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is unclear, and power is at play. The problem with this strategy is that it may lead to compliance rather than wholehearted support of the change.

- **Manipulation and co-optation:** While managers don't like to admit to applying this tactic, covert attempts to influence others are very common. Engaging those who are neutral or opposed to the change in discussions and engaging in ingratiating behavior will sometimes alter perspectives and cause resisters to change their position on the change. However, trust levels will drop and resistance will increase if people believe they are being manipulated in ways not consistent with their best interests.
- **Explicit and implicit coercion:** With this strategy, as with the previous one, there is a negative image associated with it. Nevertheless, managers often have the legitimate right and responsibility to insist that changes be done. This strategy tends to be used when time is of the essence, compliant actions are not forthcoming, and change agents believe other options have been exhausted. Change leaders need to recognize the potential for residual negative feelings and consider how to manage these.
- Open systems analysis points to a seventh change strategy—**systemic or system adjustments**. At times, adjustments can be made to formal structures, systems, and processes that reduce resistance while advancing the desired changes. For example, if employee resistance has coalesced in a group of employees who are employed in a particular function, organizational restructuring or the reassignment of group members to other areas may reduce resistance markedly. However, if it is mishandled, it can mobilize and escalate resistance in others.

See **Toolkit Exercise 9.2** to think about influence strategies you've experienced.

Another way to think about influence strategies is to consider whether they attempt to push people in the desired direction or pull them. **Push tactics** attempt to move people toward acceptance of change through rational persuasion (the use of facts and logic in a nonemotional way) and/or pressure (the use of guilt or threats). The risk with the use of push tactics is that they can lead to resistance and defensiveness. Recipients may oppose the pressure simply because it is pressure and they feel a need to defend their positions.

Alternatively, change leaders can rely on **pull tactics**: inspirational appeals and consultation. Inspirational appeals can arouse enthusiasm based on shared values or ideals. *Consultation* (as it is used here) refers to when you seek the participation of others through appeals to the individuals' self-worth and positive self-concept. Both these approaches are designed to pull individuals in the desired direction.<sup>††</sup>

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Falbe and Yukl examined the effectiveness of nine different influence tactics. The most effective strategies were two pull tactics: (1) inspirational appeals and (2) consultation (seeking the participation of others). When considering these, never underestimate the importance of the credibility of the change leader.

The strategies of intermediate effectiveness were a combination of push and pull strategies: (3) rationale persuasion (facts, data, logic); (4) ingratiation (praise, flattery, friendliness); (5) personal appeals (friendship and loyalty); and (6) exchange tactics (negotiation and other forms of reciprocity).

The three strategies that were least effective were push strategies: (7) direct pressure, (8) legitimating tactics (framing of the request as consistent with policy and/or the influencer's authority), and (9) coalition building (creation of subgroups or linkages with other groups to exert pressure).<sup>55</sup>

Nutt categorizes four influence tactics used during implementation: (1) intervention, (2) participation, (3) persuasion, and (4) edict. **Intervention** is where key executives justify the need for change (often through the use of data) and provide new norms to judge performance. **Participation** involves engaging stakeholders in the change process. **Persuasion** is the use of experts to sell a change. And **edict** is the issuing of directives. [Table 9.9](#) summarizes Nutt's data on the frequency of use, initial and ultimate adoption rate, and the time to install for each of these tactics.

This table demonstrates the value of a well-respected sponsor who acts as a lightning rod and energizes and justifies the need for change. The frequency of the use of participation as a strategy is somewhat higher than intervention and may reflect the challenge of managing change from the middle of the organization. Adoption takes longer, but it has the second best success rate. Persuasion is attempted more frequently than the other three tactics, but its success rate is significantly lower than participation and the time to adoption slightly longer. Finally, it is difficult to understand the frequency of use of edict as a tactic, given its poor adoption rate and length of time to install.

**Table 9.9** Implementation Tactics and Success<sup>56</sup>

Tactic	Percentage Use	Initial Adoption Rate	Ultimate Adoption Rate	Time to Adopt (Months)
<b>Intervention</b>	16%	100%	82%	11.2
<b>Participation</b>	20%	80.6%	71%	19.0
<b>Persuasion</b>	35%	65%	49%	20.0
<b>Edict</b>	29%	51%	35%	21.5

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This section has outlined a variety of influence tactics that can be used to build awareness, reduce ambivalence and resistance, and move people to acceptance and adoption of the initiative. In general, it is wise to move as slowly as is practical. This permits people to become accustomed to the idea of the change, adopt the change program, learn new skills, and see the positive sides. It also permits change leaders to adjust their processes, refine the change, improve congruence, and learn as they go. However, if time is of the essence or if going slowly means that resisters will be able to organize in ways that will make change highly unlikely, then change leaders should plan carefully, move quickly, and overwhelm resistance where possible. Just remember, though, that it is far easier to get into a war than it is to build a lasting peace after the fighting ends. Don't let your impatience and commitment to moving the change forward get the better of your judgment concerning how best to proceed.<sup>44</sup> See **Toolkit Exercise 9.3** to think about push and pull tactics.

### **System Adjustments (i.e., closing stores and eliminating jobs) at Walmart**

Walmart has used systemic adjustments over the years as a change tool to assist in maintaining managerial discretion in employment practices by retaining their nonunion status. In 2005, 200 employees at the store in Jonquière, Quebec, Canada, were attempting to negotiate the first-ever union contract with the firm. However, after 9 days of meetings, over 3 months, Walmart announced it was closing the store because of concerns over its profitability. In 2008, the same approach was adopted when six employees in Gatineau, Quebec, won the right to unionize their small operation within Walmart. Walmart employees in Weyburn, Saskatchewan, voted to unionize, but quickly reversed field and voted to decertify in 2010. The unions in both Quebec and Saskatchewan sued the employer for unfair labor practices and took their respective cases all the way to the Supreme Court of Canada. After years of litigation, the Quebec suit against Walmart's store closure met with limited success (some financial restitution was ordered), but the Saskatchewan case was unsuccessful. Currently no Walmart operation in Canada is unionized. The only other time a unionization drive had been close to succeeding was in 2000. Eleven meat cutters in their Jacksonville, Texas, store voted to join the UFCW. Walmart responded by eliminating the meat cutting job companywide.<sup>54</sup>

## **Transition Management**

*Change management is about keeping the plane flying while you rebuild it.*<sup>57</sup>

When dealing with an ongoing operation, you typically don't have the luxury to put everything on hold while making a major change happen. You can't say "sorry, we aren't able to deliver the product we promised because we are making improvements." Most organizations have many change projects underway simultaneously. One part of the organization may be re-engineering itself. Another might be introducing a quality program while another part focuses on employee empowerment. All of these must be managed concurrently while continuing to produce products and services.

Morris and Raben argue for a transition manager (a change agent or implementer in the language of this book) who has resources, structures, and plans.<sup>58</sup> The

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transition manager has the power and authority to facilitate the change and is linked to the CEO or other senior executive. Resources are the people, money, training, and consulting expertise needed to be successful. Transition structures are outside the regular ones—temporary structures that allow normal activities to take place as well as change activities. The transition plan is the change plan with clear benchmarks, standards, and responsibilities for the change. [Figure 9.4](#) outlines a checklist for transition management.

**Transition management** is making certain that both the change project and the continuing operations are successful. The change leader and the transition manager are responsible for making sure that both occur. The change leader is visibly involved in articulating both the need for change and the new vision, while others involved in implementing the change manage the organization's structural and system changes and the individuals' emotional and behavioral issues so that neither is compromised to a danger point.<sup>59</sup> Ackerman described the application of a transition management model at Sun Petroleum.<sup>60</sup> She addressed the question, "How can these changes be put into place without seriously straining the organization?" Her solution was to create a transition manager who handled the social system requirements. Ackerman also argued for the use of a transition team to create a transition structure that would enable the organization to carry on operating effectively while the major changes take place.

Beckhard and Harris focus on the transition details in organizational change.<sup>61</sup> They reinforce the importance of specifying midpoint goals and milestones, which help motivate the members of the organization. The longer the span of time required for a change initiative, the more important these midcourse goals become. The goals need to be far enough away to provide direction but close enough to provide a sense of progress and accomplishment and an opportunity for midcourse changes in plans.

A second component of transition management is keeping people informed to reduce anxiety. During major reorganizations, many employees are assigned to new roles, new bosses, new departments, or new tasks. Those individuals have a right to know their new work terms and conditions. Transition managers will put systems in place to ensure that answers to questions (such as "how will I, my co-workers, and my customers be affected?" "Who is my new boss?" "Who will I be working with and where will I be located?" or "What is my new job description?") can be provided in a timely manner. An example of this need occurred in the Ontario (Canada) Ministry of Agriculture, Food and Rural Development. As the designer of a major change in that organization, Bill Allen commented that the Ministry "underestimated the importance of a well thought out transition structure and plan. Employees of the Ministry had hundreds of questions about the organizational change and there was no formal structure to handle these in a consistent and professional manner."<sup>62</sup> The transition manager needs to be authorized and given the capacity to do this.

The final phase in transition management occurs in and around the same time as the celebrations are occurring in recognition of what has been accomplished. Project completion can be a bittersweet time for participants because they may not

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be working directly with one another in the future. They've worked hard, developed close friendships, and shared emotional highs and lows along the way. The experience can be extremely influential to their future development, and it needs to be processed and brought to closure in ways that do it justice. One way to approach closure (in addition to the celebration) and maximize the learning for all is to conduct an **after-action review**.<sup>63</sup> An after-action review involves reviewing the change experience as a whole and learning from what transpired along the way. There needs to be a candid assessment from multiple perspectives of the change process and the strengths and weaknesses of the various approaches used along the way. It asks: (a) what were the intended results, (b) what were the actual results, (c) why did the actual results happen, and (d) what can be done better, next time? As the participants explore these questions, the approaches, tools, sources of information, and insights that have the potential to improve performance in the future need to be identified, and the knowledge must be codified in ways that will allow others to access and learn from it. This knowledge is potentially the most significant legacy that those involved with the change can leave for themselves and others who will follow.

**Figure 9.4** A Checklist for Change: Transition Management

The following questions can be useful when planning transition management systems and structures.

1. How will the organization continue to operate as it shifts from one state to the next?
2. Who will answer questions about the proposed change? What decision power will this person or team have? Will they provide information only or will they be able to make decisions (such as individual pay levels after the change)?
3. Do the people in charge of the transition have the appropriate amount of authority to make decisions necessary to ease the change?
4. Have people developed ways to reduce the anxiety created by the change and increase the positive excitement over it?
5. Have people worked on developing a problem-solving climate around the change process?
6. Have people thought through the need to communicate the change? Who needs to be seen individually? Which groups need to be seen together? What formal announcement should be made?
7. Have the people handling the transition thought about how they will capture learning throughout the change process and share it?
8. Have they thought about how they will measure and celebrate progress along the way and how they will bring about closure to the project at its end and capture the learning so it is not lost (after-action review)?

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## Summary

“Doing it” demands a good plan and a willingness to work that plan. To advance a “do it” orientation, the chapter assesses several strategies for approaching the change and planning the work. The chapter examines various action planning tools and considers how to handle the communications challenges that arise during a change initiative. Finally, transition management is considered, because the delivery of services and products typically needs to continue while the change initiative is underway. See **Toolkit Exercise 9.1** for critical thinking questions for this chapter.

## Key Terms

**“Do it” orientation**—a willingness to engage in organizational analysis, see what needs to be done, and take the initiative to move the change forward:

1. **Thinking first strategy**—an approach used when the issue is clear, data are reliable, the context is well structured, thoughts can be pinned down, and discipline can be established, as in many production processes.
2. **Seeing first strategy**—an approach that works best when many elements have to be combined into creative solutions, commitment to those solutions is key, and communication across boundaries is essential, as in new product development. People need to see the whole before becoming committed.
3. **Doing first strategy**—an approach that works best when the situation is novel and confusing, complicated specifications would get in the way, and a few simple relationship rules can help people move forward. An example would be when a manager is testing an approach and wants feedback about what works.
4. **Programmatic change**—a traditional approach to planned change; starts with mission, plans, and objectives; sets out specific implementation steps, responsibilities, and timelines.
5. **Discontinuous change**—an approach adopted for a major change that represents a clear break from the previous approach, often involving revolutionary ideas.
6. **Emergent change**—a change that grows out of incremental change initiatives. It often evolves through the active involvement of internal participants. As it emerges, it can come to challenge existing organizational beliefs about what should be done.



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7. **Unilateral approach**—top-down change. Change requirements are specified and implemented—required behavioral changes are spelled out, and it is anticipated that attitude changes will follow once people acclimatize themselves to the change.
8. **Participative approach**—bottom-up participation in the change initiative focuses on attitudinal changes that will support the needed behavioral changes required by the organizational change.

**Techno-structural change**—includes change initiatives focused on the formal structures, systems, and technologies employed by the organization.

**Behavioral-social change**—includes change initiatives focused on altering established social relationships within the organization.

## Action Planning Tools

1. **To-do list** is a checklist of things to do.
2. **Responsibility charting** is who will do what, when, where, why, and how.
3. **Contingency planning** is consideration of what should be done when things do not work as planned on critical issues.
4. **Decision tree analysis** asks change agents to consider the major choices and the possible consequences of those alternatives.
5. **Scenario planning** is a change strategy formed by first developing a limited number of scenarios or stories about how the future may unfold and then assessing what the implications of each of these would be to the organization.
6. **Surveys** involve the use of structured questions to collect information from individuals and groups in systematic fashion.
7. **Survey feedback** is an organizational development technique that involves participants in the review and discussion of survey results. The goal is to actively engage them in the interpretation of the findings, the discussion of their implication, and the identification of how best to proceed.
8. **Project planning and critical path methods** are operations research techniques for scheduling work. These methods provide deadlines and insight as to which activities cannot be delayed to meet those deadlines.
9. **Force field analysis** examines the forces for and against change.
10. **Stakeholder analysis** is the position of the major players and why they behave as they do.

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11. **Commitment charts** is an evaluation of the level of commitment of major players (against, neutral, let it happen, help it happen, make it happen).
12. The **adoption continuum** is an examination of major players and their position on the awareness, interest, desire, and adoption continuum related to the proposed changes.
13. **Leverage analysis**—determination of methods of influencing major groups or players regarding the proposed changes

**Purpose of the communication plan for change**—(1) to infuse the need for change throughout the organization, (2) to enable individuals to understand the impact that the change will have on them, (3) to communicate any structural and job changes that will influence how things are done, and (4) to keep people informed about progress along the way.

Four phases in the communications process during change are outlined:

1. the **prechange phase**—centering on communicating need and gaining approval for the change;
2. **developing the need for change phase**—focuses on communicating urgency and enthusiasm for the change;
3. the **midstream phase**—involves disseminating details of the change and should include obtaining feedback from employees;
4. **confirming the change phase**—communicates and celebrates the success of the program to reinforce commitment.

**Richness of the communication channel**—different channels vary in the richness of the information they can carry. Standard reports and general-information e-mails represent the lean end of the continuum. Richness increases as one moves to personalized letters and e-mails, telephone conversations, video conferencing, and face-to-face communications (the richest channel).

Alternatives to reducing negative reactions to change and building support developed by Kotter and Schlesinger:

1. **Education and communication** is a strategy that helps others develop an understanding of the change initiative, what is required of them, and why it is important;
2. **Participation and involvement** gets others involved and can bring new energy and ideas, and cause people to believe they can be part of the change;

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3. **Facilitation and support** is a strategy that provides access to guidance and other forms of support to aid in adaptation to change;
4. **Negotiation and agreement** is when change leaders can make explicit deals with individuals and groups affected by the change;
5. **Manipulation and co-optation** include covert attempts to influence others;
6. **Explicit and implicit coercion** rests on change leaders' legitimate right and responsibility to insist that changes be done; and
7. **Systemic adjustments** are those made to formal systems and processes that reduce resistance while advancing the desired changes.

**Push tactics** attempt to move people in the desired direction through rational persuasion (e.g., the use of facts and logic) and/or direct or indirect pressure (e.g., guilt, threats).

**Pull tactics** attempt to draw people in the desired direction through arousing interests and enthusiasm through inspirational appeals, consultation, and their active participation.

- **Intervention** is a strategy of influence identified by Nutt, which involves key executives justifying the need for change and providing new norms to judge performance.
- **Participation** is a strategy of influence identified by Nutt, which involves engaging stakeholders in the change process.
- **Persuasion** is a strategy of influence identified by Nutt, which involves the use of experts to sell a change.
- **Edict** is a strategy of influence identified by Nutt, which is the issuing of directives.

**Transition management** is the process of ensuring that the organization continues to operate effectively while undergoing change

**After-action review** is a final phase of the transition-management process. It seeks to bring closure to the experience and engage participants in a process that will allow the learning gained through the change process to be extracted and codified in some manner for future use.

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## Checklist: Developing an Action Plan

1. Given your vision statement, what is your overall objective? When must it be accomplished?
2. Is your action plan time-sequenced and in a logical order? What would be the first steps in accomplishing your goal?
3. What is your action plan? Who will do what, when, where, why, and how? Can you do a responsibility chart?
4. What would be milestones along the way that will allow you to determine if you are making progress? What is the probability of success at each step?
5. Have you anticipated possible secondary consequences and lagging effects that your plans may give rise to and adjusted your plans accordingly?
6. Do you have contingency plans for major possible but undesirable occurrences? What things are most likely to go wrong? What things can you not afford to have go wrong? How can you prevent such things from happening?
7. Do you have contingency plans in the event that things go better than anticipated and you need to move more quickly or in somewhat different directions than initially planned, to take advantage of the opportunities?
8. Is your action plan realistic given your influence, both formal and informal, and the resources likely to be available to you? What can you do to address shortfalls?
9. Do you and your team have the competences and credibility needed to implement the action steps? If not, how will you address the shortfall?
10. Who does your plan rely on? Are they onside? What would it take to bring them onside?
11. Does your action plan take into account the concerns of stakeholders and the possible coalitions they might form?
12. Who (and what) could seriously obstruct the change? How will you manage them?

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## End-of-Chapter Exercises

### Toolkit Exercise 9.1

#### Critical Thinking Questions

Please find the URLs for the videos listed below on the website at [study.sagepub.com/cawsey3e](https://study.sagepub.com/cawsey3e).

Consider the questions that follow.

#### 1. Terms of Engagement—3:32 minutes

Berrett-Koehler Publishers's "Change Authors" Series focuses on four principles: widening the circle of involvement, connecting people to each other and to ideas, creating communities for action, and embracing democracy. *Terms of Engagement: Changing the Ways We Change Organizations* is a B-K Business Book by Richard H. Axelrod.

- Explain the four principles using examples from your own change experience.
- Brainstorm how you might begin to instill one of these principles in an organization you are familiar with.

#### 2. It Starts With One: Changing Individuals Changes Organizations—26:25 minutes

Two professors from INSEAD (Hal Gregersen and Stewart Black) discuss the idea that you can't change organizations if you don't focus on change with individuals first. Investigate three barriers: the failure to see, failure to move (developing the capacity of individuals to do something new), and failure to finish (following through with support until capacities are where they need to be; need champions at the front line as well as elsewhere in the organization, as well as signposts that help people understand where they are in terms of implementing the change initiative). This includes helping leaders to understand the changes required within themselves.

- Which barrier resonated with your experience the most?

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- How do you think these principles might facilitate a successful change project?

### 3. Appreciative Inquiry—4:50 minutes

- What is the basic idea of appreciative inquiry?
- What emotions does this strategy center on?
- How does an appreciative approach change process?

*Please see [study.sagepub.com/cawsey3e](http://study.sagepub.com/cawsey3e) for access to videos and a downloadable template of this exercise.*

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## Toolkit Exercise 9.2

### Action Plans for Influencing Reactions to Change

1. What methods have you seen used in organizations to influence people's reactions to a specific change? Think specifically about a change instance and what was done.
  - a. Education and communication
  - b. Participation and involvement
  - c. Facilitation and support
  - d. Negotiation and agreement
  - e. Manipulation and co-optation
  - f. Explicit and implicit coercion
  - g. Systemic adjustments
2. What were the consequences of each of the methods used? What worked and what did not work? Why?
3. What personal preferences do you have regarding these techniques? That is, which ones do you have the skills to manage and the personality to match?

Please see [study.sagepub.com/cawsey3e](http://study.sagepub.com/cawsey3e) for a downloadable template of this exercise.

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