational change to be achieved effectively, multiple leverage is required. Often managers of change rely too heavily on a singular lever to move the organization toward the desired change. The lever most often chosen is structure. "Changing the organizational chart will do the job" is too frequently accepted as a valid assumption. In a study of successful versus unsuccessful organization development change efforts, Burke, Clark, and Koopman in 1984 found that the intervention most associated with lack of success was a change in the structure, with that intervention being the only change made.

Complex organizations are composed of many subsystems; when one of these subsystems is changed, eventually all other subsystems will be affected. This principle is based on sound, general system theory (see the 1978 book by Katz and Kahn). Therefore, when managing change, multiple systems, or levers, must be considered. At the top of the list is strategy. As Alfred Chandler documented in 1962, a change in strategy best **precedes** structural change. Moreover, when a structural change is made, changes in the management information system, for example, are likely to be required. Since it is probable that different management practices will be needed, changes in the reward system to reinforce these new practices will help to ensure the overall success of the change effort.

The general idea to keep in mind, then, is the fact that organizations are dynamic, open systems. Changing an organization successfully requires that attention be paid to its multiplicity of subsystems, or levers, in tandem with and in mutual support of the overall effort. For a comprehensive framework that addresses these broad change issues, refer to the work of Burke and Litwin in the bibliography.

And in case the above is not convincing, perhaps a couple of adages will be:

"The less work an organization produces, the more frequently it reorganizes."

"Any bureaucracy reorganized to enhance efficiency is immediately indistinguishable from its predecessor."

21. *THE MORE MEMBERS OF AN ORGANIZATION ARE INVOLVED IN PLANNING THE CHANGE, THE MORE THEY WILL BE COMMITTED TO THE CHANGE EFFORT. (TRUE)*

**Average Individual and Team Scores by Industry: Question 21**
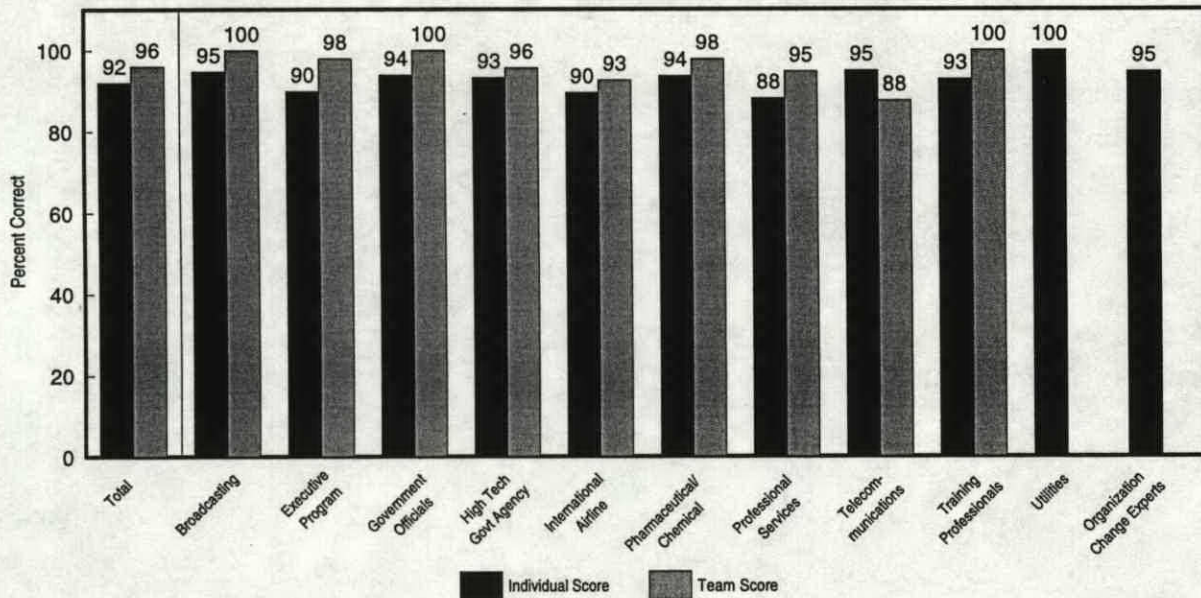
Typically there is little or no argument with the "truth" of this statement. A principle of behavior that is central to effective management, in general, and managing change, in particular, is "involvement leads to commitment." Stated a bit more elaborately, the degree to which people will be committed to an act is a function of the degree to which they have been involved in determining what that act will be. This is a common-sense principle of human behavior that is corroborated by considerable research. This principle helps to explain why some elegantly and appropriately designed plans never get implemented. When a single person or small group of people plan a change that will involve a much larger group of other people and fail to involve the others in the planning, the likelihood of successful implementation is diminished. The larger group is likely to perceive the plan as something being imposed on them, and their reactance is aroused (see again the section for item #9). Although they may agree that the plan is intrinsically logical and appropriate, there will be no **psychological commitment** to it if they have not been involved in the planning itself and have had no influence on its content or choice in whether to contribute to it. This lack of psychological commitment does not necessarily cause complete resistance to implementation, but the best that can be expected (unless organizational loyalty is extraordinarily high) is slow, reluctant compliance.

24. IN MANAGING CHANGE, THE REDUCTION OF RESTRAINTS OR BARRIERS TO THE ACHIEVEMENT OF THE END STATE IS MORE EFFECTIVE THAN INCREASED PRESSURE TOWARD THAT END STATE. (TRUE)

Average Individual and Team Scores by Industry: Question 24
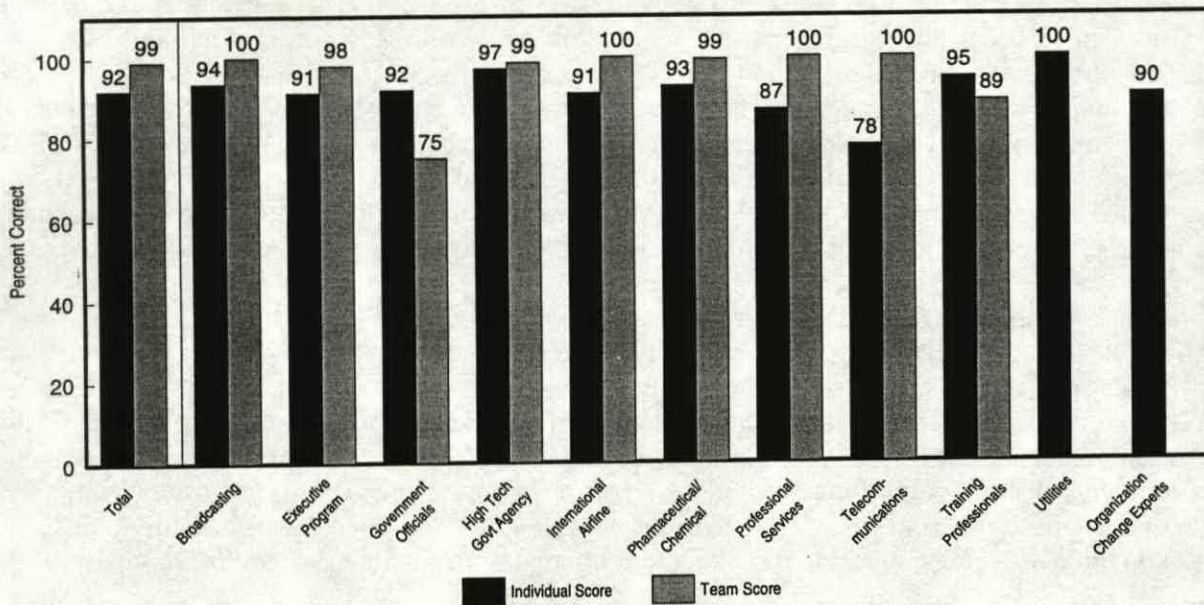
According to Kurt Lewin (see bibliography for the specific citations), behavior is a function of a person's personality, discussed primarily in terms of motivation or needs, and the situation or environment in which the person is acting. The environment is represented as a field of forces that affect the person. Thus a person's behavior at any given moment can be predicted if we know that person's needs and if we can determine the intensity and valence (whether the force is positive or negative for the person) of the forces impinging on the person from the environment.

Although Lewin borrowed the term "force" from physics, he defined the construct psychologically. Thus, one's perception of the environment is key, not necessarily reality. An example of a force, therefore, could be the perceived power of another person. Whether or not I will accomplish a task you want me to do is a function of the degree to which such accomplishment will respond to a need I have and how I perceive your capacity to influence me--whether you are a force in my environment (field).

Lewin made a distinction between imposed or **induced** forces, those acting on a person from the outside, and **own** forces, those directly reflecting the person's needs. The implications of this distinction are clear. Participation in determining a goal is more likely to create own forces toward accomplishing it than is a situation in which goal determination is imposed by others. When a goal is imposed on a person, his or her motives may match accomplishment of the goal, but the chances are considerably more variable or random than if the goal is determined by the person in

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the first place. Typically, then, for imposed or induced goals to be accomplished, some form of forced compliance is nescessary. More effective commitment to goals comes from one's own forces. This aspect of Lewin's theory helps to explain the generally positive consequences of participative management and consensual decision making.

Another distinction Lewin made regarding various forces in a person's environment is the one between **driving** and **restraining** forces. Borrowing yet another concept from physics, quasi-stationary equilibria, he noted that the perceived status quo in life is just that--a perception. In reality, albeit psychological reality, a given situation is a result of a dynamic rather than a static process. The process flows from one moment to the next, with ups and downs, and over time gives the impression of a static situation, but there actually are some forces pushing in one direction and other, counterbalancing forces that restrain movement. The level of productivity in an organization may appear static, but sometimes it is being pushed higher--by the force of supervisory pressure, for example--and sometimes it is being restrained or even decreased by a counterforce, such as a norm of the work group. There are many different counterbalancing forces in any situation, and what is called a force-field analysis is used to identify the two sets of forces.

Change from the status quo is therefore a two-step process. First, a force-field analysis is conducted, and then the intensity of a force or set of forces is either increased or decreased. Change can occur by adding to or increasing the intensity of the forces Lewin labeled driving forces--that is, forces that push in the desired direction for change--or by diminishing the opposing or restraining forces. Lewin's theory predicts that when the driving forces are increased the overall tension level for the system--whether it is a person, or group, or an organization--would intensify and consequently so would stress. The better choice, then, is to reduce the restraining forces, thus lessening the overall tension level, and allow the driving forces that are present to "do their job".
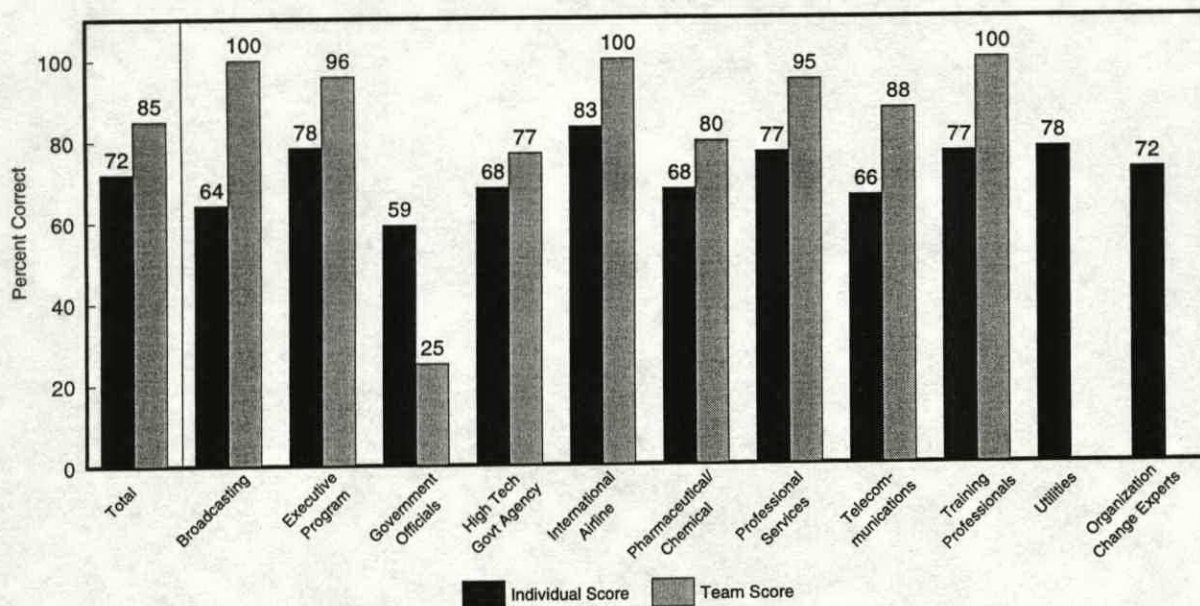
16. SYMBOLS, SLOGANS, OR ACRONYMS THAT REPRESENT ORGANIZATIONAL CHANGE TYPICALLY REDUCE THE EFFECTIVENESS OF THE EFFORT RATHER THAN ADD TO IT. (FALSE)

"Control your destiny or someone else will."

Jack Welch, CEO of GE

Average Individual and Team Scores by Industry: Question 16

Symbols and/or slogans can be trite and overdone. Their use, therefore, must be conducted with care. As a rule they can be quite useful in managing change because these representations of the change goal(s) help to keep organizational members focused and oriented.

The principle is this: It is not always possible to state change goals in clear, simple statements. While a new organizational strategy or mission may be clear in the minds of senior management, since they have perhaps discussed and debated it for months and months, when put into writing the new strategy may come across to the majority of people in the organization as vague, quite general, and abstract. Using a symbol may help not only to simplify and clarify the change goal but to capture organizational members' imagination and enthusiasm as well. A change in strategy from a technology-driven organization to a customer-driven one might, for example, be symbolized by a question inscribed on, say, a paperweight for each organizational member's desk or work area, which says, "Have you talked with a customer today?"

To cite an actual example: A symbol was created for a specific group within a large change effort at British Airways. The example concerned a training of trainers program for selected line managers. They were trained to help conduct a one-week residential Managing People First (MPF) program for upper-middle and middle management, well over 2,000 managers in total. Although couched within a training of trainers objective, the large, broader goal was to indoctrinate 16 hand-picked, high-potential managers with the underlying rationale for the specific MPF program and for the overall British Airways cultural change effort. Their broader mandate called for them to be change agents, to model the new behaviors associated with the desired culture. They were referred to as "culture carriers," meant to help leverage change. The symbol for them was a lever with a hand gripping it and the accompanying slogan was the Greek philosopher Archimedes's famous quote, to paraphrase in English, "Give me a fulcrum [lever] and a place to stand, and I will move the world." This symbol became a strong reminder of the change effort's purpose and their roles in it.

How can you tell if you are making any progress in a change effort? The general answer to this is, "Not in the most obvious ways."
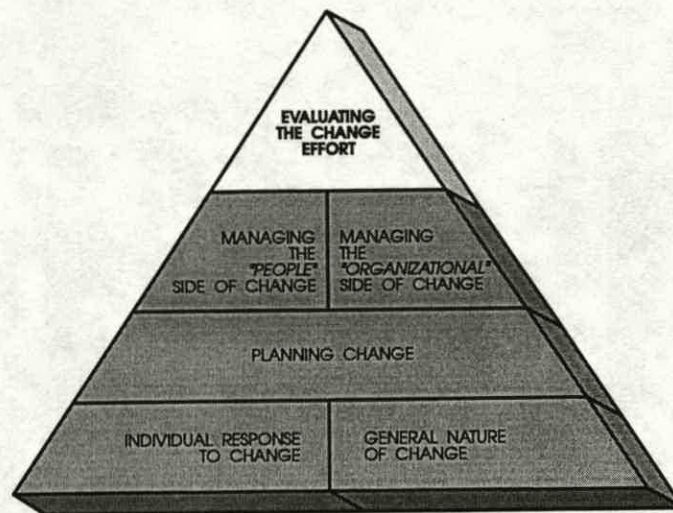
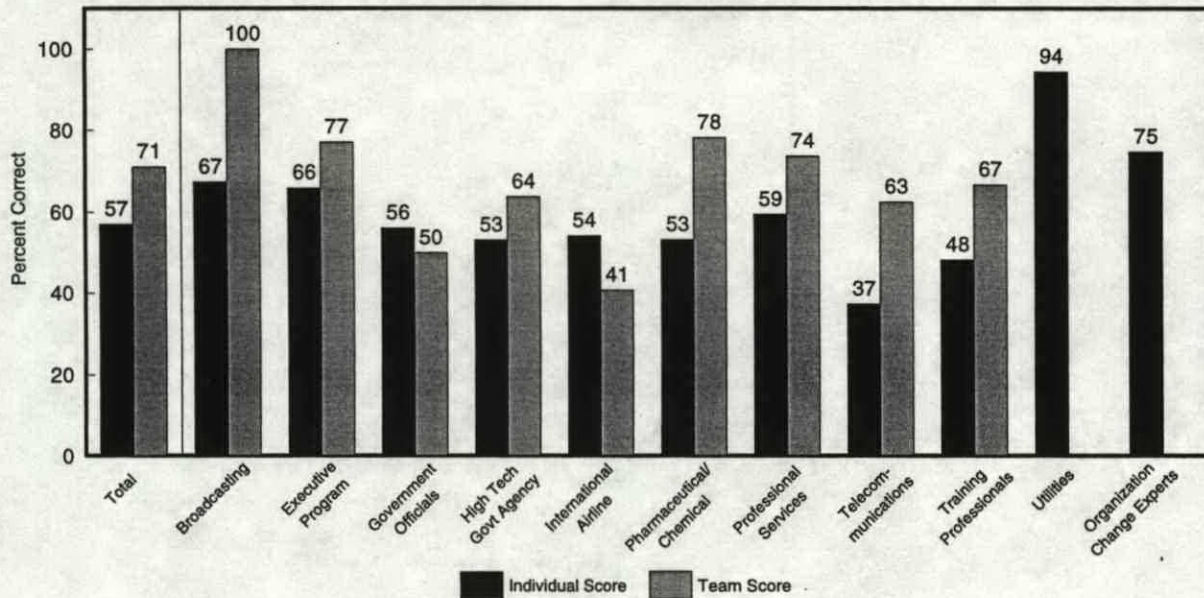## THE MANAGING CHANGE MODEL

QUESTIONS: 22, 13, 19 & 18

22. A REDUCTION IN THE ORGANIZATION'S PROBLEMS REPRESENTS CLEAR-CUT EVIDENCE OF PROGRESS IN THE CHANGE EFFORT. (FALSE)

**Average Individual and Team Scores by Industry: Question 22**

The quantity of problems that organization members must handle may not be any different. In the short run, however, for a large-scale change effort, it is entirely possible if not likely that the quantity may actually increase. As people attempt to sort out which problems to tackle, how to deal with them, and the myriad of choices to be made in order to succeed with the change, they are likely to experience a significant increase in day-to-day problem solving. A clear sign of progress, in any case, is that the nature of problems has changed. Organization members are dealing with new and different problems. It is not a matter of problems disappearing, it is a matter of different ones.

13. COMPLAINTS ABOUT THE CHANGE EFFORT ARE OFTEN A SIGN OF PROGRESS. (TRUE)

Average Individual and Team Scores by Industry: Question 13
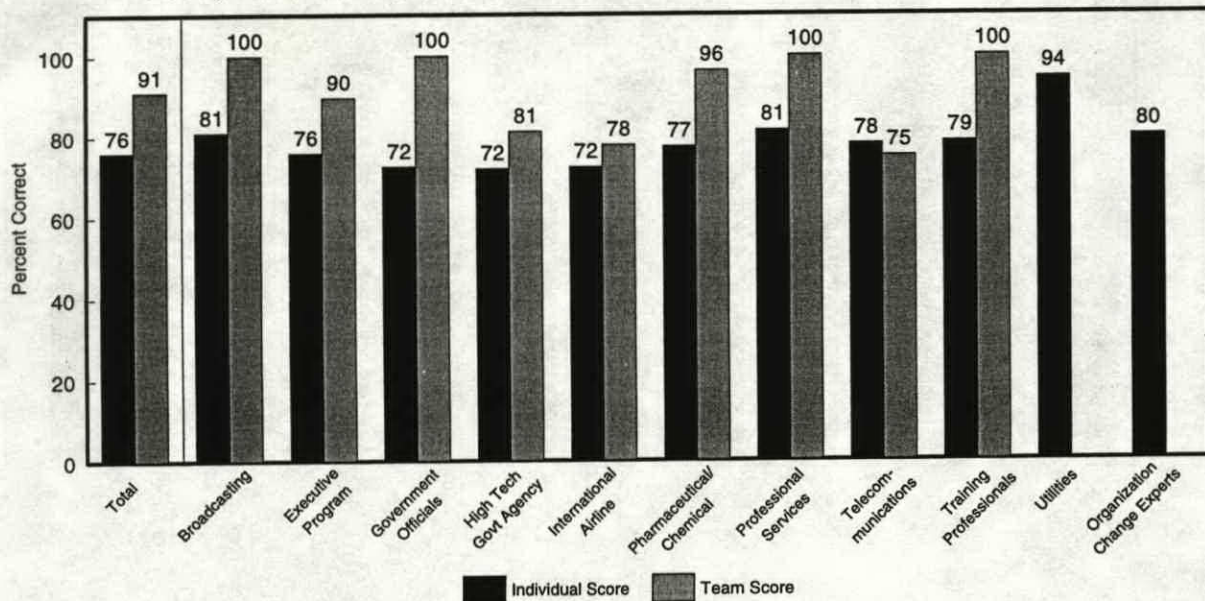
When organization members express frustration about a lack of progress regarding the change effort, as paradoxical as it may seem, such expression is a clear sign of progress. People are complaining about the right things. The following illustration should help to clarify this point.

Several decades ago the late Abraham Maslow spent a summer observing work in a high-technology company in Southern California. He kept a diary of his observations and later converted it into a book (see the bibliography). Among many of Maslow's observations one has always stood out: his distinction between grumbles and meta-grumbles. Grumbles are complaints about relatively small matters--"We never seem to have enough copy machines that are in good operating condition," "Why can't someone arrange for better maintenance of this building?" In other words, the grumbles concern hygiene factors, to use Herzberg's term, those aspects of work life that contribute to one's level of dissatisfaction. Meta-grumbles, on the other hand, are complaints about such things as lack of clarity regarding goals, need for more autonomy in carrying out assignments, or expressing a desire for greater teamwork and collaboration. These complaints are about broader organizational concerns, usually beyond an individual matter. Maslow contended that managers should be happy to hear meta-grumbles, that underneath such complaining was motivation to be tapped and directed for the good of the overall organization.

So it is in assessing progress toward change. Meta-grumbles should be music to management's ears.

19. WITH LITTLE INFORMATION ABOUT THE PROGRESS OF A CHANGE EFFORT, PEOPLE WILL TYPICALLY THINK POSITIVELY. (FALSE)

Average Individual and Team Scores by Industry: Question 19
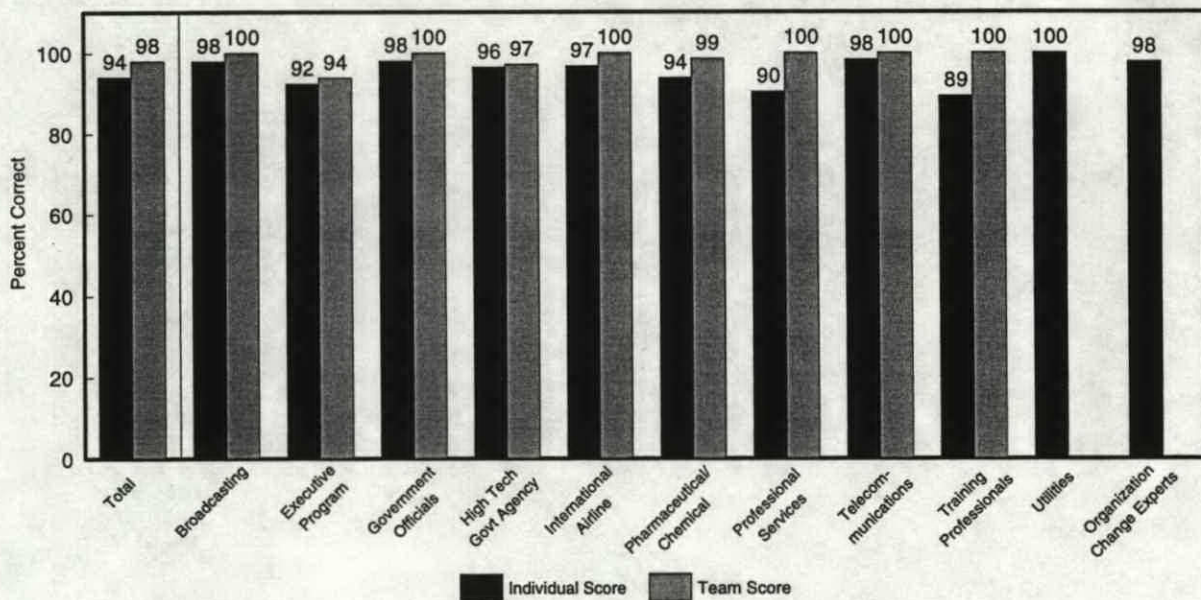
Given little or no information about how a change effort is progressing, it is only natural and normal for people to be skeptical, if not negative. Common comments are, "I knew it wouldn't work." "This change idea was doomed from the start." "I've seen similar attempts, and they didn't work either." Thus, it is imperative that organization members are kept informed about progress even though the progress may seem small to the change agent.

Another way to tell if progress is being made is when issues, concerns, and reports regarding the change effort routinely become a part of the agenda for regular managers and staff meetings. This means that not only is the change effort being monitored and constantly attended to, but people are being kept informed as well.

And, finally, indicative of progress is when special events are held from time to time that assess progress, reevaluate the direction, celebrate milestones achieved, and recognize individuals for their accomplishments in helping with the change effort.

By way of summary, then, to keep momentum and positive energy directed toward the change goal(s), it helps to provide feedback to organization members about progress, regardless of how minor the progress may be. Periodic progress reports, additional information incorporated within the management information system, conducting brief celebratory events when a change milestone is reached, are examples of how to monitor progress and, more important, ways to provide organization members with relevant feedback.

18. SUCCESSFUL CHANGE EFFORTS TYPICALLY REQUIRE CHANGING THE REWARD SYSTEM TO SUPPORT THE CHANGE. (TRUE)

Average Individual and Team Scores by Industry: Question 18
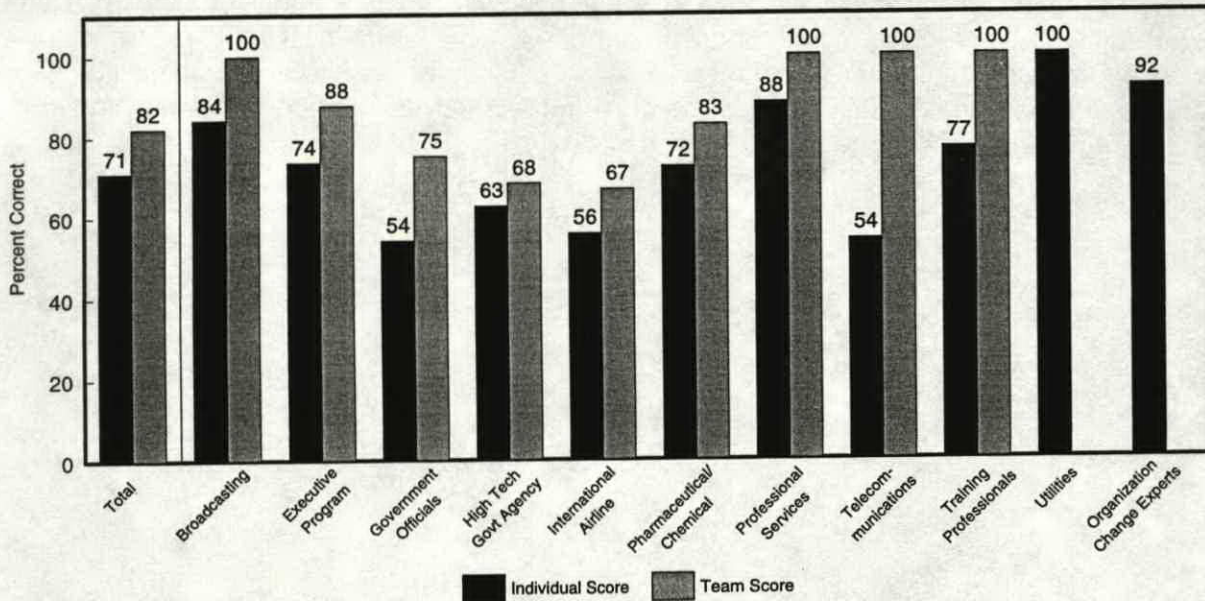
In any change effort, the organization's reward system is key in helping to shape the new behaviors required to make the change work. In this sense, then, the reward system may be used as a stabilizing force.

To be most useful the reward system should be changed to see that the new behaviors desired are reinforced; e.g., installing a pay for performance system, paying people on the basis of what new skills they learn instead of the job they hold ("skill-based pay"), providing "cafeteria" benefits instead of a fixed plan, installing a gainsharing system, etc. Whatever the change in the reward system, the point is that the new form is in the service of reinforcing the organizational change goals.

Whether changing the reward system itself or using the one that exists already, the point regarding stabilization of the change process is that the reward system is central to the success of the overall effort. As new practices begin to occur, as people begin to behave in ways that help to move the organization toward the change goal(s), and as milestones are reached, the reward system should be deployed to reinforce these new, "right" behaviors and directions. As Tom Peters has put it, "Catch people doing the right thing."

Formally and publicly recognizing people for having helped to move the organization in the change direction will not only serve to reinforce and stabilize the new behaviors, but will send a clear signal to others in the organization as to what the "right" behaviors are.

A final process of stabilizing the change, although not directly represented as an item in the true-false test, but related to points made in the section on item #16, is to arrange for certain organization members to serve as "guardians" of the new way of doing things (see the 1971 book by Hornstein, Bunker, Burke, Gindes, and Lewicki). They serve primarily as role models, as "norm carriers" of the new culture. Provided these people are carefully selected and strategically placed in the organization--that is, they are seen as powerful leaders and representatives of the future-- they can help significantly to stabilize the change.

Listed below is a table describing the key points and issues addressed in each of the components of the Managing Change model. Also listed are some sources and suggestions for further reading. The complete citations are included in the bibliography on the following pages.

Dimensions of Model	Content / Issues Addressed	Sources
Individual Response to Change	Change is not always resisted, apathy can be more difficult to work with than resistance, involvement in the direction of change can reduce resistance.	Burke (1994); Brehm (1966); Hambrick & Cannella (1989); Kanter (1983); Marris (1975); Tichy & Devanna (1986)
General Nature of Change	Certain patterns typify change efforts, effective change requires certain elements of transformation or dramatic steps.	Adizes (1979); Fornaciari et al. (1993); Gersick, (1981); Greiner (1972); Jantsch (1980), Lewin (1958); Schein (1987); Tichy & Sherman (1993)
Planning Change	The importance of surfacing dissatisfaction with the present state and articulating a desired future, involving people from all areas of the organization in the planning process rather than relying on a single entity or group, the power of "turf issues" among and between different groups and subcultures, recognizing the impact that the external environment has on the need to change.	Beckhard & Harris (1987); Duval & Wicklund (1972); Katz & Kahn (1978); Lewin (1958); Lippitt et al. (1958); Pfeffer & Salancik (1978); Schaffer & Thomson (1992)
Managing the People Side	The need to communicate what will and will not change, allowing people to disengage from and grieve the loss of the present state, utilizing the power inherent in groups as a positive force.	Burke (1994); Duval & Wicklund (1972); Goodstein & Burke (1991); Hornstein et al. (1971); Kanter (1983); Lewin (1951);
Managing the Organizational Side	The contribution of slogans, signs and symbols to establishing credibility and importance, preventing "knee jerk" reactions to using structural changes as a panacea, the importance of involvement as a means for building commitment, the need to reduce barriers and restraints to achieving goals rather than applying more pressure.	Beckhard & Harris (1987); Bennis & Nanus (1985); Chandler (1962); Duncan (1979); Schein (1985); Tichy & Devanna (1986)
Evaluating the Change Effort	Recognizing that complaints can often be a sign of progress and positive energy, the need to modify reward systems to support changes in other areas, the importance of providing feedback to people regarding progress made, awareness that a reduction in presenting problems may often reflect a change in symptoms rather than root causes.	Burke & Litwin (1992); Lawler (1992); Maslow (1965); Schuler & Jackson (1987)

Research based on the *Managing Change Questionnaire* can be found in the following references:

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