12-20-2011

Can Leading Change Catalyze Innovation in the Workplace

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Submitted in partial fulfillment of
the requirement for the degree of
Master of Arts in Leadership

AUGSBURG COLLEGE
MINNEAPOLIS, MINNESOTA

2011

MASTER OF ARTS IN LEADERSHIP
AUGSBURG COLLEGE
MINNEAPOLIS, MINNESOTA

CERTIFICATE OF APPROVAL

This is to certify that the Action Research Project of

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has been approved for the Action Research Final Project requirement for the Master of Arts in Leadership degree.

Date Action Research Project Completed 12/20/2011

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ABSTRACT

TITLE

Can Leading Change Catalyze Innovation in the Workplace?

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December 12, 2011

_____ Action Research Project

This paper focuses on the importance of change in business in the twenty-first century, looking primarily at how to obtain effective change, sustain change, and enable the possibility of change leading to innovation within one device manufacturing company. I will present evidence from various theories from the mid-1900s to the present day which recommend how to effectively implement lasting change. This article will discuss the possibility of a two-day workshop being able to influence the likelihood of change needed to catalyze innovation based upon response from recent workshop attendees. Recommendations will be made on additional steps the company may need to implement supplementing their change workshop to create the new corporate behavior desired to embrace change agility.

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ACKNOWLEDGEMENTS

I would like to thank my family, especially my parents and my children, for encouraging me to always look for the possibilities and for telling me not to settle for less than I was capable of, even at my age. Their support and encouragement has been greatly appreciated throughout this incredible journey.

I am especially appreciative for my manager, my mentor and friend, Donna Holt-Miller who challenged me to step up to being a leader within my team. She enabled me to see things in myself that I had not seen before. She encouraged me to try new things, to change, and was supportive even when I fell short of the mark. I think this is indicative of how change will unfold within our organization. We will reach for the stars and may land at another place along the way, only to regroup and try again.

Can Leading Change Catalyze Innovation in the Workplace?

INTRODUCTION

The purpose of this paper is to focus on change in the workplace, particularly within one company setting, and to analyze how to encourage the behavior during the change process to potentially create innovation. Change is a constant in all we do, personally and professionally. It is the one variable that we know will never go away (Van de Ven, 2011, p. 58). It is important for companies to be nimble. Duck (1998) gives the analogy that managing change is like balancing a mobile, keeping all the variables in check (p. 56). How can a company be ready for change? Buono & Kerber (2010) recognize that to be ready for change, a company must first be mentally prepared (p. 4).

The company I am studying has been a successful device manufacturer in business for over fifty years. It has had a strong mission statement responsible for providing a vision for why the company has been in business and giving focus to business goals they wanted to accomplish. The corporate culture has been grounded in strong core values, such as customer focus, candor, trust, respect, accountability, and a passion to win. These core values and the mission, its products, and its focus on customers have kept the company profitable until the company's economic downturn around the time of 9/11. The dramatic turn in the economy has been a wake-up call for many businesses. What once worked does not seem to be as effective any longer. So what is a company to do? Make some strategic changes to regain stability, to recapture market share, and restore confidence to its stockholders.

In the past several years, the company has experienced several rounds of staff layoffs. When the company down-sized, the atmosphere was to support its mission, but also seemed to be looking for new answers. The new reality was more work and fewer personnel to accomplish the daily business tasks. It was clear that changes were needed; a transformation would have to take place in order for the company to meet its customers' needs and regain competitive advantage in the marketplace.

The company looked to a new direction in leadership and hired a new CEO, someone from outside the company. It was believed that a fresh perspective was needed. The board of directors sought a CEO who could provide a new strategic vision to bolster market share and profitability. Each new CEO brings new ideas, a new approach, and a new direction.

The new CEO called the employees together for his introductory message. The message was strong and clear. If the company is to remain on the cutting edge in the industry, if it is to remain profitable and competitive in the current volatile economic climate, it would have to embrace innovation. He was certain being innovative would determine not only our profitability, but the future of the company and the security of our future employment. This painted a vivid picture for all the employees - change needed to materialize and produce a new reality.

Koestenbaum supports the idea that capitalism is "growth through innovation", so if companies are to grow, and to be profitable, they need to innovate (2002, p. 171). Cefis and Marsili (2006) support the move toward change, stating "established firms are at risk" unless they innovate (p. 926). This must be how the company viewed what we are facing. Their case study looks specifically at the probability of survival if companies will not innovate. Notably the emphasis was on the importance of radical change, risk taking, and the need for experimentation to enable innovation to evolve within an organization.

Alvin Toffler (1971) claimed change was an essential factor in the life cycle of mankind (p. 439-440). John Kotter (1998) says organizations cannot be innovative without making significant changes. He also states that innovation usually comes through opportunity, stating that leaders need to give people a reason to be excited about change. I think companies can make changes without innovation resulting, but to get to innovation, change has to happen in a way that dramatically impacts the business. Daft (2008) supports the suggestion that lateral or sideways thinking can bring change that is innovative (p. 468). Beer and Nohria (2011) state that companies need to do what they call "crack the code" to encourage experimentation and promote learning by committing to change (p. 151). Laurin and Morningstar (2009) furthermore make the case that "leaders must execute business strategies through others" (p. 111).

So how does a company commit to making change happen? Kurt Lewin was instrumental in promoting the theory of change management as early as 1951. Lewin (1951) expressed that "life is never without change" (p. 199). Lewin maintained that social and behavioral habits, such as those supported by a corporate culture, would either support change efforts or create resistance, determining whether or not organization change could be successful (pp. 224-

225). Through his research, Lewin was able to show that it is easier to change individual behavior within a group, such as peer pressure, versus trying to change people as an individual alone. He emphasized that if change is to be successful and long-lasting, certain actions need to be evident (p. 228).

How was the company going to address change? Shortly after the introductory meeting, the company implemented a two-day workshop focusing on change. The agenda addressed topics around the change experience, how to prepare for success, how to create a shared need and shape the vision, how to get employee commitment to make the change(s) last, and how to lead change. I found this encouraging because the agenda seemed to address many of the components that change researchers have identified as potential stumbling blocks. I also saw the workshop as akin to Lewin's first step-unfreezing the company from its past behaviors and opening it up to the new direction the employees were being asked to take, consequently creating a new employee mindset through this training program.

After attending the two-day workshop, this observer began to think about the content of the training. I had noticed the linking of the words change and innovation more often in the news, in magazine articles, and in business books at bookstore as a call to rejuvenate business and to make companies more competitive. I began to think about change and innovation, wondering if innovation was some new fad or panacea in business, or if there was really something more to it. It seemed to be heralded as a magic cure for current business struggles, or some elusive state that companies were striving to get to, as Steve Jobs did with Apple, as 3M did with post-it notes, or as Barnes and Noble with the launch of the Nook- all business breakthroughs. Most of these innovations happened through new technological products. The company has had technological breakthrough products, as well. Some of these came through the company's own R & D and others through company acquisitions where the company had been instrumental in bringing new products full circle, and eventually to the market.

The innovation the CEO was referring to was more than new products and services; he alluded to a new mindset by calling for a change in behavior, and noting how the employees would need to change by conducting business in new ways. This is supported by research done by Dobni (2006) in which he introduces his "innovation blueprint", identifying the environment and behaviors as responsible factors in the innovation experience (p. 330).

The employees began to see how the CEO's charge to innovate might be connected to the change workshops in which they were participating. While reading Lafley and Charan (2008), I was intrigued by their statement that innovation is the game changer in business today, giving companies a "source of sustainable competitive advantage and sustainable growth" (2008, p. 2). They support the tenet that although innovation is risky, once you identify the risks and develop a way to manage the risk, you are on your way to making innovation materialize (2008, p. 8). This seemed to align with the CEO's message.

Doug Collins (2011) explains that companies can change by using the Lean and Six Sigma approaches (p. 46). Lean and Six Sigma methodologies look at process, evaluating each step throughout the change process, measuring the current state and asking what changes must be made to improve the condition, the output, the process, the length of time, etc. Lafley and Charan (2008) would agree with this, acknowledging that embracing change is a discipline, requiring the "power of agility", the ability to adapt and the will to change; all vital in making the difference in determining whether change is successful or not (p. 273).

GE's Jeff Immelt states innovation happens when you "make change in one or more of your innovation drivers" (as cited in Lafley & Charan, 2008, p. 284). An innovation driver would be anything that propels a business to committing to the needed changes to get them from their current state to the next level, which is that new desired state. People may be excited about the idea of innovation, appealing to the pioneer spirit or their creative side; however, the company must not overlook the greater tendency for people to be anxious and reluctant about leaving their comfort zone to make the required changes. The human element, a key change agent and an innovation driver, must be addressed at the onset of any change program. I see the two-day workshop as the company's way to introduce a new mindset into our organization and our corporate culture. With all employees going through this training, a common language and a common set of tools was being introduced, which would allow the employees to operate from one familiar platform. Surely this would help facilitate change.

Langdon Morris (2011) states that there exist four "devious mindset traps" when approaching innovation (p. 53). They are:

1. Focusing too much on the status quo
2. Short term thinking at the expense of long term goals
3. Too many incremental innovations and not enough breakthroughs
4. Ignorance of the impact of change

The fourth item is the primary focus of this paper and my research. How can you get people to embrace change? How do you get them to adopt the change mindset, and when you do get them to agree to embrace change, does it result in innovation?

Statistics show that over seventy percent of all change initiatives fail (Beer and Nohria, 2011, p. 139). Additional studies by Miller (2002) and Higgs & Rowland (2005) also cite the same failure rate. That seems pretty staggering to me. It also tells me that there is room for improvement in how organizations go about making plans for change. Peter Drucker (1995) said, "We are in one of those great historical periods that occur every 200 to 300 years when people don't understand the world anymore, and the past is not sufficient to explain the future" (p. 27). The time for effective leadership has never been more evident or more crucial. Effective leadership helps people face uncertain times bravely (Drucker, 1995, p. 27).

For the purpose of this paper, change is defined as the action or process taken to move the organization from its current state to a desired future state, handling whatever problems are encountered along the way. "Innovation in any area begins when one or more persons perceive that a problem exists, that change is desirable, and that it is possible." (Bennis, Benne, Chin, & Corey, 1976, p. 120). Innovation is defined as the ability to process or change an existing resource, through knowledge or experimentation, bringing the resource to a higher level of value.

METHODOLOGY

My research focuses upon the responses and perceptions of the participants who have attended the company's two-day workshop. I focused on some of the more recent attendees, hoping that the two-day training would be fresh in their minds. I also knew that they have not been already contacted by the internal change staff for follow-up regarding the participants' reactions to the workshop, the content of the workshop, the tools provided during the workshop, etc.

I contacted the director of the change program to ask for permission to analyze possible change initiatives, as seen through this workshop effort, to measure results and potential for change impact upon innovation. I wanted to know if they had gathered any metrics yet, and inquired as to how many people had already been through the program.

To date, over nine hundred people have already attended the change workshop during this fiscal year. The goal is to have all company employees complete this change workshop by the end of this fiscal year (April, 2012). These workshops are being conducted around the globe at all company office locations. Quantitative data was collected measuring participants' reactions to the change workshop and their feelings around change. Qualitative data was comprised of participants' survey responses evaluating the information around the workshop itself, the new change tools, and participants' perceptions and/or analysis of the change program's benefits or shortcomings.

I asked the change staff if they had any idea how many people were using the change tools provided; they indicated they knew only from those that had reached out to them for assistance with change initiatives. Members of the change training staff were used as inside change experts or consultants to help the teams look at their change efforts. The director of the change program provided a list of recent workshop attendees. This group was my sample population (forty three participants) for this paper.

An email of introduction was sent by the director to these participants. She introduced me as working in collaboration with their team, described the nature of my research, and asked that they offer assistance by responding when they were contacted. I followed this up with my email introduction and attached the change survey. (See Appendix C, p. 43 and Appendix D, p. 44)

The survey asked general questions regarding why participants felt the company was conducting change workshops and what their personal feelings were about change. I then asked them to identify which change tools they were using, what change they were trying to accomplish, and what the focus of their change initiative was. I asked them to briefly summarize their results. I ended by asking if they felt the changes made were sustainable or innovative and on what they based that opinion. If they did not feel it had been innovative, I wanted to know whether they felt there was more change to come with their project, and if they felt it might lead to innovation later.

The completed questionnaires were returned to me, with the understanding that this was a preliminary first step. The next step was to participate in either a focus group with a complimentary lunch or a personal interview.[1]

For those who did not respond to the initial survey, a follow-up inquiry was made. A few agreed to a phone consultation, which gave me an opportunity to obtain the survey information in another way. After reviewing the survey results, I then invited all to participate in a sixty minute focus group luncheon.

The focus group was used to probe further the participants' comfort level throughout the change process. (See Appendix E, p. 46) Attendees were asked to share their thoughts about the change workshop, to explain what worked and what was not beneficial, to give their response to the tools provided, and to share what results they experienced in using those tools. Participants were also asked if they felt the change was meaningful and sustainable, and if they felt the change had led to innovation. Finally, the participants were asked to provide feedback on the tools and the two-day workshop and to provide recommendations to the change leaders within the organization.

LEADERSHIP THEORY

Change is a serious undertaking for any company. Our CEO stated that the company must be more innovative to maintain market share, to be more profitable and to be more competitive. This could be seen as a strategic

[1] This option was made for either an in person interview or an interview via phone, based upon their personal work schedule.

realignment for the future of the company, but it could also be his way to transform the company, by attempting to encourage employees to support any of the necessary changes that will lead us to innovation by establishing our own innovation blueprint.

Johnson and Scholes (2002) claim strategic leadership focuses on development of strategy acknowledging that change is a critical element (p. 38). If, however the CEO moves from managing the change to leading the change, then the leadership style would be more transformational in nature (Kanter, 1991).

Transformational leaders help employees to accept change by providing situational cues (Oreg & Berson, 2011, p.636). Our CEO acknowledged our company's past achievements and its excellent history, but said we need more if we are to continue to build on that history. Leaders need to appeal to their followers and encourage them to work toward the new vision (Herold, Fedor, Caldwell, & Liu, 2008, p. 347). Our CEO was doing just that-appealing to what we could be by changing how we look at business and how we accomplish our work.

Shogren (1999) says that transformational leaders help their organizations to face change with optimism and the conviction they can accomplish the change necessary to thrive. He contends that adopting a change mindset means moving from an either-or focus to an and-also approach (p. 8). Organizations must change their vision by empowering staff and supporting change through teamwork (p. 329). He says change is possible but "only if your attitude about change is right-that it's a way of life and not a major threat or even a minor inconvenience" (p. 375).

Shogren encourages organizations to recognize that companies that master change also tend to master the art of participation (p. 282). Companies should seek to energize their employees through emphasizing participation and encouraging collaborative efforts, such as a task force, to approach changes. Quong & Walker (2010) agree and challenge leaders to "do the next right thing" with regard to their organizations (p. 33). The new CEO presented the employees with the only logical next step, initiating change and look to innovate or face possible extinction.

Using the strategic leadership model, the CEO is asking us to change. The concept of change is the strategy, the plan to get us from the current state of our business to a better future state. The vision is that we will evolve to being more adaptable and more receptive to change. I believe this also acknowledges that change must be an essential part our new company DNA.

LITERATURE REVIEW

I have found a plethora of literature on change, change management and change capacity, as well as on change as it relates to innovation. While there is much overlap in basic concepts, and much agreement on the need to get employee buy-in, questions still remain as to what is the right amount of time to be spent on the psychological and emotional preparation in order to make change successful and sustainable into the future. Leaders look to "innovation, change, and creativity . . . to strengthen the organization, but many people view change only as painful and disruptive" (Daft, 2008, p. 470). How should companies prepare for change? Although much research has already been done on this, there still appears to be no one best answer.

Kurt Lewin introduced a three-step model that addressed key components that he feels are essential in order to obtain successful change within an organization. (See Appendix F, p. 48) Lewin believes that education is an important foundation to facilitate understanding and to support the plans for change (Burnes, 2004, p. 981). He developed his three-step model of change to provide the methodology to get people engaged in the change process working on the new behaviors needed to not only make the change happen, but to make the change sustainable (Burnes, p. 983).

The first step of Lewin's approach is called unfreezing. Lewin believed that you had to discard all of the old behaviors, or basically unlearn them, abandoning the status quo to create a new environment. Giving people permission to move on makes sense to me. Leaders must help their staff to say goodbye to the old way of doing things (Demers, Forrer, Leibowitz, & Cahill, 1996, p. 23).

Lewin identified the importance of working on the psychological framework to prepare people for the transformation process that was about to begin. Unfreezing was meant to be cathartic, not only removing the old but deliberately providing the foundation for the new behavior (Lewin, 1951, p. 229).

The second step is called mobilization, supporting them while getting them through the transition to the new desired state. The mobilization step creates the motivation, establishes the need (the why), encourages employees to learn the new behavior, and calls for a reward system to make the change sustainable (Burnes, 2004, p. 995). Lewin feels that motivation alone does not lead to the change, but when linked with new behavior, it helps lay the foundation of effective group adoption endorsing the need for the change (Lewin, 1951, p.233).

Finally, in step three, Lewin introduces a refreezing step. Once the new behaviors have been learned, are operational and have reached a stable state, refreezing occurs to cement the new behaviors and to ensure the change will be long term. The emphasis in each step is more on the social and psychological approach needed, to get employee support and to make the new behaviors the new status quo, making the change effective and lasting. This establishes the new mindset, anchoring it into place (Carter, 2008, p. 20). I believe that the change workshop started this process within the company.

John Kotter (1996) took the change process to another level by focusing upon the employee and how they react to the change process. He talked to leaders about what they need to do to avoid resistance and to help the organization embrace the changes they were trying to implement. (See Appendix G, p. 50)

The new CEO did address the need for change in his introductory message. Kotter calls this situation creating a sense of urgency and providing a vision (Kotter, 1996, p. 36). Peter Senge refers to urgency as the force that drives you to make the needed changes. Stephen Covey (1991) referred to this as principle-centered, or an inside-out approach, a sort of ethical compass (p. 312). In all three cases, the creating a visual image or model was the key element (Senge-Carstedt, 2001, p. 29). Without a clear vision statement, the organization will not know when they have arrived at the destination or when they can celebrate the accomplishment. The vision helps to reduce the uncertainty and looks to capture endorsement of the organization (Oreg & Berson, 2011, p. 634).

Once a leader has communicated the change, they then have to provide a detailed plan of action which provides the strategy to get from the current state to the new reality (Beckhard 1969; Hammel & Champy, 1999; Higgs & Rowland, 2005, p. 122). The plan becomes the company road map, a shared framework to keep everyone moving in the same direction (Covey, 1991). I believe providing the common vocabulary and the tools presented in the two-day workshop is an attempt to get everyone doing the same thing-speaking the same language to facilitate more effective collaboration.

Carter (2008) goes one step further by saying that leaders not only identify what they intend to do, but they also need to identify those things that employees should not do (p. 20). Jim Collins (2001) supports this concept in his research. I think clear guidelines, what is in scope and out of scope, is beneficial so that the organization is not distracted or pulled away from the plan. When making changes, the focus must be precise. Without a clear plan or the dedication to stick to the plan, the vision is merely a dream waiting to become the new reality.

Change is about feelings, so if companies want employees to buy into the change, "they need to create what isn't", according to Goss, Pascale, and Athos

(1998, p. 85). Leaders need to remember that employees do not all think and act in the same manner to change-they learn by doing (Duck, 1998, p. 56).

Koestenbaum (2002) outlines a plan whereby the organization shows its support, acknowledges the feelings of its employees, and shows how the change(s) can create a new way of doing business. He pinpoints roadblocks, such as allowing time for change to happen and cautions organizational leaders to exercise patience, stating that sustainable change happens gradually, not overnight. Leaders must be resigned to connecting the results with the hearts and emotions of their staff (p. 177). Since many of us learn by doing, it is important to acknowledge that taking risks to make change takes courage. Change causes anxiety, which creates disorganization and causes confusion (p. 143). Koestenbaum (2002) cautions that when leaders call for change, they must be prepared for the resistance that will likely result (p. 24).

Don Klein said "human beings have a predilection both to seek change and to reject it" (Bennis, Benne, Chin, & Corey, 1976, p. 117). Resistance comes by not releasing the company from the previous state, by not preparing them mentally to move on, to let go of the past and move forward. This was Lewin's first step, the process of unfreezing. After communicating the plan, leaders should first plan to increase the employee's knowledge base before attempting to make further changes (Johannessen, Olsen, & Olaisen, 1997, p. 98). Leaders need to allow time for learning and time to assimilate the new vision (Swanson, 2010, p. 20). Peter Drucker argued that employees need to have a variety of change processes or tools from which they can select. As human beings, we like to have the ability to choose what we believe we can use to achieve successful results. Armenakis, Harris, and Mossholder (1993) encourage organizations to create readiness for change (p. 681). Gill (2003) says empowerment comes when organizations provide the knowledge, skills and resources that will be needed to make change happen (p. 315).

This could be why the company is conducting the change workshops. It provides an assortment of tools to help teams work through the steps of the change process. The two-day workshop supports the idea of training and learning a new knowledge foundation. For those teams that have participated in the workshop already, they can begin to use the tools right away, and others will receive training throughout the remainder of the year.

Miller (2002) cautions that employees need to be ready to change, even though there is little evidence that training alone will make people more adaptable to change (Bennis, Benne, Chin, & Corey, 1976, p. 117). Good leaders try to motivate their teams. Kotter suggests creating short term wins as a reminder that the journey comes in baby steps. Celebrating along the way reminds us that we can change successfully, one step at a time. By acknowledging the short term gains, the company gains the hearts and minds of their team (Duck, 1993, p. 109). Rosenfeld (2008) states that companies need innovation like plants need water (p. 13). He claims this is accepted as essential to organizational survival, but it does not help explain why companies still have so much trouble making the innovation leap. If over seventy percent of all change efforts fail, this tells me that there is still something missing.

Is change just the beginning of this formula? Do we need to go a step further and look at empowerment of employees to make the decisions to affect change? Or should we be teaching our work teams about design thinking and problem solving so that they can approach challenges from alternate perspectives to get to a new way of thinking? Hammer & Champy (1993) identify patterns of actions that will lead to success. They refer to "re-engineering" as a manner in which companies can create radical change by starting over (p. 31). The new change tools and practicing new change efforts will provide the opportunity to make people more comfortable with change and more alert to what happens when change occurs, eventually creating an awareness of patterns of behavior. Although it is too soon to tell, it could be that our company is beginning its own re-engineering process.

E. Burton Swanson (2010) cautions organizations to make sure they provide clear a vision supporting the business case before moving forward to implement any change (p. 20). In the case of my company, we were told why, but no specific vision has been communicated. I have the following questions in this regard:

1. People are attending change training, but are they taking the message to heart, adopting the need for change?
2. Change takes time. With more limited staff resources, a greater number of competing projects and deadlines, how will people find the time to work with the new tools, to create the change desired? They may have an idea for change, but will they be able to get the time to work on it?
3. The change tools we were given addressed large project initiatives. How adaptable will these tools be for smaller scale efforts?
4. If it is taking one year to complete training of all company employees, what comes next? If the information has not been used, how will they revisit the material to get implementation under way?

5. In order to anchor or freeze the change behavior, what follow-up activities will the company have to help support and reinforce the workshop?

Change will be important to the new direction the company takes. The employees are serious about getting on board because they too understand that change is important to the company's future and to their employment. The availability of resources to implement change and the downsized workforce may hinder how effectively change can be implemented, or it might help the company to become a lean machine, better equipped and able to operate more efficiently. Only time will tell.

The literature acknowledges that change does not come easily. It builds a case to support the idea of training (like that in the change workshops), the need for common language, common tools, and support throughout the organization. It also acknowledges that the company needs to be realistic regarding possible resistance from employees. Teams need to listen, be patient, and work through issues in order to obtain best results. Finally, in order to make the change workshops effective, and long-lasting, there needs to be a shift in the overall corporate culture to continue to nurture and support the process of change at levels of the company.

FINDINGS

The literature intrigued me and created the foundation for my research around employees' reactions to the change workshop. In order to obtain the data, surveys were emailed out to the workshop participants. Some responded right away, but others did not. A reminder email was sent to encourage people to respond. During follow up contact with the non-responders, some admitted they would like to help, but really did not have the time to participate at this time. Others responded saying they attended the workshop, but because they had not used the tools, they had nothing to contribute. Some indicated that it was too soon to have any results to share.

Survey results received from the most recent workshop attendees polled, my sample group, provided an array of responses. (See Appendix D, p. 44, for a table of the results.) While the shortest length of service was only four and a half months and the longest was twenty-three years, the average length of service from those responding to the survey was six and a half to seven years of service within the organization, and most were not working in any supervisory capacity or overseeing a work group.

When the sample group was asked how they felt about the idea of change, some respondents indicated emotions ranging from indifference to fear of change, while others were excited about change and the opportunities it could bring. Fear and resistance are considered common or natural reactions when being introduced to something new. Those that were excited about change indicated they felt the company had to change, that change was inevitable, and some even went so far as to indicate that change was needed to move forward in being competitive and to be able to obtain an advantage over competitors. Of those that indicated they felt the company had to change, a couple even responded that they felt the company was slow to respond in this regard and that change should have come earlier.

When the respondents were asked why they believe the company had initiated the change workshops, the responses varied from the fact that change is inevitable, but also included such factors as what the respondent felt the change workshop would do for the company. Some felt the company was using the change workshop to provide a common language or methodology that would create common ground across the business for tackling future projects and possible issues that would be encountered. This was viewed as important for building collaboration to achieve more effective end results throughout the organization. Another respondent commented that with common practices, the different business groups could then begin to operate more as one unified company. Acknowledgment of past layoffs was also cited as evidence that change was necessary to help drive the new strategy and to be more successful.

Many of the respondents indicated a desire for the company to be better situated at acknowledging and mitigating the changes necessary to thrive and be profitable. Despite the concern for possible resistance, fear and negativity, many respondents indicated they felt the change workshops would help position the company to drive acceptance of change, and help employees to adopt changes needed to thrive and be profitable. One respondent identified change as creating value, and also added that companies not addressing the psychological side were doomed to failure.

Acknowledging how the respondents felt about change, I then inquired about how they felt about the content of the change workshop itself. During the two day workshop, participants are introduced to an assortment of change tools.

(See Appendix H, P. 51, for samples of the tools described.) Throughout the two days, participants are divided into groups in which they are given tasks to try out the new tools while collaborating with members of their new team.[2]

In the company training materials, attendees are instructed to acknowledge that in order to lead change the following actions will need to happen within the organization: [3]

1. Create a shared need – We all have to be on the same road and have the same goal in mind.
2. Shape a vision – We need to know what the future will look like.
3. Mobilize the commitment – We need to know how we are going to make the change happen.
4. Make change last – We need to know that the change is sustainable.
5. Monitor progress – We need to watch and regroup as needed to stay on track.

The philosophy is that by working through these phases, the company would move from its current state (while not dire, could be viewed as stagnant and possibly in jeopardy of future layoffs if changes aren't made), transitioning to an improved state as a result of the changes made. Although a few of the respondents had not had an opportunity to put any of the new tools to work outside of the workshop forum, they knew they would use the tools because they appeared easy to implement. They also indicated that the tools would provide structure to what they were trying to accomplish.

[2] The participants are not always from the same business group within the company. I thought this was beneficial. Innovation often happens through collaboration across business groups, not solely within one's own business group. I think that this cross-pollination during the training is more desirable and would introduce or at least encourage collaborative efforts when considering change efforts.

[3] Since these materials are company proprietary and confidential, no citation can be provided.

Of those that had used the tools, even if they did not identify the same tool as their tool of choice to address change within their business group, they offered similar reasons for the tool chosen to affect the change. Each indicated that the accessibility to tools would allow their group to prepare for and implement desired changes within their respective work teams more effectively.

One of the tools mentioned was the *four-part elevator speech*. Similar to the personal elevator speech people use to describe their own talents or work position, the elevator speech is brief and only one and a half to two minutes in length. The elevator speech states why there is a need for the change, creates a picture of the future vision to rally support from others in the organization, and concludes by summarizing what is needed from others within the organization to make the project successful. Although this appears to be very simple, the elevator speech is useful in providing clarity for the team members and for members across the organization. It was highly recommended that the elevator speech is rehearsed with other members within the team, including rehearsal of possible questions they might encounter so they were more confident and prepared to support their position.

The *fist of five* tool was one tool identified as important in the decision making process within a work team. The project team must assess the level of consensus amongst their team members. (Consensus is defined as showing agreement to proceed, despite the fact that reservations may have been acknowledged.) Each member of the group is asked to state how they feel about the change(s). Once all have had a chance to ask their questions and to state their position, team members cast their vote for the project. The vote is done by showing their hand, anything from an open hand (showing all five fingers), indicating they are all for the action to be taken, to a fist if they are totally opposed. This is a simple visual that helps to measure the level of acceptance within the group. This does not mean that all will be in agreement, but does allow for reservations to be expressed and acknowledged by the team.

The one tool that was mentioned most often was the *stakeholder analysis*. This exercise asks the team to plot where they are as a group, and where they hope to end up. They are asked to identify people or groups that could be involved or impacted by the change and where they believe that group will stand on the changes being asked for. They specify who from the team will handle approaching the stakeholder, what action will be required, and when the action will take place. (Interestingly enough, Lewin addressed this in his force field analysis. See Appendix F, p. 48, for a sample of Lewin's force field analysis.)

Some within the sample group felt the *stakeholder analysis* exercise was often overlooked when implementing projects, adding that not all parties affected were identified up front, causing potential gaps and problems as projects got under way. I have personally observed this within my own business group. These gaps causes confusion, creates undue stress, and often incurs added expense by not planning appropriately during the planning phase of a project.

Setting up for success a similar exercise that defines the roles of the participants, identifies the sponsor, a resource that can support the project and would be able to remove roadblocks that may occur, a day-to-day leader to act as the liaison between the team and the sponsor, and a coach to guide members of the team throughout the course of the project. Also identified was the benefit of creating a team charter outlining requirements, defining boundaries for the team, explaining deliverables, milestones and timelines, and establishing how progress will be measured throughout the project.

The *more of, less of* exercise asks the team to identify their goal in a vision statement which states what the team wants to accomplish and the date or deadline they plan to accomplish the work by. Beneath their vision statement, the team lists those behaviors needed to move the team toward completing their goal, in addition to those actions or behaviors they feel would be viewed as distractions preventing them from being successful in meeting their goal. Participants viewed this as an important activity because it allowed the team to talk about their day-to-day activities and that it was instrumental in uncovering levels of resistance up front. Someone also suggested that they looked at the project and listed "What will change" and "What will not change", instead of using the more of, less of terminology.

Some of the concepts and tools overlap. One respondent expressed being overwhelmed by the number of tools available, yet others stated an appreciation for having an assortment of tools to choose from and liked that they were easily adaptable to any project. Although there are many more tools than those identified here, it seems evident that each tool was selected to meet needs of the individual groups or projects on which they were working.

At the end of the workshop, all attendees were given a small pamphlet outlining the individual tools, a handy reference guide to the change toolbox, and an online link to templates of the forms for each of those tools, adaptable for their project planning purposes. I found this beneficial, making the tools readily available and encouraging employees to use them.

For those that had used the tools, they were invited to participate in a focus group in which further discussions were planned around their feelings about change, the content of the change workshop, the possibility of innovation, and their feelings around future change implementations in the company. Finally, I wanted to explore the notion of innovation, the respondent's perception of innovation, and where they felt employees fit into the innovation landscape within the company.

During the focus group, I asked the attendees if they felt the change workshop had altered how they felt about change. Some seemed surprised at what they learned about change and that it could be a positive approach to conducting business. Others commented they had not realized how much energy making changes requires. Most were in agreement that there needs to be more socialization around using the change tools. Participants felt it would be challenging to mobilize employees around the commitment to work on sustainability of change efforts if there was not more beyond the workshop itself. They also agreed that people would miss out on experiencing the added value that could result from making changes.

When asked about the tools themselves, most responded that they had used the tools during class, or continued to use the same tools they began using in class. When polled, the consensus was that the tools were geared to larger project management tasks, and did not apply well to smaller tasks. I would disagree with that. I think the focus was more on large scale projects because they could be more effective, but the *stakeholder analysis* could easily be used for smaller tasks, *fist of five* could definitely be used even in team meetings, so adaptability is there, if one wants to use the tools on a smaller scale.

Most of the focus group attendees heralded the change workshop as implemental in creating a new foundation, the common language and approach, to new projects. It was noted that when working with teams, especially those across business groups, a common language and approach would be not only useful but instrumental in effectively communicating with other business groups. It was mentioned that senior management should attend the change workshop before their direct report counterparts. One example of a situation shared was an instance where a senior manager (someone that had not attended the change workshop) pulled back, exhibiting resistance to an approach using the new change tools, so others in the group followed the senior manager's lead. Here is a case where this manager could have led by example to reinforce the use of the change tools, but since he had not been to the workshop, he was not prepared to implement the use of the new tools. Change will need to occur throughout all levels of the organization.

A comment was made that research supports the idea that companies that are adept at change tend to become more innovative. When this was presented to the focus group, participants were invited to make comment on this as it might relate to our company. Could the change workshop enable our company to be effective change masters and thus become more innovative? Participants felt the workshop could have the potential to create an awareness of the importance of change and that people might be more receptive to change. Some stated that the company was more conservative, that they tend to play it safe, and that they would need to be willing to take more risk moving forward. Some felt that, over time, change could open the door to innovative results. It was believed that both sustainability of the new change skills and time would be necessary in order to see if innovation resulted.

MY PLAN

The survey and the focus group feedback made it clear that although the change workshops appear to have been well received, there is still much work to be done. It will take more than the two-day workshop to get the company effectively working on change to provide results that will move us to a new innovation mindset.

There needs to be more communication about the change workshop - what it is, and why it is important for the new direction of the company. When I have spoken with random employees, some did not know the workshops were even going on, still others were unaware that this was a company-wide effort. The awareness of change and establishing the importance around change within our organization reinforces our CEO's message- innovation occurs when you have a problem, and the solution you come up with provides a value proposition for your customer.

The chart below summarizes my proposals to support and reinforce change implementation and to promote sustainability of this program throughout the organization.

Activity	**Description**
Communicate about Change Activities	Highlight change activities in the weekly newsletter; Add comments from the workshop attendees; Announce discoveries made during the workshop.
Social Intranet - Bulletin Board	Create a Change website (a bulletin board) where employees can introduce and share ideas across various businesses within the organization.
Lunch and Learn Forum	Conduct a quarterly Lunch and Learn forum to allow sharing of change projects and to socialize around the change activities within the company.
Conduct a "Change Exchange"	Have an internal exhibit for groups to share / advertise how they are using change to build change agility and inspire innovation.

I believe there should be a step in every project plan that documents that a *stakeholder analysis* has been completed. The *stakeholder analysis* is an exercise which identifies participants and resources needed for the project to be successful, and the level of involvement needed, including timelines on those deliverables. The analysis includes potential problems and suggested solutions. Our current review process utilizes a conference call to introduce and discuss projects, identifying and requesting where they will need help. This is the perfect place to present the initial *stakeholder analysis* data.

With regard to the socialization process, we could do more with a lunch and learn approach (similar to the focus group format). This would help get employees to adopt the new change mindset, share what they have tried, what they learned and what end results they experienced. This will be important to support the new change behaviors and to reinforce actions taken to make change happen.

More could be done on a competitive level. The company seems to enjoy competitive team events for fundraiser events; so the company could encourage employees to offer clever ways to share the change ideas they have implemented. There could be an annual Change or Innovation Exhibit allowing teams to share the best or the most successful of their change efforts.

The local newsletter might share a link to a short video around a novel change effort, a snippet sharing that project. This would be a great way to advertise the team and what they do within the company. Teams could submit their ideas each quarter, and a change committee could decide what they feel best represents the change, or the most innovative idea. By turning to a creative mindset, people might begin to look for opportunities and begin to think differently about change.

The change masters within the company need to make better use of the internal social website utilizing this for a change discussion group, or a bulletin board, where the employees can share their change experiences with the remainder of the organization. Each example becomes a valuable nugget, a potential catalyst, motivating the launch of another change idea. The company can only move forward if the employees all become invested in the change movement. Chip and Dan Heath (2010) say that you have to look for the bright spots within your organization, script the moves needed to move the organization ahead, point toward the destination, and then rally the herd to make the *switch* happen. The company will need more than the workshop to continue to build the habits necessary to make change effective and sustainable.

IMPLEMENTATION AND EVALUATION

When I shared my survey findings with the change team, and offered my recommendations, the change team indicated they wanted to create a website, but did not have the time to move forward with that project at this time. I will be working to get this set up and to get a discussion board launched.

I will use the local newsletter to announce the change discussion board and reach out to those that have attended the change workshops to share their change success stories. I will personally network internally to get groups to post their change accomplishments so others will be able to learn from their accomplishments.

The participants in my focus group indicated an interest in having a quarterly "*lunch and learn*" approach. "*Lunch and learn*" is one company practice often used to learn and socialize around a select topic over the lunch hour. I would like to use this to feature one team or project each quarter that has a change success story to share. Business is built on results, so we need to share the results we get from our change efforts. I think that this will facilitate discussion around change initiatives and encourage others to seek change as a positive action versus as a threat or negative situation.

All of this is so new, that is not clear whether the results of the change workshop will be sustainable or not. I think we are on the right road. The company is behind the change initiative and the people seem to be more in favor of the changes than against them. If attitude is half the battle, then we should be on our way not only to making the necessary changes, but to make those changes effective and lasting.

FURTHER STEPS

The focus group participants are only a sampling of the employees across the organization; however, they voiced some of the same concerns I presented earlier in this paper. Having the common language established from the workshops will be an asset, and will provide a frame of reference by which we can hold each other accountable for participating in, and supporting the changes that we face to grow our company to the next level. It will be imperative that we encourage each other to adopt change strategies and help each other to reach these new milestones. Only by changing our behaviors will we be able to bridge the gap from past success to future success and possible innovation.

After presenting my research to the change masters that conduct the change workshops, they invited me to share the results with other colleagues who conduct the change workshops. I hope to share with them what I have learned through my research. I will present my suggestions in hopes that they will find value in the information and that they will be supportive of the suggestions at their respective locations.

CONCLUSIONS

Although change may vary from one organization to another, based upon the personalities, the organizational climate, and the leadership, it will be leadership that will need to be prepared to do whatever it takes, to be supportive, to acknowledge apprehensions and to address questions as they come up throughout the change process. They must be prepared to have fluid timelines, knowing that they cannot push ahead until they know they have the support of all involved and at each level of the organization. They must also be forthright in acknowledging that if they have people that just cannot get on the bus, as Jim Collins would say, then maybe they need to move people to another position, or allow them to move to another company.

With significantly smaller work teams, fewer resources and a greater number of competing demands, I wonder how employees are supposed to devote time to invest in change and to seek implementation of innovation. I think there needs to be a greater emphasis on the leader within each employee. They may not be a department head, a project lead, or anyone that might have a traditional leadership title. The company will need to empower all employees to be good decision makers and to act like owners of the business, vested in what happens. Once they truly own the change, and are given permission to act on it, only then will they become the change agent the company needs them to be. Leaders will emerge from the ranks to share their ideas. We must be committed to working with each other, sharing what we know, providing cross-training, and mentoring one another to move forward.

Laurin and Morningstar (2009) identified that the "leaders must execute business strategies through others" (p. 111). People need to learn to lead from wherever they are within the organization. We will all need to adopt the concept of supporting people around us so success can happen. How much better could it be to show alignment than to be supportive of those around us, moving us all forward, in the same direction, toward the same goal?

Koestenbaum, sees capitalism as "growth through innovation", so if companies are to grow, and to be profitable, they will need to innovate (2002, p. 171). In order to innovate, as the CEO has challenged us to do, we must be willing to make whatever changes are needed. To be effective change agents, we will need to take risks and move outside of our comfort zones. Only by practicing change will we become more adept, more nimble, more effective at creating our new change mindset, and maybe if we develop that change agility, we will become more innovative in the process. My change plan, outlined earlier, will be proposed to the change team, and implementations made where feasible.

The question remains. Have we been able to lead change to catalyze innovation? Based upon what I learned from the respondents in my sample group, if they are representative of the company staff, we have not reached that point yet. I am encouraged that the response was more positive than I anticipated it would be. The goal now is to finish the change workshops and move forward with daily activities to support and build that new change mindset. With time, I believe innovation is possible, but only time will bear out the true results.

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Appendix A: IRB Application

AUGSBURG COLLEGE INSTITUTIONAL REVIEW BOARD APPLICATION

DO NOT attempt to complete this application without consulting the instructions located on the IRB website. NEVER complete an application downloaded from a previous year.

1. PROJECT TITLE : CAN LEADING CHANGE CATALYZE INNOVATION IN THE WORKPLACE?

2. REVIEW CATEGORY

☐ Full review

☐ Expedited Review

☒ Exempt Review

3. Research Investigator Information

Principal Investigator: Rebecca Smithwick
Address:
Telephone number:763-526-9504
Campus Box:
Augsburg e-mail address:smithwic@augsburg.edu

Co-investigator(s) name:
☒ Not applicable

Are any of the co-investigators affiliated with a non-academic institution? ☐ Yes ☒ No
If yes, identify the co-investigator(s):
☐I have submitted a signed Non-Academic Institution Affiliated Co-investigator Confidentiality Agreement

Institution:
Address:
Telephone number:
e-mail address:

Do you plan to use a research assistant(s) to collect or analyze data? ☐ Yes ☒ No
If yes, provide the research assistant's contact information
Name:
Telephone number:
Augsburg e-mail address:

☐ I have submitted a signed Research Assistant Confidentiality Agreement

If the principle investigator is a student
☐ Undergraduate Research
☒ Graduate Research
Indicate the degree program:Master's of Leadership

Advisor's name:Dr. Norma Noonan
Address:2211 Riverside Avenue, Mineapolis, MN 55454
Department:MAL
Telephone number:612-330-1198
Augsburg e-mail address:noonan@augsburg.edu

4. Funding

☒ No external or internal funding for this project will be obtained
☐ Project will be submitted to the following external or internal funding agency:
☐ Project has been submitted to the following external or internal funding agency:
Funding decision
☐ is pending
☐ has been awarded
Agency-assigned grant number:
☐Not applicable

5. Other Needed Reviews

Is this research subject to review by another internal committee of the College? ☐ Yes ☒ No
If yes, indicate the committee and the reason for the review:
Status of review
☐ Approved
☐I have submitted a copy of the approval letter
☐ Submission pending
☐ Under review

If submission pending or under review explain why you needed to submit the Augsburg IRB application before approval was obtained:

Is this research subject to review by any other Institutional Review Board? ☐Yes ☒ No
If yes, identify location of other IRB and the reason for the review:
Status of review
☐ Approved
☐I have submitted a copy of the approval letter
☐ Submission pending
☐ Under review

If submission pending or under review explain why you needed to submit the Augsburg IRB application before approval was obtained:

Is this research subject to review by a committee at an agency/organization? ☐ Yes ☒ No
If yes, identify the agency/organization committee and the reason for the review:
Status of review
☐ Approved
☐I have submitted a copy of the approval letter
☐ Submission pending
☐ Under review

If submission pending or under review explain why you needed to submit the Augsburg IRB application before approval was obtained:

6. Research Question/Hypothesis and Purpose

Describe your research question/hypothesis in lay language, provide the justification for the research, and how it fits with previous research in the field:
Question: Can leading Change Catalyze Innovation in the Workplace?

Justification: The company is in the process of putting all employees through a change acceleration program, a two-day workshop, in hopes that it will lead to innovation that will give the company a new competitive advantage. Only employees that have completed the change program will be approached to participate in this study.

Only employees those that have used the change tools will be invited to participate in a focus group to gather further data on change and innovation. The focus group will given a list of questions as it relates to change, to the tools introduced during the workshop, the results obtained by the changes they have attempted, and whether the change led to innovation or not.

For those that have not used the change tools yet, I will ask why they have not used the tools yet. I suspect lack of time, lack of opportunity, or overriding personal feelings, such fear of change or no support to attempt change efforts, will come into play.

Previous Research: Previous research by Beer and Nohria (1998), Miller (2002) and Higgs & Rowland (2005) indicates that over 70% of all change programs fail. I find this staggering. The company's commitment to have all employees take change training, while commendable, may not be worthwhile. My goal is to see how to encourage change amongst my colleagues.

By looking at case studies on change efforts, I hope to gain more insight on how other company change programs evolved, and of those that were successful change advocates, what do they attribute that successful change to, and what barriers did they encounter. I am especially interested in their suggestions regarding game plan or strategy to execute successful, and sustainable, change.

I believe that change will not always lead to innovation, but I am also convinced that innovation cannot happen without effective change having been made. I think the idea of training staff to be comfortable with change, how to be successful at approaching change efforts, and taking advantage of the ability or opportunity for innovation will be beneficial, and may well happen as a result of change evolution. I believe the change workshop is only the first step, however, a launching pad of sorts. I think that there needs to be more in order to make this effective and sustainable. Innovation will come through change agility and lots of trial and error.

7. METHODOLOGY

This section is about the methodology you will be using in your study

☒ My methodology involves analyzing existing data, records, or specimens.
Explain the source and its location:Employees that have participated in company training.
☒I have submitted an approval letter granting me access to the source
(If sole method, skip to question #15)

☐ My methodology involves observation of public behavior
Describe who will be observed, what behavior is being observed, and where the observations will occur:
(If sole method, skip to question #15)

Describe in detail your methodology including information about potential subjects, procedures used to collect data, and the time commitment required to participate:An email will be sent to ask a select group of attendees, people known to have completed the change program. A survey will be included asking them about their feelings and perceptions about change, what they thought of the change workshop, and if they are using the change tools. If they are using the tools, they will be invited to participate in a one-hour focus group (complimentary lunch provided) to talk more about which tools they have used, how they have used the tools, what they have attempted to change (or are in the process of doing), what the outcome was (or is anticipated to be), and whether or not this has led to innovation. If it has led to innovation,I would like to know if they feel the change(s) made was responsible for innovation at all, was a catalyst.

If not, I am going to ask if they feel innovation may materialize at a future date. For all participants, I would like to know whether they will continue to use the change tools provided moving forward, and whether or not they found the tools to be beneficial.

I suspect that the program is still so new that there may not be much happening with the tools yet, but I do want their perceptions and feelings about why the company is promoting this program and how they feel about cahnge in general.

Indicate the maximum number of subjects who may participate in your study:I am not sure how many participants I will have at this time. I would like to have at least 25-50 participants. (Over 700 employees have completed this program, but I will not contact anyone the company has already contacted about the change program, so as not to annoy/overburden the same people.)

Is the research conducted in an educational setting? ☐ Yes ☒ No
If yes, is the research conducted during class time? ☐Yes ☐No

If no, indicate where and when the research will be conducted:
If yes, describe in detail the activity for non-subjects and indicate who will be supervising them:

Is there any part of the study that all students will need to do even if they chose not participate in the study? ☐Yes ☒ No
If yes, explain the specifics and the accommodations for the students who choose not to participate in the study:

If needed, provide additional information relevant to your methodology:

8. Materials

I will be using the following tools to record data
- ☒ Audio recording
- ☐ Video recording
- ☒ Written notes
- ☒ Computers
- ☒ Paper and pencil measures
- ☐ Photographs
- ☐ Drawings
- ☐ Other, specify:

☒ My research methodology utilizes interviews/focus groups
- ☒ I have submitted the initial interview questions with the understanding that additional questions may be asked based on subject responses to these initial questions

☒ My research methodology utilizes a survey
- ☒ I have submitted a copy of the survey(s)

Did you create the survey(s)? ☒Yes ☐No
If no, do you have permission to use the survey(s)? ☐ Yes ☐No
☐ If yes, I have submitted the approval letter giving me permission to use the survey
If no, explain why approval is not needed:

☐ My research methodology is experimental
- ☐ I have submitted a copy of all experimental tests/response sheets/dependent measures, etc.

If needed, provide additional information relevant to your materials:

9. Subject Description and Identification

Check any of the special populations you are targeting in your study
- ☐ Minors (under age 18)
- ☐ College students
- ☐ Pregnant women
- ☐ HIV/AIDS patients
- ☐ Economically disadvantaged
- ☐ Educationally disadvantaged
- ☐ Hospital patients or outpatients
- ☐ Elderly/aged persons (over age 65)
- ☐ Minority groups
- ☐ Hospital inpatients or outpatients
- ☐ Prisoners
- ☐ Cognitively impaired persons
- ☐ Non-English speakers
- ☐ Other special characteristics, specify:

Provide your rationale for purposefully targeting any of the above populations:

I anticipate a sample of gender, race, or ethnicity that is not proportionate to the general population ☐ Yes ☐ No
If yes, explain why:

This research is being conducted with the cooperation of an agency/organization(s) ☒Yes ☐No
If yes, answer the following questions:

Identify the agency/organization(s):Employer

I am identifying potential subjects based on private records "owned" by the agency/organization(s) ☐Yes ☒No
☐ If, yes I have submitted the approval letter(s) specifically granting me access to the private records

Describe the nature of the relationship(s) between the cooperating agency/organization and the primary investigator and/or co-investigator (if relevant), and/or research assistant (if relevant):My employer

Does the primary investigator, co-investigator (if relevant), or research assistant (if relevant) have a relationship with potential subjects? ☒Yes ☐ No
If yes, describe the relationship(s):Possible business associates
Could the relationship(s) be considered particularly close? ☐Yes ☒ No
Explain your answer and if the answer was yes, describe the steps taken to mitigate possible coercion:

If needed, provide additional information relevant to subject description and identification:

10. Recruitment

Check the relevant recruitment methods/data collection relationships

- ☐ Data collection will commence immediately after recruitment
- ☒ Data collection will occur at a later point in time after recruitment
  - Check all the methods by which subjects will be recruited
    - ☒ Potential subjects will be recruited via
      - ☒ e-mail
      - ☐ postal mail letter
      - ☐ hand-delivered letter
      - ☒ telephone

      Information about how you will obtain potential subjects' contact information

      - ☒ I will recruit subjects for whom I personally possess their contact information
        Describe how/why you personally have access to potential subjects:The list of attendees is to be provided by company HR group conducting the change training.
      - ☐ I will contact an agency/organization(s) to obtain the contact information for potential subjects who meet the criteria for inclusion in the study
        Identify the names (including title) of your contacts, describe how/why they have access to the contact information for potential subjects:
        - ☐ I have submitted the approval letter(s) from the cooperating agency/organization specifically granting me access to the contact information
      - ☐ I will contact agencies/organizations and ask them to recruit potential subjects who meet the criteria for inclusion in the study
        Describe how you will identify potential recruiters, how/why they have access to potential subjects, and how you will contact them to ask them to recruit potential subjects and provide them with the recruitment information:
      - ☐ I will contact people for whom I personally possess the contact information and ask them to recruit potential subjects who meet the criteria for inclusion in the study
        Describe how/why the potential recruiters have access to potential subjects, and how will contact them to ask them to recruit potential subjects and provide them with the recruitment information:
      - ☐ I will ask subjects to recruit other potential subjects who meet the criteria for inclusion in the study
        Describe how/why the subjects have access to other potential subjects, and how you will contact them to ask them to recruit potential subjects and provide them with recruitment information:

      ☒ I have submitted an exact copy the recruitment e-mail, recruitment letter, or script for the telephone recruitment and, if relevant, the contact communication with potential recruiters

    - ☒ Potential subjects will be recruited in person
      Recruitment will occur at
      - ☒ place of employment
      - ☐ school
      - ☐ other location

      Identify the exact location, describe the context in which the recruitment will be made, and indicate who will be doing the recruitment:
      - ☒ I have submitted the approval letter(s) from the cooperating agency/organization(s) specifically giving me permission to recruit subjects in the context listed above

      ☐ I have submitted an exact copy of verbal script that will be used to recruit subjects

    - ☐ Potential subjects will be recruited via some type of posting
      Describe the specific type of posting(s):
      - ☐ I have submitted an exact copy of the recruitment posting(s)
    - ☐ Potential subjects will be recruited by another method of recruitment, explain:

If needed, provide additional information relevant to recruitment:

11. Risk/Benefit Ratio

Benefits

Indirect benefits: Subject will receive a reward/incentive for participating in the study ☒ Yes ☐ No

If yes, is at least one of the direct benefits, course credit or extra credit? ☐ Yes ☒ No

If no, describe the proposed incentive/reward and justify how the proposed incentive/reward is not coercive:A free lunch will be provided at the focus lunch while gathering data.

If yes, identify the course(s):

☐ Departmental approval allowing course credit or extra credit for this course is on file with the IRB

Indirect benefits: Indicate the potential benefits to science or society, in general, or to the course objectives (if the direct benefit is course credit), as a result of participating in this research:

Risks:

Check all the risks associated with participating in your study

☐ Use of private records (medical, agency, or educational)

Describe how the risks is involved in your study:

☐ Possible invasion of privacy of subject or family

Describe how the risk is involved in your study:

☐ Probing for personal or sensitive information in surveys or interviews

Describe how the risk is involved in your study:

☐ Social or economic risk

Describe how the risk is involved in your study:

☐ Use of methodology or materials that might induce psychological stress

Describe how the risk is involved in your study:

☐ Inability to guarantee anonymity due to small sample size

Describe how the risk is involved in your study:

☐ Use of deception (including the inability to reveal the true purpose of the research) as part of the experimental method

Describe how the risk is involved in your study:

Describe the "debriefing procedure":

☐ Other potential risks, specify:

Describe how the risk is involved in your study:

☒ Research does not involve any risk to subjects

Justify why your study does not involve any risk:Information is provided on voluntary and anonymous basis.

Explain how the potential risks to subjects are reasonable in relation to the anticipated benefits:

If needed, provide additional information about the risk/benefit ratio:

12. Protection Procedures

Required precautions (check each one)
☐ Subjects may withdraw from the study at any time
☒ Subjects may skip questions or specific tasks

This study potentially could cause distress in the subject ☐ Yes ☒No
If yes, provide referral information:

In the final report
I will include information that will allow a subject to be identified ☐ Yes ☒ No
☐ If yes, explain the reason for wanting to identify the subjects:
I will be using direct quotes ☐ Yes ☒ No
☐ If yes, I will use pseudonyms when discussing the person being quoted

Describe other precautions to protect against risks that are specific to your study:

If needed, provide additional information relevant to the protection procedures:

13. Informed Consent Process

Multiple types of subjects will be recruited for the study ☐Yes ☒ No
If yes, identify the types of subjects:

I am expecting subjects to participate in every phase of the study ☐Yes ☒No
If yes, indicate the criteria for inclusion in the study:
If no, indicate the criteria for inclusion in each phase of the study:Employees that have attended change training but are not using the change tools, will not be asked for further participation.

Answer the following questions if your subjects include minors (under the age of 18) or those who are cognitively impaired
☐ Not applicable

The subjects are capable of understanding a subject consent form ☐ Yes ☐ No
Justify your answer:
☐ If yes, I have submitted a parent/guardian consent form
☐ If no, I have submitted an assent form AND a parent/guardian consent form
Describe the process for obtaining parental/guardian consent and subject assent, including when and where each will occur and who will be obtaining assent:

Is the age range such that some of the subjects also could be over age 18 (e.g., late teen years) ☐ Yes ☐ No
☐ If yes, I have submitted a subject consent form for those over 18 and a parental/guardian consent form for those under 18

☐ All subjects are minors so I am skipping the questions related to the timing of consent

Timing of consent (for subjects over the age of 18)
☐ Recruitment and consent will occur at the same time
☐ I am using a survey delivery method in which the researcher has no direct contact with the subject
I am using an on-line survey ☐ Yes ☐ No
☐ If yes, I have submitted a copy of the recruitment/consent e-mail(s)

☐ If no, I have submitted a copy of the recruitment/consent letter(s)

☒ Consent will be obtained immediately prior to the collection of data
☒ Subject is physically present
☒ I have submitted a copy of the subject consent form(s)

☐ Subject is present via phone or skype
Describe the process for obtaining and tracking consent:

Verbal description of the research and elements of consent:
I will read the subject consent form to subjects ☒Yes ☐No
If no, provide the script(s) you will use to describe the research:

Questions asked to assess the subject's understanding of the study's risks and the tasks the subjects are being asked to do
☐There is no contact with the subject so no questions will be asked

☒There is contact with the subject
Required questions (check each one)
☒ Do you understand that you are free to withdraw from this study at any time?
☒ Do you understand that you may skip any questions or tasks?
☒ Do you have any questions about what you are being asked to do?
If relevant, provide the age-appropriate or ability-appropriate versions of the above questions:

List other questions that relate to your methodology or specific risks associated with your study about which subject understanding should be assessed:

If needed, provide additional information relevant to the informed content process:

14. Studies Involving Non-English Speaking Subjects

Answer the following questions if you are including non-English speaking subjects in your study
☒Not applicable

Does the information delivered during the study (including the consent/recruitment process) or received (subject responses) require VERBAL translation into a language other than English ☐ Yes ☐ No
If yes, is the primary or co-investigator serving as the translator? ☐Yes ☐No
If yes, describe their qualifications to serve as the translator:

If no, identify the person and describe their qualifications to be a translator:
☐ I have submitted a signed Translator Confidentiality Agreement

Do the materials (including recruitment/consent/study) require translation into a language other than English ☐Yes _☐No
If yes, is the primary or co-investigator doing the translation? ☐ Yes ☐ No
If yes, describe their qualifications to do the translation:
If no, identify the person doing the translation and describe their qualifications to do the translation:

☐ I have submitted translated versions of all documents

☐ I verify that the translated versions of all documents are a complete translation of the document(s) provided to the IRB in English, and they do not contain information that is not presented within the context of the English version(s)

Does the raw data require translation into English? ☐ Yes ☐ No
If yes, is the primary or co-investigator doing the translation? ☐Yes ☐No
If yes, describe their qualifications to do the translation:

If no, identify the person and describe their qualifications to do the translation:
☐ I have submitted a signed Translator Confidentiality Agreement

If needed, provide additional information relevant to non-English speaking subjects:

15. Confidentiality

In addition to the primary investigator, co-investigator (if relevant), and research assistant (if relevant), the following individuals will have access to the raw data

- ☒ Academic Advisor
- ☐ Other
  Identify the individual(s), including title and cooperating agency (if relevant) :

My raw data includes identifying information ☐ Yes ☒ No
- ☒ If no, the data will be kept for a minimum of three years

If yes, answer the following questions
Data will be kept in:
- ☐ a locked file
- ☐ password protected computer, database, or digital storage system
  Is the computer/database/digital storage system located at a cooperating agency/organization? ☐ Yes ☐ No
  If yes, identify the cooperating agency/organization:

Will the data be part of a subjects' chart, student file, or other permanent record? ☐ Yes ☐ No
If yes, explain:

My raw data includes audio or video recordings ☐ Yes ☒ No
If yes, will the recordings be transcribed? ☐ Yes ☒ No

If yes, answer the following questions
Who will be doing the transcription?
- ☐ Primary investigator or co-investigator
- ☐ Research assistant
- ☐ Other person
  Identify the person:
  ☐ I have submitted a signed transcriptionist confidentiality agreement

The recordings will be destroyed/erased immediately after transcription. ☒ Yes ☐ No
If no, explain why not and provide the date for their destruction (minimum of 3 years):

Provide the level of destruction/erasure of the recordings (regardless of when it occurs):Total erasure of the recording.

Destruction of raw data containing identifying information (other than recordings)
I plan to keep the raw data indefinitely ☐ Yes ☐ No
If yes, provide the date by which all identifying will be removed (no longer than 3 years):
If no, provide the date by which the raw data will be destroyed (minimum of 3 years):

☒ I am using secondary data and therefore do not have the right to destroy the data

The final report will be disseminated in the following ways
- ☐ Possible publication in scholarly/professional journals
- ☐ Possible publication in a book
- ☐ Possible presentation at local, regional, national or international conferences via a poster or oral presentation
- ☐ Subjects
- ☐ External funding agency
- ☐ Cooperating agency/organization
  Identify the agency/organization and provide the name (with title) to whom the report will be given and in what form:
- ☐ Other means of dissemination, describe:

For Graduate Research only
- ☒ Paper to Faculty for completion of degree requirements
- ☐ Oral presentation to Faculty for completion of degree requirements
- ☒ Lindell Library

For Undergraduate Research only
- ☐ URGO presentation and paper
- ☐ McNair presentation and paper

- ☐ LSAMP presentation and paper
- ☐ Paper to Faculty for Departmental Honors
- ☐ Presentation to Faculty for Departmental honors

If needed, provide additional information relevant to confidentiality:

Appendix B: Letter of Consent

<Name of Director>
Project Coordinator, Company Change Program

Dear <Name>,

My name is Rebecca Smithwick. I am an employee of the company and have completed the two-day change workshop provided as part of the required company training program.

As part of my master's thesis, I would like to research if leading change is a catalyst for innovation.

Septemb*Jane Doe* had indicated that we should not both be contacting the same individuals. I agree with that. That leads me to my questions:

1. Would you give me permission to pursue this further?
2. Could I obtain names of those that have completed this training, individuals that your group has not contacted yet, for my focus group exploration?

Questions anticipated are attached for your review.

If you have any questions, or concerns please contact me directly. I need to get the contacting piece done as soon as possible in order to set up the focus groups, and interviews, so your immediate attention would be greatly appreciated.

Kind regards,

Rebecca Smithwick

Appendix C: Recruitment Email

Dear Colleague-

You have recently received an email from *<Jane Doe>*, Director of Change Program. She announced my participation in gathering information to evaluate the two-day program in conjunction with research for my master's thesis through Augsburg College.

I would ask that you please review, complete and return the attached survey by EOD Friday, October 21st.

For those that have not yet been able to begin a change effort using the CAP tools, the follow-up will consist of a brief phone conversation. For those that have been able to use the CAP change tools, you will be invited to a focus group luncheon to gather details regarding the effectiveness of the workshop training in making your change(s) happen.

If you are unable to attend the focus group luncheon, please suggest a time that works for your schedule to conduct a personal interview or a phone interview. The goal is to make this follow-up easy and low impact to your busy schedule. I know your time is valuable, so I will keep the follow-up to no more than 20 minutes of your time.

You are under no obligation to participate, however, without your input, we cannot effectively determine the extent of our success with the change workshops or how to increase effect into the future. If you have any questions, please do not hesitate to reply to this email, or to call me at the number indicated below.

Thanks again for your time and consideration! I look forward to working with you on this project!

Best regards-
Rebecca Smithwick

Appendix D: Initial Survey

1. How long have you been employed with the company?

2. Do you have a supervisory position? Yes /No

3. Have you attended/completed the company's change workshop? Yes /No

4. Have you participated in any other programs regarding change strategies? Yes /No
If so, what? Where?

5. Why do believe the company is asking all employees to complete this training?

6. Briefly describe how you feel about change?

7. During the two-day program, what did you find to be most useful when looking at change?

8. Did you find anything that you feel will not be useful in addressing change within the company?

9. You were provided with an assortment of change tools. Have you had an opportunity to use any of those tools? If so, which tools were used / chosen?

10. Briefly describe the situation and the results you experienced.

11. Did the tools help you to obtain the change you were looking for? Yes /No

12. Do you feel that the changes made will be sustainable? Yes /No
What do you base this determination upon?

13. The company has identified the willingness to change, and the ability to change quickly, as paving the way for innovation. Do you feel the changes you made were innovative? Yes /No

If so, briefly explain how you feel it was innovative?
If not, do you think it might lead to innovation in the future, and why? Yes /No

14. Do you understand that you are free to withdraw from this study at any time?
Yes /No

15. Do you understand that you may skip any of the questions you are being asked?
Yes /No

16. Do you have any questions about what you are being asked to do? Yes /No

Initial Survey Data

1. How long have you been employed with the company?
0-3 years: 18 % **3.1-7 years: 40 %** 7.1-10 years: 28 % 10.1-15 years: 7 % > 15 years: 7 %

2. Do you have a supervisory position? Yes = 25 % **No = 68 %** N/A = 7 %
N/A= indicates participant had no answer

3. Why do you believe the company is asking employees to participate in the change workshop?
Common language-tools= 28 % Rapid nature of change- stay competitive= 18 %
Hope to see improvement= 18 % Worked for other companies= 9 %
Address resistance= 9 % Not good at change= 9 % Better understanding of change= 9 %

4. How do you feel about change?
Good opportunity-Energized= 48 % Mandatory-Change inevitable= 28 % Mixed review; Scary but good; uncomfortable, but necessary= 18 % Indifferent-Unsure= 5 %

5. What did you find most useful?
Tools provided= 43 % Stakeholder analysis= 19 % Create positive attitude= 14 %
Resistance= 7 % Unsure= 7 % N/A = 7 %

6. Was there anything you felt was not useful?
No= 48 % N/A = 24 % Too much for two days= 14 %
Section on communication too simplistic= 7 % Needs to be used / applied by everyone= 7 %

7. Have you used the change tools outside of the workshop?
Yes = 53 % No= 38 % N/A = 9 %

8. Which tools have you used?
No= 38 % N/A=25 % **Stakeholder analysis= 14 %** Post it notes= 9 % Elevator speech= 7 %

9. How would you describe your situation?
Unsure= 62 % Positive= 43 % Old habits interfere= 7 %

10. Do you feel the tools were responsible in helping you obtain change?
N/A = 48 % Yes = 33 % No= 9 % Unsure= 10 %

11. The company has identified being able to change quickly as the way to innovate. Do you feel your changes were innovative?
N/A = 43 % No= 33 % Yes = 19 % Unsure= 7 %

12. Of those that responded yes to question #11, what was the reason for innovation?
Using new resources in a new way
Change adds value
You can build on change
Can have better time delivery without sacrificing quality

Appendix E: Focus Group Consent Form

Topic: Can leading Change Catalyze Innovation in the Workplace?

You are invited to be in a research study of change as it relates to the change acceleration training program and innovation. You were selected as a possible participant because you confirmed that you completed the change acceleration training and have been using the change tools provided during that training. I ask that you read this form and ask any questions you may have before agreeing to be in the study.

This study is being conducted by me as part of my master's project in Leadership at Augsburg College. My advisor is Dr. Norma Noonan, Professor of Political Science and Leadership Studies.

Background Information:
The purpose of this study is to determine if change has occurred and if the change has led to any form of innovation. For the purpose of this study, innovation will be defined as those actions new and/or unique that result in process improvements or improvement in business strategy.

Procedures:
If you agree to be in this study, I will ask for your honest response to questions regarding change, the company change acceleration program and the change activities you have engage in as a result of the training program.

Your participation will be a one-time focus group. A complimentary lunch will be provided for you as compensation for your participation. If you would like to be provided with access to the final results, please indicate so at the bottom of this form.

Risks and Benefits of Being in the Study:
This study has no perceptible risks.

The indirect benefits to participation in this study are helping the company to assess how successful the change acceleration training initiative has been.

There is no financial payment for participating in the interview/focus group.

Confidentiality:
The records of this study will be kept confidential. Results of this thesis will be in print format at the Lindell Library at Augsburg College when completed, 6/10/2012. I will not include any information that will make it possible to identify you. All data will be kept in a locked file at my office, available only to my advisor, Dr. Norma Noonan, and myself. If the research is terminated for any reason, all data and recordings will be destroyed. While I will make every effort to ensure confidentiality, anonymity cannot be guaranteed if numbers of the study are small.

Tape recordings from the focus group luncheons will be erased once the data has been transcribed to data format and the paper has been submitted.

Raw data will be retained until 1/20/2015, but all identifying information removed by 6/30/2012 when the final thesis has been submitted. (Federal guidelines specify a minimum of 3 years for retention of data.)

Voluntary Nature of the Study:
Your decision whether or not to participate will not affect your current or future relations with Augsburg College, the company, or the researcher, Rebecca Smithwick. If you decide to participate, you are free to withdraw at any time without affecting those relationships.

Contacts and Questions:
The researcher conducting this study is Rebecca Smithwick. You may ask any questions you have now. If you have questions later, please contact me through email at smithwic@augsburg.edu, or phone: (763) 526-9504. My advisor is Dr. Norma Noonan, Professor of Political Science and Leadership Studies. Her contact information is noonan@augsburg.edu; 612 330-1198.

You will be given a copy of this form to keep for your records.

Statement of Consent:

I have read the above information or have had it read to me. I have received answers to the questions I have asked. I consent to participate in the study

Signature ____
Date__________

Signature of investigator ______________________________________
Date__________

I consent to being audiotaped during the focus group session:

Signature ____
Date__________

☐ Yes, I would like a summary of the results.

Focus Group Discussion Questions

1. Did the change workshop alter how you think about change? If so, how?

2. If you have not had the opportunity to use the tools yet, I am curious to know why?

3. Research indicates that companies that are adept at change become more innovative. How would you respond to that comment?

4. Do you believe our company culture supports change? What evidence do you have to support your position?

5. In a book, The Rudolph Factor, they acknowledge that at least 10 % of every organization's employee population is "Rudolphs", innovative thinkers. Do you feel our company has this potential?

6. Do you feel that this workshop was enough to create the new mindset to get people to embrace change? Why?

7. What recommendations would you make to those that are trying to lead change within our organization?

I encourage you to be a change agent. The leaders in our organization are not only those with titles, it is within each of us, supporting others across the business.

Data Focus Group

1. Did the change workshop alter how you think about change? If so, how?

Change can be learned – trained
I now see change as a process
I see change in a positive way
Change takes a lot of energy – commitment
We need to do a better job of mobilizing commitment throughout the company

2. If you have not had the opportunity to use the tools much, I am curious to know why?

Only in the class exercise – have not had a chance yet
Not working on large scale project yet
Would like more on day-to-day change projects versus large projects

3. Research indicates that companies that are adept at change become more innovative. How would you respond to that comment?

The workshop helps the perception the need for change
We can affect change, but not confident we can sustain it

4. Do you believe our company culture supports change? What evidence do you have to support your position?

Company is conservative
Will probably work better in younger groups within the company- less entrenched in what they have always done.
More competition, so we need to become more disciplined
Company has a consensus culture – not open to change
Need to be more nimble – too cautious
No level of tolerance for change

5. In a book, The Rudolph Factor, they acknowledge that at least 10 % of every organization's employee population is "Rudolphs", innovative thinkers. Do you feel our company has this potential?

This would be a challenge
New ideas are often shot down
Question the long term implications
Culture of intimidation

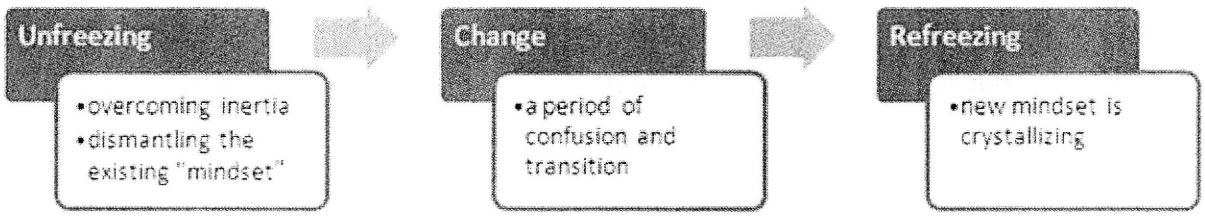
6. Do you feel that this workshop was enough to create the new mindset to get people to embrace change? Why?

This is just the tip of the iceberg
The company needs more communication around change efforts
Groups need to share their stories about change
Examples of behavior supporting changed need to be promoted

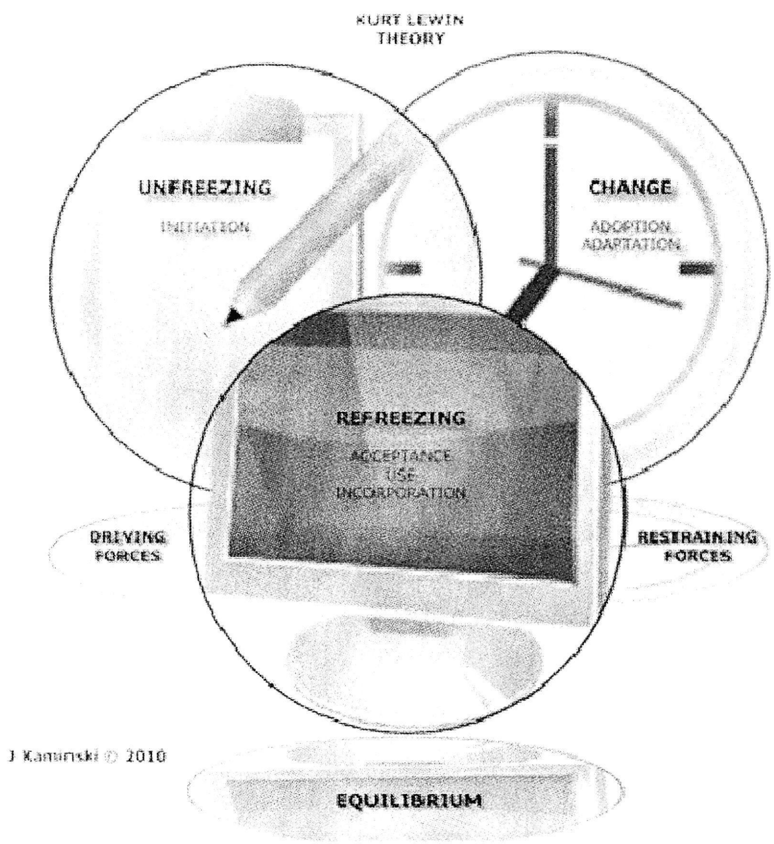
7. What recommendations would you make to those that are trying to lead change within our organization?

Newsletter Have you tried . . . Share real language – real scenarios

Appendix F: Kurt Lewin's Change Model

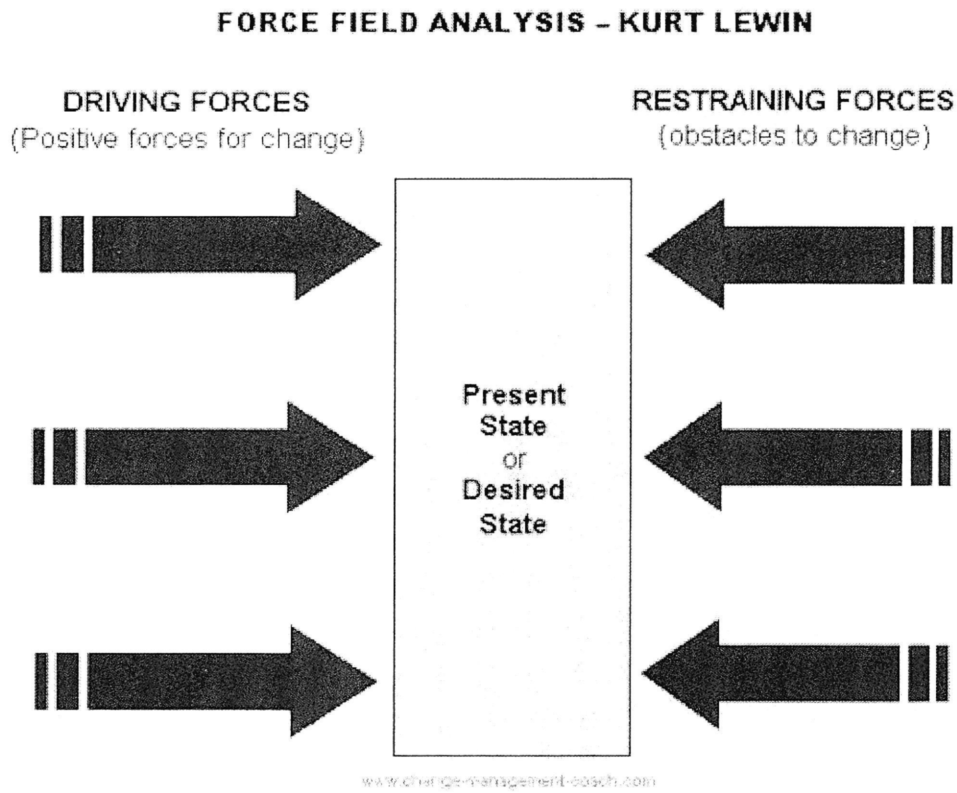


More modern depiction of Lewin's Model

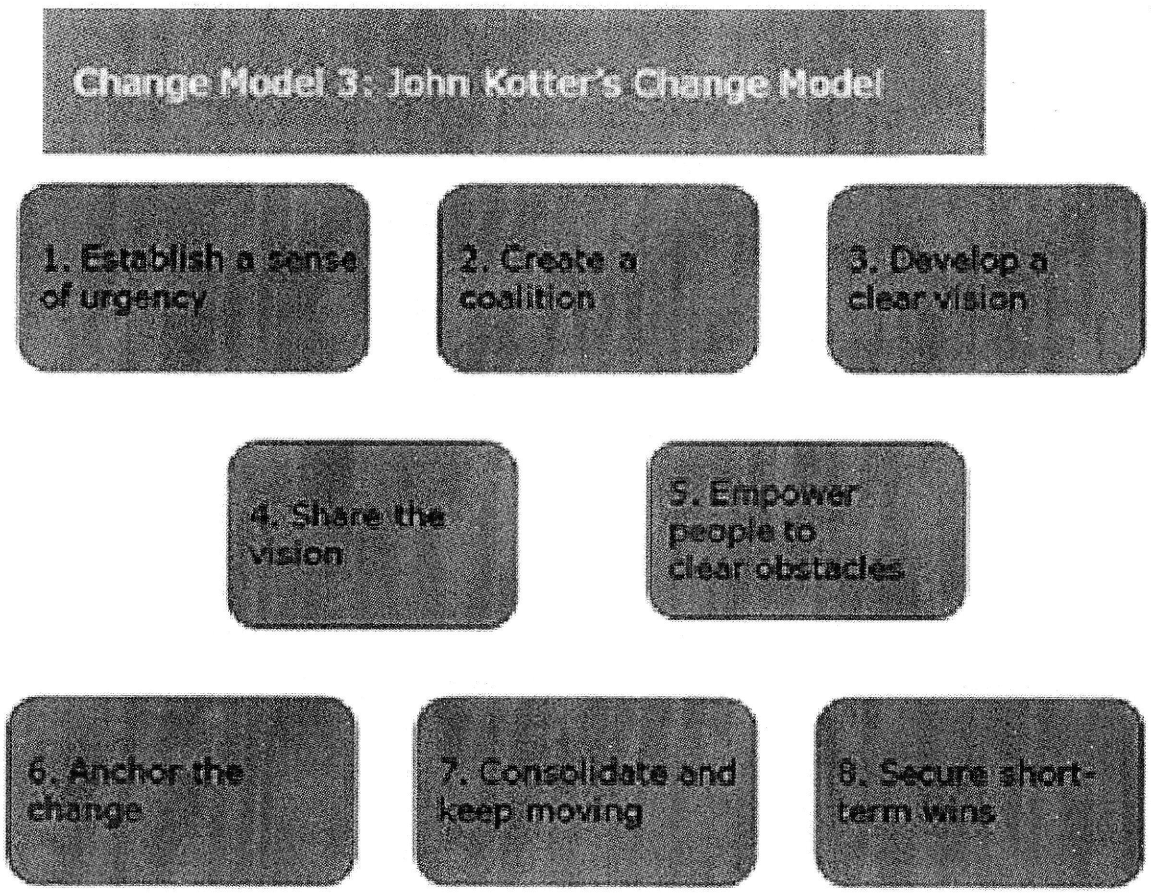


Lewin's Force Field Analysis

(similar to change workshop Stakeholder Analysis)



Appendix G: John Kotter's Model – Eight Steps for Change



Appendix H: Sample of Change Tools

*(*due to copyright issues, actual forms could not be shared)*

Tool #1: Elevator Speech

The basic four-part elevator speech includes the following information:

1. Our project is about . . .
2. It is important because . . .
3. We will know we are successful when . . .
4. We need [*state what is needed*] from you.

Tool #2: Stakeholder Analysis

Person-Group	Strongly Against	Moderately Against	Neutral	Moderately Support	Strongly Support	Action	Due by

Tool #3: More of – Less of

Vision / Goal: ______________________________

More of . . . or Behaviors that will Change	Less of . . . or What will remain the Same

Tool #4: Setting up for Success

* List key deliverables, who is responsible to deliver which part of the project, critical dates that must be met, and methods to measure, determining success.

Sponsor's Name: Responsibility, Delivery date, measurement
Team member #1: Responsibility, Delivery date, measurement
Team member #2: Responsibility, Delivery date, measurement
Team member #3: Responsibility, Delivery date, measurement
Team member #4: Responsibility, Delivery date, measurement

Project: ____

"In Scope" for this Project	*"Out of Scope"* for this Project