The picture above symbolises individuals or groups in a state of flux

Psychological Aspects of Change
(A contribution towards the understanding of the psychology behind the change process)

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Abstract:

In recent years, people have demanded more and more products and services at ever-higher quality and at reasonable prices. Simultaneously, communism in Europe has collapsed and the countries in the eastern block have slowly opened their markets to the west, or been assimilated into the EU. China has opened its borders and has become a major player on world markets with cheap products and a cheap workforce at its disposal. All this, together with globalisation in general, has put major pressure on organisations to change in order to compete. "Disconfirmation messages" have been emanating from various sources stating that change is necessary.

This development has not been limited to large conglomerates, but has trickled down the supply chain to even the smallest unit of production or service.
As a result, and in order to satisfy the demands of their customers and stakeholders, organisations in all industries are constantly reacting to the disconfirmation messages by being in a more or less permanent state of flux. Therefore, change today is a more common condition than status quo.

This thesis is about how people feel and react in a change situation, in an organisational context. It looks at the psychological aspects of change from a layman's point-of-view. Whether we are individuals, groups or whole organisations, the change process affects us in more or less the same way. The thesis goes into relative detail with "The Change Model" and looks at what influences people's attitudes to change; what makes them positive or negative towards a change and how people can be encouraged to work with change within an organisational context.

The method used for the investigation is the study of literature by the more popular scholars like J.P.Kotter and D.Conner, but also others that take a more clinical view of the change process, like A.Junson and K.Lewin/E.Schein. The literature is held up against cases from "real life". The cases hail from construction, administration and from the library world, and from groups in an innovative situation, individuals caught up in a negative situation, and groups working in an ideal climate for the change process.

Conclusions:

When exposed to a disconfirmation message, people react with either "survival anxiety" ("survival guilt" is awakened) or reject the disconfirmation to change because their "learning anxiety" is greater. The provision of "psychological safety" by management can create a secure environment for change and this, together with empowerment of the target, can lead to successful change.

Key words: Change, State of Flux, Disconfirmation Message

1.0 INTRODUCTION

1.1 Acknowledgements:

I would like to take the opportunity to thank the people that have made it possible for me to write this thesis:

1.2 Presentation of the problem area

The greatest goal for the management of any organisation must be to secure its long-term survival in the hostile environments that modern organisations often find themselves in because of macroeconomic forces, the possibilities for growth, demands for improved products and services, etc. (Kotter. J,1997).

In order to ensure the survival of the organisation, its management will be constantly engaged in trying to make it as flexible as possible from an organisational point-of-view. Management does this by regularly restructuring, altering and adjusting it to live-up to constantly changing demands to its procedures and activities. In other words, change is more a part of the everyday agenda of a modern organisation than status quo is (Hildebrandt, S. & Brandis, S, 2005).

Arnold Judson (Judson.A; 1991) writes that most changes implemented by an organisation's management are aimed at making it survive in a state of

"homeostatic[1]" equilibrium with its surroundings, but that the organisation's needs can often come into direct conflict with its employees´ own needs.

When the change plan is initially introduced, the employees become aware of possible conflicts (or harmony) between their interests and that of the organisation's. This will affect the relationship between the employer and the employees in many different ways, including in security of employment. When there is harmony between the employees´ interests and that of the organisation's, the former have peace of mind and have hopeful expectations for the future. When there is a conflict of interest, then fear and apprehension for the future results (Judson.A, 1991:36).

Scholars of change management, like Kotter (Kotter, J.,1997/2003) and Hildebrandt (Hildebrandt, S. & Brandi, S., 2005), have identified fear, anxiety, apprehension, and the way in which change is introduced to the organisation as reasons for resistance to change. For example, Kotter and Cohen (Kotter, J., Cohen, D., 2003) specifically state that the prerequisites for resistance to change are anger, pessimism and the fear of learning something new.

People comprise an organisation's vital organs and circulatory system. The individuals themselves are the organisation's pulsating organs, and the circulatory system is the relationships they form with each other and the outside world. Without these organic components, an organisation would merely be an empty shell:
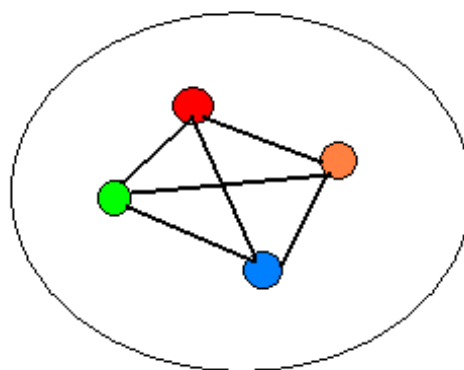
Figure 1: People as the organs and their relationships as the circulatory system

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[1] [1] Definition of homeostatic: *"The ability or tendency of an organism or cell to maintain internal equilibrium by adjusting its physiological processes "*(The American Heritage Dictionary, 4th Edition)

John Adams states that:

"*All changes are irksome[2] to the human mind, especially those which are attended with great dangers and uncertain effects"* (in Judson .A,1991:15).

In order to combat resistance to change, more and more managers are adopting the concept of "empowerment" of their employees (Conner. D,1992).
If one looks-up the meaning of the word in a dictionary, empowerment is defined as:

" To invest with power, especially legal power or official authority" (The American Heritage® Dictionary, 4th Edition).

However, Daryl Conner (1992) considers "empowerment" to be a prerequisite for synergy, which is one of three characteristics that participants in a change process can possess. The other two characteristics are "self destructiveness" or a state of "static". Incidentally, the participants in a change process also have specific names. They can be "sponsors", "targets", "agents" or "advocates" of the change process.

For many scholars of change management (e.g. Conner .D, 1992:109), the term "empowerment" does not mean giving employees the power of attorney to go it alone in the change process. On the contrary, it means that the employees are invited to provide input and advice in specific areas of expertise during the course of decision-making in the change process. In other words, management considers the employees valuable enough to influence their decisions about the change because of their special competences and know-how (Conner.D, 1992).

Empowerment is one of the possibilities for employees to play an active role in the change process. Disempowerment must, therefore, be the other option. This is where management formulates and implements the plan for the change in a more or less top-down manner (Conner.D, 1992).

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[2] Causing annoyance, weariness, or vexation; tedious: **irksome** restrictions (The American Heritage® Dictionary)

The starting point for this Master thesis is an interest in understanding how individuals react when they are introduced to change plans in an organisational setting. More specifically, the interest is in what is going on in them in a psychological sense.

There seems to be two prevailing premises about peoples´ attitudes towards change. On the one hand, it is that people have a natural, built-in resistance to any change (Judson.A, 1991). On the other, that people actually like change and are more afraid of being locked-in by lack of change. Everyday experience shows that not everyone resists change. It is all dependent on ones background; one's "frame of reference" (Conner, D., 1992), but there is an important area for future research in the fact that readiness to change seems to be more prevalent in a world that is constantly in a state of flux.

When a change is first announced, all the involved actors are affected psychologically and begin to ask some predictable questions because the change, to begin with, results in some degree of uncertainty (Judson, A., 1991). These questions centre on the individual´s status, self-worth and their ability to learn something new. Other questions centre on whether their existing competences are sufficient, and about their ability to perform and whether they will get fair compensation for their new responsibilities.

When studying the more popular literature about change management by scholars such as Kotter, Hildebrandt and others, one sometimes gets the feeling that the subject is somewhat insufficient at the aforementioned psychological level.

With regard to the aforementioned two premises, there are two problem positions as far as this thesis is concerned:
- How does one "drive" people who have a fear of change to actually change?
- How does one motivate those that are change orientated to participate?

Therefore, this thesis will start by trying to understand the mechanisms that influence individuals on a psychological level and will attempt to uncover how people can be driven to work in a way that is conducive to the change process.

Should one implement the change process in accordance with the "foxhole[3]" mentality that Conner prescribes to (Conner, D., 1992), or should one use other strategies? This is one of the things that the thesis wants to uncover.
The thesis will also attempt to understand how employees can be actively involved or drawn into the change process, and what feelings an individual is affected by in those circumstances.

This gives occasion for the following problem formulation:

What psychological factors influence employees, that are involved in a change process in an organisational setting, to either resist change or participate actively in the implementation of that change?

In this context, the following supporting questions can also be asked:

- **How are employees affected by the change process on a psychological level?**

- **What can be done to induce a positive attitude on employees towards the change process? (Is there a singular tool that can move people who are afraid of change and motivate them to work in a way conducive to the change process?)**

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[3] Foxhole mentality (Conner D., 1992): Comes from the Vietnam War. Black and white American soldiers, who normally lived in segregated barracks and societies in the USA and who hated each other, suddenly found themselves in trenches fighting for their lives against the Vietcong in South Vietnam. One operated the machinegun, the other fed it with ammunition. Despite their hatred of each other, they had to cooperate in order to survive the war.

At this point, it would be apt to define "psychological factors" as "factors that utilize the science of the human soul to derive more effective means in dealing with practical problems" (Source: derived from Webster's Dictionary)

1.3 Why is it important to write about this theme?

As previously mentioned, most modern organisations and industries find themselves in a constant state of flux. They are constantly in the no-man's-land between their original status quo and the desired future state (Hildebrandt, S. & Brandi, S., 2005). This is because the demands to organisations keep changing at an ever-increasing pace, and because the desired state is never stable for longer periods, before it has to change again. This condition is painful for both managers and employees because of the ambiguity and uncertainty of the situation (Conner, D.,1992), mainly because people do not like living in a state of flux for longer periods. Most people prefer stability to change (Judson, A., 1991)
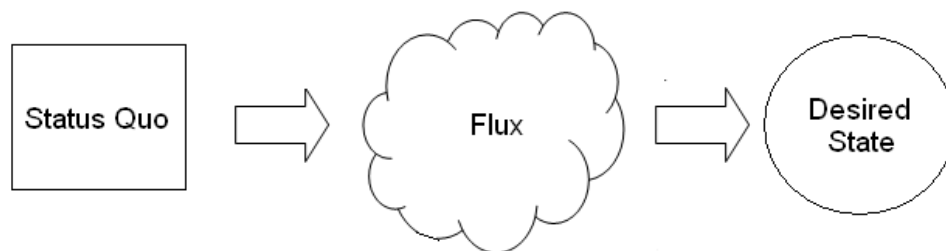
Figure 2: Organisations are in a constant state of flux these days

If we look at the construction industry in general, and the Danish construction sector in particular, we find that falling profits, problems with quality, and demands for modernisation of the sector are just some of the factors contributing to this constant state of flux. This situation is reflected in the following views from the industry's watchdogs.

According to some of them (e.g., Plan of Action against Defects and Shortcomings/The Danish Industry and Building Agency[4], June 2005), defects and shortcomings in the construction industry amount to approx. 12 billion Dkr. per year, which is about 10% of the sector's annual production value. This is not a unique situation for Denmark, as studies confirm this trend to be true for countries like Sweden and Australia. Therefore, there is a lot to be gained, economically, if these

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[4] Erhvervs-og Byggestyrelsen

defects and shortcomings can be reduced. However, this will require action on several fronts.

One of these fronts is in the area of communication and cooperation in the building industry. Lean Construction and Partnering mentalities have played a pivotal role in initiatives for improving the construction process in the area of defects and shortcomings. This happens both in the design and in construction of the projects in, e.g., Partnering, through optimization of the processes in the industry's value-chain, both within and between the links (The Plan of Action against Defects and Shortcomings, The Danish Industry and Building Agency, June 2005).

The traditional way of communication between client and contractor can result in misunderstandings of the client's intentions or conscious exploitation of vague and ambiguous tender documents. Using Partnering as a cooperation procurement system, although not reducing transaction costs, will improve uncertainty, reduce errors due to bounded rationality and reduce asymmetrical information in connection with the relationship between partners, thus reducing opportunism for all (The New Cooperation Forms Project[5]:The Danish Industry and Building Agency, Feb. 2002).

From the aforementioned points-of-view, it is apparent that the Danish construction industry has a need for constant improvement and change. At present, the Danish construction sector is in a transition period because of the "pain" of its previous status quo position. Danish construction has been moving towards more and more cooperation models like Partnering and other value-based management principles in recent years. It is also employing models like Lean Construction in order to rationalise the construction process. All of these incentives are innovative in comparison to the traditional construction sector in Denmark (Jørgensen, B., 200X). All these initiatives involve people who, individually and as groups, have their own "frames of reference" that make it difficult to consider them as homogonous (Conner, D., 1992: 99).

This, and the fact that the building industry comprises mainly one-off projects with constantly changing individuals and groups, brings about a need for project

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[5] That discussed new forms of cooperation, such as Partnering contra the traditional forms of procurement.

managers to analyse and put together their players into working-structures that can carryout change initiatives optimally (D´Hebemont and César, 1998).

There is, therefore, a need for these managers to understand change psychology at a nonprofessional, layman's level. Hence this study. This thesis starts out by illustrating the physiological aspects of the change process as applied to a "Lean Construction" start-up workshop. It continues by describing other cases from other organisations, as the theory is not specific to the building industry alone, but can also be applied to other industries and organisations where change is on the agenda (Hildebrandt, S. & Brandi, S., and 2005:15).

Why the interest in the psychological aspects? Isn't it enough to use the principles of change management taught to us by the popular scholars like John Kotter?
Just as it is important to understand the principles of mathematics before attempting to calculate the strength of load bearing beam, so it is important to understand the "nuts and bolts" of psychology at a layman's level in order to fully appreciate the theories advocated by popular scholars of change management like Kotter (Kotter, J., 1997/2003). Hence the interest in the more clinical psychologists like Lewin/Schein and Judson, and the more or less instinctive comparing of their theories about change with the more popular scholars like Conner[6] (Conner, D., 1992), Hildebrandt (Hildebrandt, S. & Brandi, S., 2005) and the aforementioned charismatic Kotter.

1.4 To what extent is popular change management anchored in clinical psychology? …or it is just based on common sense?
(The major part of this passage will be best understood after section 2.0, Psychological Influences in the Change Process, has been studied).
Learning about the psychology behind the change process is one of the motivations for writing this thesis, as it would be quite helpful to the average manager to have this area demystified.

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[6] It must be said that Conner, D., (1992) is a scholar who unfolds both the clinical and the management sides of change management. So, he would best be described as being "in the middle" between the popular and the clinical avocation of change management.

Why is it a problem that popular change management has not included psychology and social psychology? The answer is probably that popular change management theories **are** anchored in psychology and social psychology, but these aspects are deeply buried in the popular works and their advocates have chosen not to unfold them in order to keep them non-clinical, accessible and understandable for the average student at whom this sort of literature is aimed.

However, having said that, one of the popular scholars of modern management, namely Daryl Conner (Conner, D., 1992), does expend a lot of energy in illustrating change management via psychology.

One of the objectives of this thesis is, however, to turn the question around and try to uncover the psychological readiness of individuals for change and compare that with the change process in more popular, accessible ways using cases.

Hopefully, this will allow the reader to understand how the popular change theories are anchored in psychology, whilst simultaneously answering the questions posed in the problem formulation of this thesis.
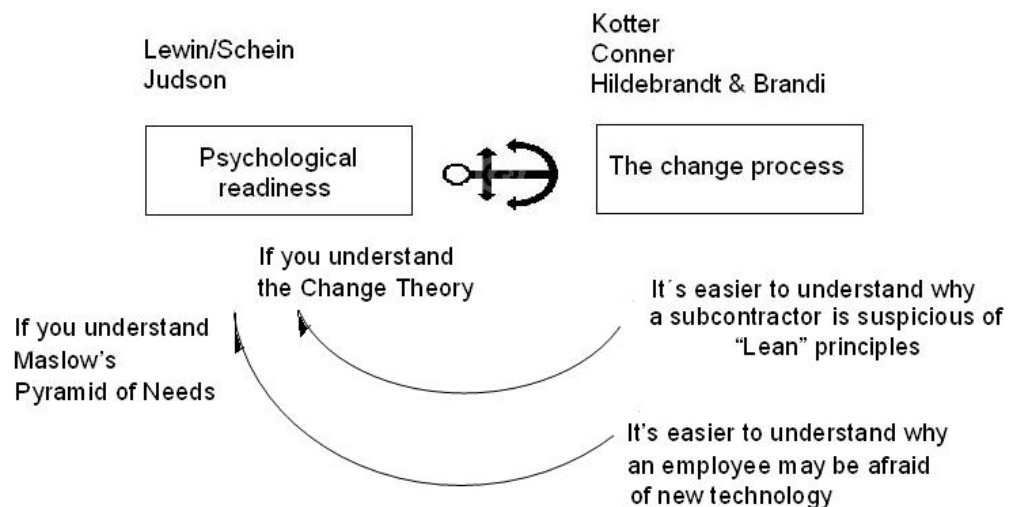
Figure 3: Psychological Readiness and the Change Process

To illustrate the anchorage of psychology in the popular theories, consider the following examples.

When Kotter (Kotter, J., Cohen, D.,2003:15) writes about *"Making sure sufficient people act with sufficient urgency"*, he is in agreement with a fellow scholar that writes about making the "pain" of the existing status quo visible to employees that cannot feel the necessity to change (Conner, D., 1992). The existing situation is

"painful" because the organisation is not living-up to the expectations of its customers, etc, or not exploiting situations that would be advantageous to it.

The average employee may not be aware of this, as people tend to prefer a "state of equilibrium" instead of a "state of flux" (Judson, A., 1991). Therefore, inducing "pain" is necessary to explain to them that a "transition into flux" is essential in order to change to a desired state (see Figure 2).

The clinical psychologists Lewin calls Kotter´s "sense of urgency" a "disconfirmation message" (Lewin, K. in Schein, E., 1968). Therefore, we can now equate these in the following way:

"Sense of Urgency" = "Pain" = "Disconfirmation Message"

The reason why employees in the organisation need this prompt in the form of "pain" is that they, according to the Lewin "Change Model", have both "driving" and "restraining" forces within them. Each person has his own "frame of reference", which is built up over a lifetime (Judson, A., 1991). If the pain of staying in the status quo situation is less than the pain of being in the state of flux, then the person will not change. The restraining forces will prevail and the "target" will remain unchanged. If the opposite were true, the driving forces (the consciousness of knowing that changing is the right course) would awaken a "survival anxiety" and send the target into the flux situation and change will happen (Lewin, K. in Schein, E., 1968).

The term "State of equilibrium", that the Lewin/Schein change model describes as a "shield" around the individual or group, can be equated to the difficulty of changing old norms in the organisation, or creating new ones (Kotter, J. and Cohen, D., 2003: 164).

Conner's "burning platform" (Conner, D., 1992) (a metaphor, which has originated from an actual event that took place in the North Sea where an oilrig exploded and sank in 1988) is a situation where the cost of staying in the status quo is too expensive compared with the cost of flux and attaining a possible desired outcome. Here, no motivation is necessary for the employee to change. The "driving forces"

overwhelm Lewin´s "restraining forces" because the pain of staying in the current status quo is too great and far exceeds the pain of flux and the future state.

Finally, let us consider the popular scholars´ view on empowerment. Empowerment is described by Conner (Conner, D.,1992) as inviting employees to participate in the change process with input and advice and thus building an atmosphere conducive to forming a "foxhole" situation where the employees want to hold the management's bullets (see Section 2). This induces trust in management. Judson (Judson, A., 1991) advocates trust in management as one of the factors conducive to the change process. Trust can, therefore, be equated to one of the factors that provide "psychological safety" (Lewin, K. in Schein, E., 1968) according to the "Change Model", which in turn is a prerequisite for the target to unfreeze and enter the flux stage, where change would be possible through positive identification or scanning.

Therefore, we can equate that:
Empowerment will lead to trust, which will lead to flux, which will lead to change.

The above are just a few of the examples of clinical psychology's anchorage in popular change management. It would go beyond the scope of this thesis to delve further into this area.

1.5 Outline of thesis:
This thesis will process the questions posed in the presentation of the problem chronologically. Therefore, the thesis will be outlined in two parts:

The first part:
The first part of the thesis will look at how an individual experiences change at a psychological level. As mentioned above, the popular scholars of change management (like Kotter,J and Cohen, D.,1997) have deduced the reasons for resistance to change, but it is difficult to avoid the fact that these reasons also have their origins in social-psychology.
To better understand these origins, two scholars´ work will be studied, namely those of Arnold Judson (Judson, A., 1991) and Kurt Lewin (1958) (in Schein, E., 1968). Both of these scholars worked specifically on the more clinical aspects of psychology

concerned with resistance to change, and Lewin actually constructed a "Change Model". It is the intention of this thesis to unfold the Lewin-model and explain it in easy steps.

By studying these two scholars´ work, it is hoped that an explanation for why some people instantly become resistant to change, whilst others have a seemingly positive, robust and flexible attitude towards all things new, can be found. This latter attitude is what Conner (Conner, D., 1992) calls "resilience" towards change.

After looking at the theoretical subject matter about resistance to change in section 2.0 (Psychological Influences in the Change Process), the thesis will analyse the cases procured from real-life situations in order to compare theory with practice and draw sub conclusions (in 4.0, "Case Presentation and Analyses"). These will eventually contribute towards answering the questions posed in the problem formulation regarding how employees are affected psychologically by change and how positive attitudes can be induced upon employees where negative attitudes are prevalent. This will be done in 6.0, "Main Conclusions".

The cases used in this first part will be the following:

- NCC "Lean" start-up meetings, in Odense and Vejle, whose primary purpose is to establish a schedule for implementation of coming contracts, and whose secondary purpose is to advocate "lean" principles during execution.

- A case that deals with the change processes that two female employees have to go through because of the fusion of their organisation and the subsequent relocation of their place of work. Their problems will be set into perspective with, among other things, Maslow's Pyramid of Needs, which is to be unfolded in Section 2.2, under Judson's work (Judson, A., 1991).

Due to reasons of continuity and clarity, each case will be described first, after which they will be analysed and then sub conclusions will be drawn.

The second part:

In this part, the thesis will study an aspect of management, which is considered beneficial by scholars in the change process. More specifically, the thesis will study the aspect of employee involvement to ascertain whether it is useful in the change process and to try to verify or disconfirm its common use, and the provisions necessary to implement it.

The theoretical background for this part of the thesis will be based on Daryl Conner's (Conner, D., 1992), Arnold Judson's (Judson, A., 1991) and John Kotter´s (Kotter, J., and Cohen, D.,1997 and 2003) reflections about the usefulness of "empowerment" of employees in the change process.

Daryl Conner[7] is originally a clinical psychologist that later changed over to working with management aspects of change. Therefore, he takes both a managerial and psychological view on the many questions relevant to change.

The case used in this section details interviews with management about their thoughts regarding the pros and cons of employee involvement in a project called "The Third Route", which is currently being developed for the Danish Library Society. Faced with falling numbers of visitors, the Danish libraries have a need for radical new ideas for the physical framework of the library of the future. "The Third Route" project's purpose is, via an innovative process, to redefine the physical boundaries of Danish libraries and, thereby, the role and function of the library in a modern information society.

During the course of 2007, a group of librarians, library-assistants and management from Herning, Odense, Randers, Viborg and Aalborg libraries worked together with innovation consultants to develop ideas for the "Library of the Future".

The results of the process are a booklet about the innovative process and four concepts for the library of the future. During the course of a series of workshops, the following four concepts were developed:

- The Pit-Stop Library: about using the library as a racing car would use a pit-stop, i.e., when one needs to fill-up on knowledge about a specific theme as one goes through life, one would use this type of library.

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[7] Source: Conner, D., "Managing at the Speed of Change", 1992: "About the author"

- The On-Off Library: where the library is separated into two sections, dependent on whether one wants to be active or passive (in action, or calm).
- The Theme Library: where the current debates in local and national society are themeatised in the library.
- The Service Concept Library: a library where the focus is on helping the customer.

It goes beyond the scope of this thesis to describe the concepts in detail. Therefore, reference is made to the following website that describes the concepts and process in depth (in Danish): http://dentredjevej.blogspot.com.

The following diagram shows how the cases will be processed:
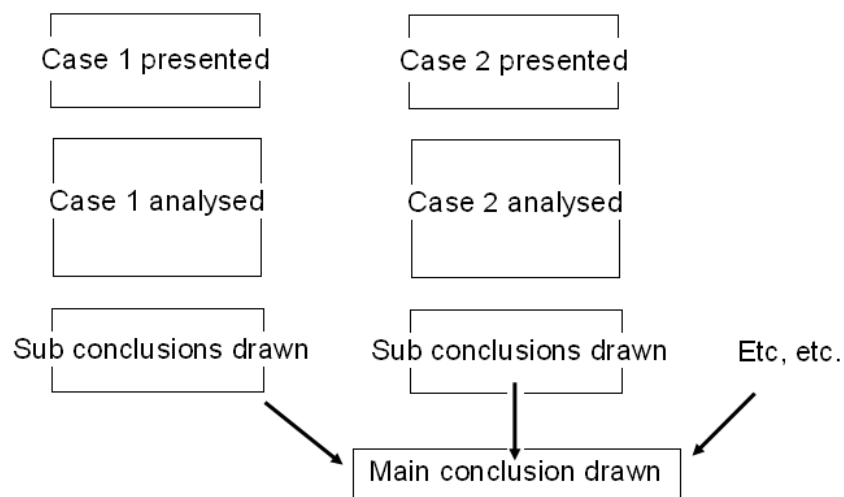
Figure 4: Presentation of cases, their immediate analysis and the drawing-up of sub conclusions, which will contribute to the main conclusion section.

1.6 The scope of the thesis:

This thesis cannot deal with all aspects of clinical psychology as applied to change management. That would be far too ambitious to achieve in the time available to finish the assignment. However, the thesis will primarily look at Lewin´s "Change Model" and some aspects of Judson's (Judson, A., 1991) work on factors that influence people's attitudes towards change. Work by Kotter (Kotter, J., and Cohen, D., 1997/2003), Conner (Conner, D., 1992) and others will be drawn upon, especially

with regard to the conducive effects of employee involvement in the change process. Other aspects of social psychology, for example regarding team building and the like, goes beyond the scope of this thesis, as does factors regarding the operational aspects of change management.

1.7 The method:
The thesis is partly based on a study of the aforementioned literature, and partly on the collection of empirical studies in the form of cases. The cases are procured through interviews based on "The Seven Stages in an Interview Study" (Kævle, 1999: 95 in Friman, T. unknown publication year[8]) and partly through active participation in the workshops of "The Third Route" library project. Some of the interviews have been face-to-face, others have been implemented using questionnaires based on questions from Judson's literature (Judson, A, 1991). The third method of case procurement has been through pure observation (and videotaping) of start-up meetings on NCC-sites, without any intervention from the observers.
Therefore, one can conclude that the information this thesis bases its results upon is based on very limited samples, but it is felt that what they lack in quantity, they makes up for in quality.

1.8 Method and motivation regarding the procurement of cases.

The "Lean" start-up workshops (Cases 1 and 2): An innovative process from the construction sector.
Case 1 and 2 are both start-up workshops for scheduling and "Lean teaching" on two NCC-building sites in Denmark. The first in Odense on the island of Fyn, and the second in Vejle, Jutland.
The first is an office-building complex called Havn 3, Finlandsgade 1, Odense, and NCC is the total contractor on this project.
The second is a very large shopping mall project situated in the middle of Vejle, East Jutland. The project is called Bryggen. Again, NCC is the total contractor.

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[8] http://www.huminf.aau.dk/hi9911/noter/downloads/2%20gang%20Steinar%20Kvale.doc

In these two cases, we follow the progress of two members of NCC´s "Lean Construction Flying-Squad" as they introduce the principles of Lean Construction for sub contractors that have never heard of this concept before.

Both cases were videotaped to avoid direct involvement and influence on proceedings, so the case is wholly based on observation. Both workshops can be described as being "value execution workshops" (Paper on the Use of Workshops, The Danish Industry and Building Agency[9], 2002).

The reason why two cases of this type have been registered is to check consistency, as the members of the flying squad are the same in both cases, but the contractors are different. They have also been chosen to understand the social-psychological aspects that come into play when change is introduced to groups.

Case 3: The "negative face" of the change process.

This case has been studied in order to understand how change affects individuals on a social-psychological level.

It describes the situation of two female employees that are employed in the wages department of the new VIA University College in Horsens, Denmark.

The case material was procured through a questionnaire about people's attitudes towards the change process that had just been introduced when Vitus Bering Centre for Higher Education (where the women originally were employed) was amalgamated with four other large educational institutions to form VIA University College. The questions for the questionnaire are from Arnold Judson's "Changing Behaviour in Organisations" (Judson, A., 1991: 36-38). The women were interviewed twice. The first time shortly after the plans for their department, as a result of the fusion, became known, and the second time approximately 6 months later. The idea was to document their reaction to the initial fusion shock and later, to check their attitudes once the effects of the initial shock had worn off.

The resultant reaction will be compared with Judson's unfolding of, among other things, Maslow's Pyramid of Needs. It will also be set in relation to Daryl Conner's (Conner, D., 1992:79) theory about "Negative Response to Change", and to his theory on "empowerment".

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The purpose of this case is to find out where the women are in the transition process (flux phase) from a psychological perspective. Furthermore, the case will be used to observe the role "trust" plays in the transition period between the status quo and the desired state. For this, "The Roles of Trust and Control" ((Neves & Caetano, in Journal of Change Management, 2006) has been studied and will be used as reference, but will not be unfolded further.

Case 4: An innovative process from the library-world

This case is procured through direct involvement in the innovative "The Third Route" project, which Aalborg City Library launched in the spring of 2007. Its purpose was to create a range of proposals for the "Library of the Future", which would take consideration to the altered demands from a modern society to libraries as being centres for information, science and culture (Den Tredje Vej, Julie Vestergaard Jakobsen 2008[10]).

There was active participation in this case on the part of the thesis´ author, which consisted of supporting the workshop players´ proposals by sketching them in 3D. This provided many opportunities for observation of the innovative processes that unfolded with regard to employee involvement in workshops.

After observation through participation, and the final seminar about the "Library of the Future" in Middelfart, East Jutland in February 2008, key members of management of the workshops were interviewed face-to-face. These persons not only represented management, but also had a dual role as participants in proposal formulation at the workshops.

The cases´ purpose is to test the use of employee involvement in the planning of new ideas and concepts for Aalborg and Randers Libraries, and to compare this observation with what is written about "empowerment" of employees in the change process.

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[10] Se: http://www.dentredjevej.blogspot.com/

2. PSYCHOLOGICAL INFLUENCES IN THE CHANGE PROCESS

This "theoretical background" section will be used to unfold theories by Kurt Lewin (in Schein, E., 1968), Arnold Judson (Judson, A., 1991), Daryl Conner (Conner, D., 1992) and John Kotter (Kotter, J. and Cohen, D., 1997/2003). The purpose of this part of the thesis is to attain a simple understanding of the psychological background, and the more management-orientated backgrounds, for why people have a pro or an anti-attitude towards change. Only theoretical sections from the aforementioned scholars, which are relevant to the present thesis, will be unfolded.

2.0 The first part:

The purpose of this first part is to explain the psychological influences that all people are exposed to in a change process (Judson, A, 1991). This subject is important because it explains the way people react to change and, therefore, why some people can assimilate change and why others have a problem dealing with it and adjusting to it.

2.1 The Kurt Lewin / Edgar Schein Change Theory

Kurt Lewin (1990 – 1947), who was born in Germany but immigrated to USA because of the Second World War, was a famous and charismatic psychologist and is considered today to be the father of social psychology.

Lewin considered the social environment to be a"dynamic field", which interactively influences people's consciousness. If one adjusted the elements of the social environment, special kinds of psychological effects would result. On the other hand, a person's psychological condition could also influence the social environment

Lewin is known for his "life space" and "field" theories, but also for his research into the conditions and forces that cause change, or resistance to change in groups (in Schein, E., 1968).

Among Lewin´s most famous quotes are:

"Learning is more effective when it is an active rather than a passive process."

"If you want to truly understand something, try to change it."

This thesis has used Edgar Schein´s work (Schein, E., 1968) as a reference for learning about Lewin. Edgar Schein (Schein, E., 1956, 1961, 1968) used Lewin´s change theory in his work with American prisoners of war in the Korean War to study and explain the processes involved in "brainwashing".

The Lewin/Schein Change Model can be compared to a cube of ice. If you want to change its shape, you must first melt it, place the melted ice water in a new mould and then refreeze it to maintain the new shape. The three phases are:

Unfreezing > Changing > Refreezing

or

Status quo > fluid state (flux) > new status quo

When the ice cube has been unfrozen, the fluid state can be described as being in a "state of flux". This is also called the "transition state" and is considered very uncomfortable and uncertain, and it is in this stage that change happens.

Schein (Schein, E., 1968) describes the human change process as dynamic, where the unfreezing process is caused by the "heating up" of the status quo due to the "painful" realisation that things are not as good as they should be, or there are opportunities that remain unexploited for the individual, group or organisation. This heating up of the status quo causes the transition into the fluid, or flux, state. During this state, there is a painful unlearning of old methods, behaviours and ways of thinking and a relearning of new behaviour, restructuring of thoughts and perceptions, feelings and standpoints, etc. All of this happens without one loosing one's identity. When the desired state has been reached, the change is made permanent by the refreezing into the new status quo.

According to Lewin´s change model, human behaviour is based on an "apparently stable state of equilibrium", which is protected by a large force field comprising "driving" and "restraining" forces. In other words, these forces already exist side by side inside each and every one of us. They are the result of all the experiences we

have had since our birth, both the positive and the negative, and they are there to "protect" us. We can look at this force field as a shield surrounding us:
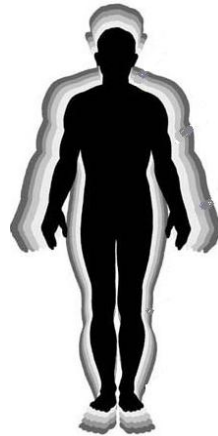
Figure 5: The "driving" and "restraining" forces that protect the status quo.

For at change to happen, the force field must be disrupted (under complex psychological conditions). Just introducing a change through an "external driving" force will normally result in an immediate backlash from the "restraining" forces within the target to maintain the equilibrium of the status quo. However, as mentioned above, there are existing driving forces within us, and the existing restraining forces only need to be removed to achieve success. Unfortunately, that is not as easy as it sounds, as these restraining forces are difficult to attack because they comprise personal psychological defensive mechanisms and norms that are deeply rooted in the individual's, group's or organisation's culture.

If one has studied innovation theory, one would know that a system's norms (its culture) could be a hindrance to change. For example, Everett M. Rogers (Rogers, E., 2003:3) illustrates this in his description of the Peruvian Water Boiling Project, where he describes how efforts to make Peruvian villagers use boiled water for drinking fails because of the cultural perception that only the ill use cooked or hot water.

The Change Theory, step-by-step:

2.1.1 Unfreezing

If we are to bring about readiness and motivation to change successfully, the unfreezing process must contain factors that are separately present to some extent in an individual or system.

Before any unfreezing can happen, change-related pain (which is the level of discomfort that one experiences when one´s current goals or anticipated goals are not being achieved, or are not likely to be achieved in the present status quo) must be present in the individual or system. Change-related pain is, therefore, either "current pain" or "anticipated pain". Schein (Schein, E, 1968) calls this pain a "disconfirmation message" and it represents the unresolved problems or unexploited opportunities of an individual, group, or organisation.

If current pain or anticipated pain is not visible in the status quo (because of unawareness of its necessity, etc.), it must be induced in order to "heat up" the system to change. This is what Kotter (Kotter, J., 1997) calls inducing a "sense of urgency" throughout the organisation. Inducing, or orchestrating, pain is called pain management (Conner, D., 1992) and consists of feeding the individual or system with disconfirming information that generates the necessary up heating and motivation for the change target to leave the status quo and initiate a change process. The amount of pain (heat) that needs to be induced is very individual and depends on the target's or system's "frame of reference", i.e., on the characteristics of the shield that has built up around the status quo.

The following simple example will illustrate the concept of a disconfirmation message/current pain:

An overweight person might ignore the fact that the reason why they are out of breath when they go up a staircase is obesity, but they will hardly ignore it if it comes as a painful disconfirmation message in the form of a mild heart attack!

The driving force that already exists in the individual exists in the form of a bad conscious about the fact that they are overweight, and that they should do something about it. The disconfirmation message that was initially ignored was the shortness of breath (mild heat). The mild heart attack (strong heat) was the "current pain"/disconfirmation message that caused the sense of urgency needed to acknowledge the fact that one loves life and to survive, one must loose weight. In other words, it is necessary to force a feeling of "survival anxiety"", which is brought about by a "survival guilt[11]", that says that if one does not change, one will not survive.

Another example of current pain is the survival anxiety that one meets in connection with the "burning platform" (Conner, D., 1992). The sense of urgency generated here motivates us to implement immediate change because the price of staying in the status quo situation far exceeds the price and discomfort of the flux situation. In these situations, it is not necessary to worry about commitment. In these situations, it is important to worry about timing, i.e., whether the action to change is taken early enough or not. The urgency in connection with burning platform situations can also be about whether or not one should exploit a positive situation and, in this case, the decision to "jump" must be taken when the window of opportunity is at its widest.

In spite of the disconfirmation message, however, there is a factor that can prevent survival anxiety from leading to change. That factor is "learning anxiety", which is the fear of having to admit that if a change were implemented, it would be like admitting that everything that was done in the past was wrong or imperfect. There is a feeling of loss of one's identity and self-worth, and one feels that one is putting oneself into an uncertain situation that is uncomfortable and even painful.

Some people actually prefer to suffer the pain of the current situation than to suffer the pain of uncertainty in the flux situation. At least they know the price that they

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[11] Survival Guilt: Instead of rejecting the disconfirmation message, the change target recognises the faults within themselves. They acknowledge that, maybe, they do not fit the ideal picture of a person and, as a result, they decide to do something about it in order to reduce survival guilt (Schein, E., 1968)

are paying now, and prefer that to an uncertain price of the flux situation. This is a sort of inverted burning platform situation. An example of this is women who stay in abusive relationships.

Learning anxiety, which is fundamentally a form of defensive reaction (restraining force) to the disconfirmation message, can be directly proportional to the latter and lead to the status quo being maintained. Therefore, in order to generate change, learning anxiety must be tackled. This can be done by removing the barriers that prevent change. Namely, by giving the target psychological safety. If this does not happen, the disconfirmation massage will be rejected because learning anxiety is greater than survival anxiety. In other words, the pain and discomfort of learning something new is considered greater than the pain of staying in the present status quo and, therefore, no change will result.

Psychological safety can be provided in the form of time to work with the change, coaching, working in groups, the opportunity to practice with new methods, the possibility of making mistakes without suffering negative consequences, etc. These are all types of remedies that can lead to motivation to change to the desired state.

2.1.2 The change

When motivation to change has been established, the target is considered to be in the unfrozen state, or "state of flux", and is ready to take new learning on board. This happens in the form of new information that will lead the target to the desired state. One has to remember that this state of flux is a period of great pain and uncertainty, and that many change projects fail because the targets are not able to sustain their motivation in this painful phase. The easiest ting a target could do in that situation is to slip back to the original status quo (e.g., the obese person stops training and reverts to being a couch potato).

This state of flux is painful because it sometime requires cognitive redefinition of the target. This is where the target learns new methods of gaining information and

new ways of interpreting it, etc. In other words, the target has to redefine their norms, the way they think, the way they judge things and the way they behave.

The target's original attitudes and responses are "fluxed" and are ready to be redefined, so that they:

- Redefine terms (expressions and phrases) in a new way
- Broaden their "frames of reference" with regard to how they judge things. This is done through "cognitive broadening" (things are interpreted in a broader sense).
- Use new standards for judging and evaluating.

Cognitive redefinition is important in order to sustain the change because, if motivation to change is solely crated on the basis of an attractive remedy (e.g., through reward alone), the change has a tendency to only generate short-term interest that often fades, allowing the target to slip back into the original status quo (Conner, D., 1992: 98).

Cognitive redefinition can happen in the following ways:

- Through "defensive Identification".
- Through "positive Identification".
- Through "scanning".

The target's attitudes are, as mentioned above, in a state of flux. If they use defensive identification in this situation, they use their surroundings to take on new learning. In this type of identification, the target is usually in an involuntary situation, captive in an authoritative environment like a prison, or a person working for an organisation with strict managers or other authoritative change agents. The target is, therefore, expected to change in accordance with the prevailing orders that come in a top-down manner. For example, prisoners begin to identify with their captors and abuse their fellow inmates (the situation that prevailed in Nazi concentration camps in WW2).

This is a reason why it is important to provide the target with the right kind of change agent during the transition (flux) period, where the target is unfrozen and ready to take on new learning and mimic their change agent or role models.

Positive identification gives the target freedom and autonomy. The target is not caught up in an involuntary situation and can leave the situation at any time. The target is free to choose and they have confidence in the people that surround them. The right type of change agent is also important her because of mimicking by the target. Positive identification and trust in one's manager is conducive to attitudes towards the change process and reduces resistance to change ((Neves & Caetano, 2006). This is also true of an "empowerment" situation (Conner, D., 1992).

In the case of scanning, the target is less focused on the mentor (the change agent or manager), but more focused on the information or message of change that the mentor is sending. The mentor is only considered relevant with regard to the message's relevance about the change problem that needs solving. In other words, when scanning is used, the target will choose information with relevance to their needs. Scanning happens through conversation, reading, study and investigation.

2.1.3 Refreezing

In this phase, the target integrates new attitudes and responses into their original personality. If the new feelings and behavioural responses fit the target's original personality, attitudes and the attitudes of their culture, a new cycle of unfreezing and change is initiated. This cycle of unfreezing and change continues until all new perspectives regarding the change have been assimilated with the target's original personality and refreezing has been completed.

In practice, the process happens in the following way:
The target gets response about how their new attitudes, behaviour and convictions, etc, affect their social network, i.e., the individuals in their network that are of most personal importance to them. If the target discovers that their new values infringe on

these peoples´ expectations and values, the target will reject the new values and return to the original way of thinking. There is, therefore, no reason to learn new thinking and attitudes if one has to go back to a culture that does not support that new behaviour (Rogers, E., 2003 and Kotter, J.,and Cohen, D., 1997). One can deduce that there is a process of "checking" with the target's cultural norms to see whether there is consistence.

If the new attitudes and behaviour fit well into the individual's existing attitudes and behaviour, the risk of rejection is very small. If the new attitudes and behaviours are confirmed by the target's culture, they will crystallise within the culture. The target's support base (hinterland) is important for the reinforcement of their eagerness to learn more. This is the way one learns new things (Schein, E., 1968)

Figure 6: Lewin´s/Schein´s (Schein, E., 1968) "change model" explained step-by-step (own illustration, 2008).

2.2 Arnold Judson:

The following is a more psychology-management perspective on people's attitudes towards change, which a manager ought to be aware of in his everyday work with change. It is an unfolding of parts of Arnold Judson's "Changing Behaviour in Organisations" (Judson, A., 1991):

"Any management's ability to achieve maximum benefits from a change depends, in part, on how effectively they create and maintain a climate that minimizes resistant behaviour and encourages acceptance and support" (Judson, A., 1991:23)

Judson's opinion is that people have a built-in need to maintain their personal safety. An Individual is affected by change on three fronts (Judson, A., 1991):

The operative

The Psychological

The Social

The operative has to do with the physiological aspects of change, i.e., how the target uses their body in executing a new operation, etc.

The psychological deals with the way the change affects the target's "comfort zone".

The social aspect is the way the change affects the relationship between people, i.e., those one is used to working with and, not least, the new people one is forced to work with because of the change.

Almost every change will affect people psychologically as well as physiologically (Judson, A., 1991).

Change also generates social affects, i.e., the way people work with each other and the way people work with new people. When people work with the same people for a length of time, personal relationships develop. Change brings disruptions, imbalance and often termination of these satisfactory relationships. These social changes also bring about predictable questions: "How will the change affect my relationship to my colleagues?", "How will my new colleagues be like to work with?" (Judson, A.,1991:17).

To be cut-off from one's immediate social group can cause worry about being less informed about what is happening in the organisation. It can also cause worry about being accepted and recognised for one's skills and abilities by new colleagues and managers, or about one's future in the organisation, etc.

Judson (Judson, A., 1991:21) warns that focusing on only the positive benefit of a change can cause a backlash:

" There is often a strong likelihood that the potentially adverse psychological and social effects will outweigh any perceived benefits, and generate resistance"

Judson underlines that regardless of how good a manager is at identifying, analysing and creating strategies for solving problems in connection with a change, they cannot alone achieve accept and support for the change from the employees if these people perceive it as being negative. Judson also points out that people are not a homogonous mass, as they perceive the same change differently:

"Individual and group behaviour can vary widely across a broad spectrum of possibilities" (Judson 1991: 47).

The following diagram shows the range of peoples´ reactions to change, which spans from enthusiastic support to active resistance.

Spectrum of possible behaviour towards a change
(Judson. A.. 1991:48)

Enthusiastic
Cooperation
Cooperation under pressure from management
Acceptance
Passive resignation
Indifference
Apathy; loss of interest in the job
Doing what is ordered
Regressive behaviour
Nonlearning
Protests
Working to rule
Doing as little as possible
Slowing down
Personal withdrawal (increase time off job and away from work)
Committing "errors"
Spoilage
Deliberate sabotage

Acceptance
Indifference
Passive resistance
Active Resistance

Figure 7: Judson's Spectrum of possible behaviour towards change

With regard to support for a change, individuals will be enthusiastic for change if their own needs and wishes, as well as the group's to whom they belong, is expected to be fulfilled by the change. Even though there are small conflicts of interest, resistance is sometimes considered as being more troublesome and energy consuming than accept. The individual or group can also accept a change because it is considered as the lesser of two evils. To resist can, furthermore, be considered by the group as putting oneself outside all influence, and to enter into cooperation can be perceived as a way of maintaining the group's stability and integrity (Judson, A., 1991: 53).

Generally, the following can be said about change in organisations:

- People can react with resistance
- People's feelings and attitudes towards the same change can be very different from each other.
- People's behaviour towards change can also be very different from each other.
- Individual behaviour can be different, even among people with the same feeling and attitude towards the change.
- The extent of resistance depends on the extent of the conflict between own interests and needs and the effect the change will have on these.
- The measures that people would wish to take against the change are dependent on each individual and the intensity of feeling that person has against the change.
- The action that the individual actually takes is dependent on their manners and breeding, irrespective of that person's feelings towards the change. People have a tendency to behave with more manners towards strangers than towards colleagues. Therefore, group pressure because of what one perceives to be proper behaviour will be a determinant whether one will temper one's reaction to change. In other words, one keeps to the cultural norms in the group (Judson, A., 1991:58).

A person's actual behaviour, compared with how the person wishes to react in a change situation, is shown in the diagram below. It shows that behaviour towards change is a function of pressure from the group and the organisation. These influences can change the actual behaviour of the individual.
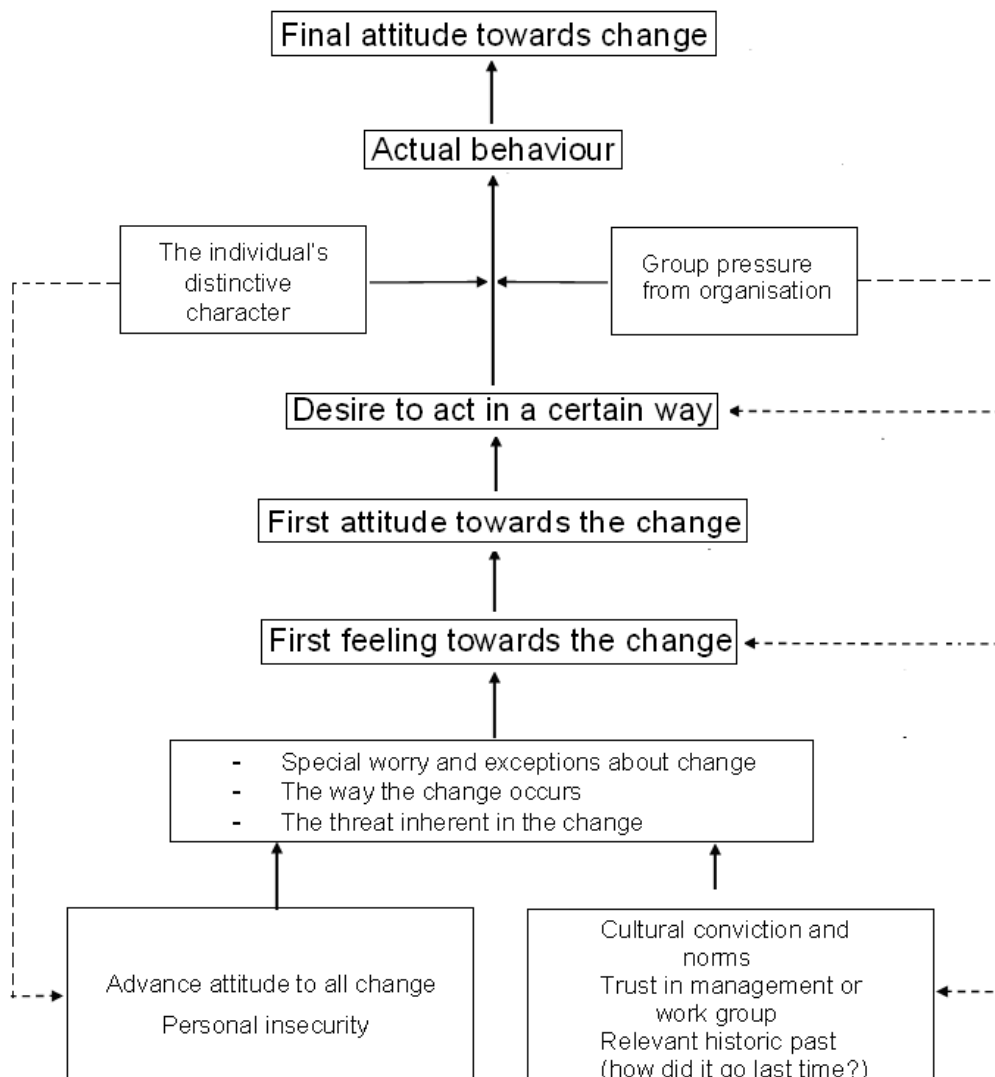
Figure 8: Feelings, organisation pressure, attitudes and behaviour in connection to change (Judson, A., 1991:60)

2.2.1 Judson's eight factors

Judson (Judson, A., 1991) says that people's attitudes (feelings) towards a change do not necessarily show through their actions and behaviour. He is, however, of the opinion that it is possible to predict people's probable reactions to change. He mentions eight factors that mutually influence each other, and influence people's attitudes and feelings for change:

1. Our **attitudes to any change are deeply rooted** in us from birth. Since we were babies, we have been vulnerable to unpleasant change. The first change came when we were forced to leave our mother's womb. After that, our mother's comforting breasts were substituted with a bottle. Later, we learned to excrete our bodily fluids into the toilet instead of a diaper. Last, but not least, we were pushed away from our mother's arms (and affections) when our siblings arrived. All this happened without negotiation and, therefore, we have a built-in resistance to change:

   "Unpleasant memories of these significant childhood changes, and the associated feelings of suspicion and distrust, tend to persist in adulthood" (Judson, A., 1991:26).

   These attitudes are, however, individual and dependent on the individual's physical and mental hereditary characteristics, and the way their parents dealt with the situation when they were children:

   "If the rewards offered for making a change are sufficiently great (e.g. approval and love), then the child may begin to regard future changes in a more attractive light"…"Later on, the adult might regard changes with less suspicion and distrust, facing the unknown with some degree of self-confidence" (Judson, A., 1991:26).

   "By contrast, a child whose parents were constantly making unreasonable demands, unyielding and forcing conformance might have developed very different fundamental feelings about change".

"An adult's childhood experiences with changes leave a legacy in the form of a residue of faint but persistent memories. These memories of the past can exert a pervasive influence on current attitudes when changes are confronted in the present" (Judson 1991:26)

The above are reasons why some people regard change with positivity, and others have a more suspicious attitude towards it.

2. This second factor is about our **fundamental feeling of safety**, which is mainly a combination of our individual personality and, to a lesser degree, our economic capacity. People with many economic resources will feel more secure than those with fewer such resources (i.e., those that are dependent on their income), but their fundamental feeling of safety is influenced by their accumulated experiences throughout their lives. People can have a feeling of insecurity without objective justification. These feelings are also dependent on their degree of self-confidence, quick wittedness, and resourcefulness, which all contribute towards how flexible and able one is to adjust to change.

   Yet another reason for the difference between people that are change minded and those that are change-sceptics.

   It is, therefore, wrong of management to implement a change process under the conjecture that everyone is the same and will all view change in the same way. A manager that knows his people well should be aware of their reaction to change, and should be able to take individual consideration to alleviate the "pain" and resistance during the flux-phase (Judson, A., 1991). This is a further reason why people react differently to change.

3. **Cultural norms**, which everyone has, are an important factor for the change process. An individual can belong to several cultures at the same time, each with their own norms and rules of conduct that are implicit and that no one questions. People invent culture and society in order to satisfy their own needs and to have a possibility to express their needs and inclinations to do certain things. In an organisation, these norms and cultural groups serve to maintain

the equilibrium and continuity among the employees (Judson, A., 1991). This equilibrium can be compared to the stationary equilibrium that the Lewin/Schein (in Schein, E., 1968) describes (see Figure 5).

Problems arise when the planned change comes into conflict with the cultural norms that exist among the organisation's different groups. Therefore, the manager must have knowledge of the different cultures that exist in the organisation and its subdivisions. In this way, problems will be foreseen before the implementation of the change. However, it might be necessary to alter the implicit set of rules that exist within these cultures before implementing a change. This may demand extensive discussion and possible re-education (Judson, A., 1991). This is in line with the aforementioned concept of "cognitive redefinition" (Schein, E., 1968).

4. and 5.:**Trust and Management´s History**. If people have trust in their management, the implementation of a change will be easier to execute than when the opposite is the case. The management's record of accomplishment has a lot to say in this context. People that have trust in their management will also be loyal to them, safe in the knowledge and belief that their interests will be looked after in connection with the change. However, people look back to earlier events in their prediction about how things are likely to proceed. These "proofs" are used as "frames of reference" in judging the real intentions of management in connection with the changes proposed. People have more faith in managers that have great influence with their own superiors than with the opposite. Trust is built though a series of direct and personal exchanges between employees and management over a long period. A "visible" manager is, therefore, more trusted than one who hides away. Management cannot do anything about their previous record of accomplishment, but they should be able to identify the given patterns of trust that exist in the organisation before a change is implemented. In this way, they can give assurances and phase-in the changes, perhaps on a trial basis (Judson, A., 1991). Reference is also made to the paper: "Social Exchange Processes in Organisational Change: The Roles of Trust and Control" (Neves & Caetano in Journal of Change

Management Vol. 6 No. 4, 351-364, Dec. 2006), which comes to the same conclusion about trust as Judson.

6. Maslow's Pyramid of Needs: To understand better, how change affects people's priorities in connection with personal safety and status, self-worth, etc., Maslow's hierarchy of needs is worth studying.
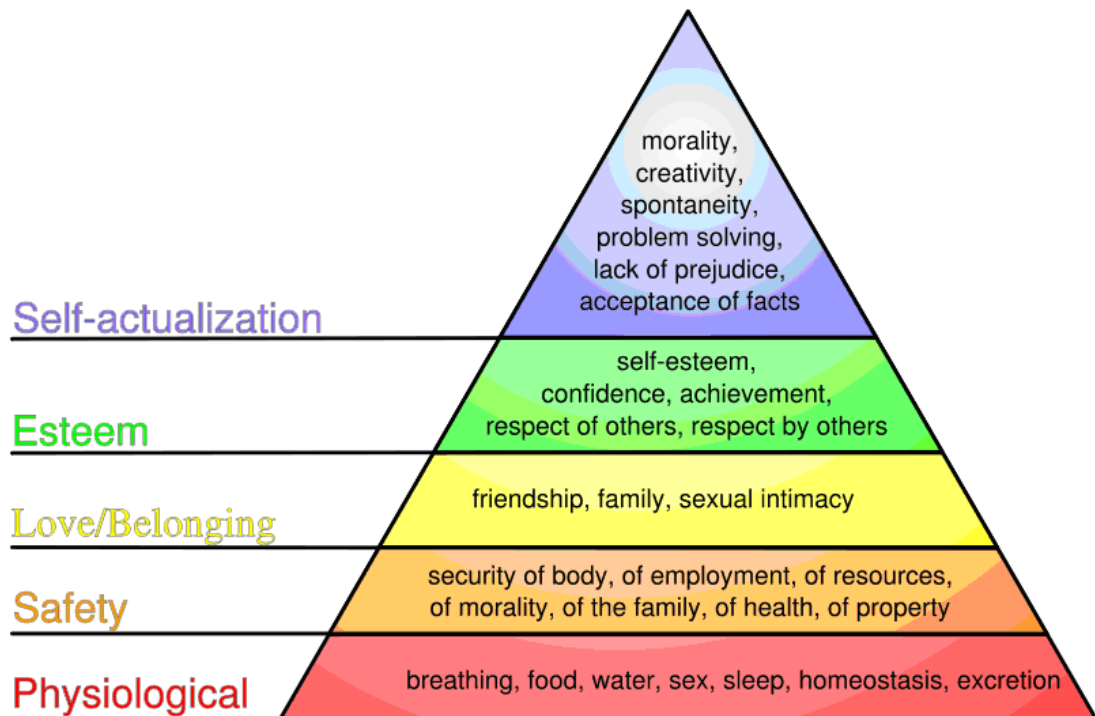
Figure 9: Maslow's Hierarchy of Needs

Maslow postulates that people will seek to satisfy the needs that lie at the base of the pyramid (those that are more basic and important to survival) first. When these basic needs have been satisfied, they do not cease to exist but they cease to motivate the person. Attention and motivation is then targeted at the needs that are placed higher up in the hierarchy. When the physiological needs have been satisfied, the person has "energy" to seek the satisfaction of the psychological needs that are located higher up in the pyramid. Even though a person's basic needs have been satisfied, they continue to exist and when a person feels that these needs are threatened because of a change process, they will react strongly and negatively towards the change. The more

basic the threatened need the more negative and intense the reaction against the change will be (Judson, A., 1991:35).

7. Organisations have a **need to exist in a state of equilibrium** with their environment, and management's task in connection with change is to satisfy this need. If there is harmony between the needs of the individual and the needs of the organisation, the individual will have positive and hopeful expectations for the future. Some of the questions an individual will ask in this type of situation could be the following, which have been used in connection with the interviews of the cases that will follow (taken from Judson, A., 1991): *"How will my long term future in the organisation be affected by this change?" "What are my chances for promotion? How have others managed in similar situations? Will I be vulnerable to unemployment?", etc., etc.*

8. **Management's way of introducing and implementing the change**. The amount of direct orders and control is increased substantially during a change process and many people are not fond of taking orders and view control in a negative way. This in itself can cause a negative attitude towards change because people feel that they have lost their autonomy, which they have worked hard to achieve over a number of years. When people feel that change has been introduced in a dictatorial manner, they feel no responsibility for its successful implementation. When an individual feels that they must change without getting a proper explanation for why they should change, their thoughts are filled with unanswered questions and doubts about the change. Therefore, that individual will invent answers that can be pure fantasy and they will begin to believe in these answers as if they were pure fact. The reaction to the change will, therefore, probably be negative and hostile (Judson, A., 1991). Hildebrand and Brandis (Hildebrandt, S. & Brandi, S., 2005) support this view.

3.0 The second part: Employee Involvement

The purpose of the second part of the "theoretical background" is to unfold some of the theories about employee involvement in the change process. This is done to better understand how this tool can be used to move opponents of the change process and better motivate supporters.

3.1 Arnold Judson (Judson, A., 1991) about Employee Involvement.

Arnold Judson's opinions about employee involvement start with a Chinese proverb:

"Tell me and I'll forget, show me and I may remember; involve med and I'll understand".

His theory is that resistance is reduced, commitment is increased, and personal satisfaction with one's work is furthered when employee involvement is implemented in the change process. The idea behind this concept is to get the individual's or group's accept of the fact that they are participating in active planning, initiating and implementing of the change, instead of just taking a passive role in events. In this way, people feel more in charge of their situation instead of victims of the process. Just as with Conner (Conner, D., 1992), Judson uses the term "empowerment". By this term, there is an implicit and explicit understanding that a manager is not committed to accept the employees´ ideas when they are "involved" in the planning, etc. However, the management must give the employees´ contribution serious consideration. This is because a person that works on a daily basis with specific problems is usually more knowledgeable than others are. Judson's view is that employee involvement functions most efficiently and effectively when it is used in small groups and when the problems concern local changes.

Employee participation can take the form of insight, at the more passive end of the spectrum, or delegation of responsibility at the more active end. See Figure 10 below.

Judson´s (1991:117) Spectrum for Involvement Levels

- Inclusion in distribution lists
- Insight through briefing meetings, etc.
- Digital information exchanges
- Face to face invitations to exchange opinions
- Face to face discussions of problems
- Individual proposals
- Analysis of problems and alternatives
  - Work groups with special tasks
  - Formal councils or committees
- Group proposals and recommendations
  - Formal councils or committees
  - Informal groups
- Formulation of proposed plans and solutions to problems
  - Planning groups
  - Work groups with special tasks (Task Forces)
- To take and implement decisions
  - Tasks with responsibility

Briefing   Consultation   Request for input   Group agreement   Delegating of responisbility for decisions

PASSIVE ←——————————————→ ACTIVE
(Global)   (Local)

Figure 10: Spectrum for employee involvement in the change process. "Active" can also be construed as being at a "global" level, whereas "passive" can be construed as being at a "local" level, where employee involvement is said to work best (Judson, A., 1991).

If a manager rejects an employee idea, the employee in question must have an explanation for why the idea was rejected. In this way, three things are achieved:

- The employee feels that they have had an opportunity to express themselves, and that they have been taken seriously. This strengthens morale and injects a positive attitude towards the change.

- By understanding why their proposal was rejected, they can get a better understanding of the change.
- The employee can be encouraged to come up with other, a perhaps better, proposals next time.

Judson points to research that prove that people who are involved in the decision-making process during a change have a tendency not to resist the change. However, Maslow's pyramid of needs is still valid here. People's ability to participate and be involved in change processes satisfies their need to be respected and valued, which is placed on the higher tiers of the pyramid of needs than their basic physiological and safety needs. If their physiological and safety needs are unfulfilled, any amount of persuasion to participate actively in the change process will be in vain (Judson, A., 1991:122)

Unfortunately, it is not always possible to gather a group of people together and order them to be involved. Judson names five conditions for successful employee involvement:

- That people have the desire to be involved. Culture decides whether people have a need to be involved in the planning and organisation of work. If employees´ lower ranking needs are unsatisfied, the need for involvement will not materialise and there will be no advantage in having employee involvement.
- The employees must feel that the invitation to be involved comes from a genuine desire to get input and advice that will be used if it is suitable, and that this is not just a management ploy to get their own agenda through by appeasing the staff with employee involvement.
- Management must be secure in their own status and role. To ask for advice and input from the workforce can be construed as a sign of weakness and can bring the management's role into jeopardy. However, Judson points out that the employees will usually hold management in high esteem in such circumstances.

- Management must not be fixated on own solutions beforehand. They must be open-minded and ready to consider alternative solutions. Some of the incoming ideas from staff may be superior to that of management's. Management can set-up goals and limits for solutions, while the employees can decide processes. In this way, the solution to problems can be regarded as collective solutions.
- Management must openly give recognition and praise for solutions to employees. If solutions that cannot be implemented are put forward, the reasons for why they cannot be used must be given.
- Employees must be willing to express their opinions and give input when the appeal for such input is given. Involvement does not work if people are passive or apathetic (Judson, A., 1991:127).

What is the payback for the effort? According to Judson (Judson, A., 1991), the advantages of employee involvement are the following:

- Active involvement results in a better understanding of the change required, why it is necessary to change, and the change's possible outcomes.
- Involvement can result in the unfreezing of attitudes, unbinding of cultural ties, etc, on both sides of the table with regard to viewing the change with an open mind.
- Involvement contributes towards the establishment of trust in management's intentions and goals for the change.
- Involvement often results in the emergence of good ideas before the change is implemented.
- Employees involve themselves in the process and commit to the decisions that they have participated in making.
- Employee involvement is proactive in preventing badly conceived changes in being implemented.
- Employees seem to have a better perspective on the change process and develop their competences further.

3.2 Daryl Conner (Conner, D., 1992) about the psychological aspects of change

Daryl Conner was originally a clinical psychologist that changed his focus in 1972 to studying organisational change. He interpreted and extended Dr. Elisabeth Küber Ross´ (Küber-Ross, E., 1969) model for how people understand imminent death, and found it useful in connection with organisational culture and change. Conner identified eight characteristic stages that people go through when they are caught-up in a change that they do not want and cannot control (i.e., to which they have a negative response). The eight stages are the following:

- Status Quo/Stability Stage: This is the stage just before the unpleasant change is announced.
- Immobilisation: This is a chock condition where people can become disorientated or confused because of the "negative" change announcement.
- Denial: Information that relates to the change is ignored or rejected in the current situation (like the rejection of the disconfirmation message: see Lewin/Schein change model (Schein, E., 1968)). "If one ignores it, it will go away!".
- Anger: One becomes angry and looses one's "sober-mindedness" and begin to lash-out, especially towards one's closest colleagues and family, who are accused and criticized, etc.
- Bargaining: People begin to negotiate in an attempt to avoid the negative impact of the change on themselves. People begin to confront the realities and begin to accept the inevitable.

Figure 11: Below, Conner's "Negative Response to Change"

Negative Response to Change (Conner, D., 1992)
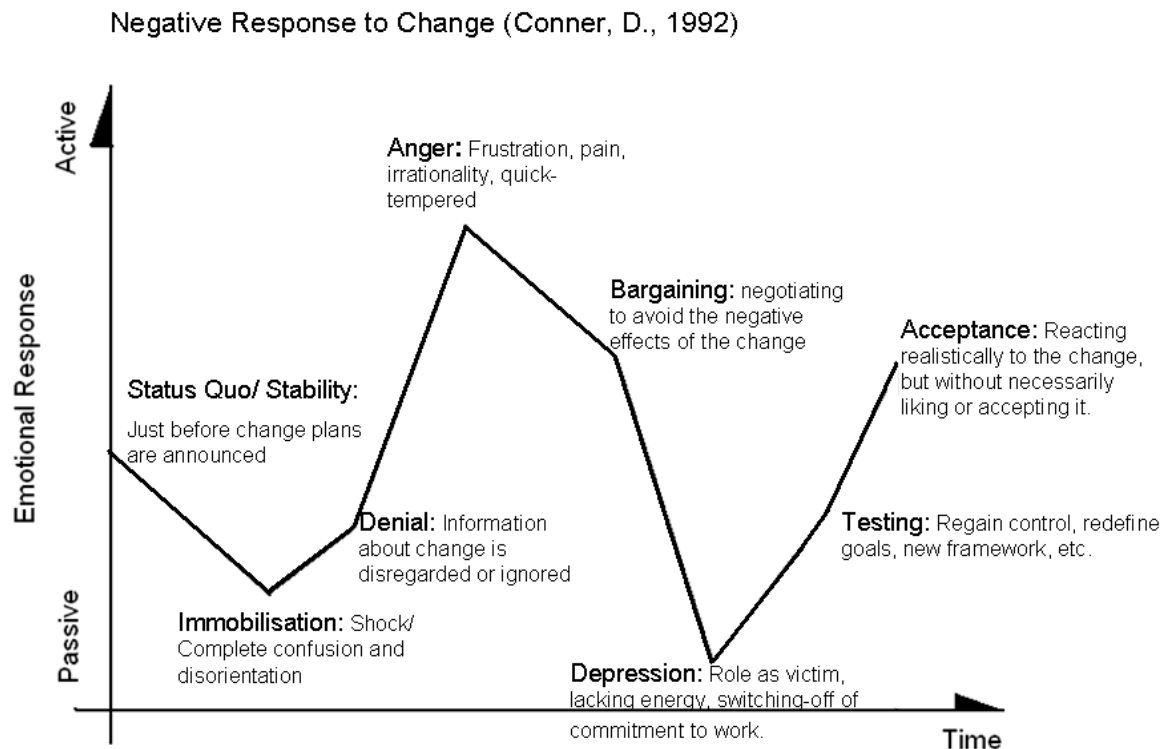
- Depression: In an organisation context, this does not show itself as clinical
  depression, but more as resignation, as a feeling of being made a scapegoat,
  and the feeling of not having energy, etc.

- Testing: One begins to emerge from one's depression phase and seize control
  of the situation. One begins to see the new "framework" and see that it is
  possible to live with the new situation, and one begins to redefine personal
  goals, etc. (Cognitive redefinition?).

- Acceptance: One begins to look at the change in a more realistic light, but this
  is not synonymous with liking or accepting the situation. It is just a new context
  within which one must work.

Identification of these stages makes it possible for management to come to terms
with the problems of change together with the target. It is not always possible to
move from one stage to the next without help. An employee that is "stuck" at one

stage can be very costly for the organisation because of the time and energy that has to be consumed in helping the individual (Conner, D., 1992).

Conner also describes an (initial) positive response to change that later takes a negative direction when the realities of change begin to dawn on people. This can be best described in the following figure:
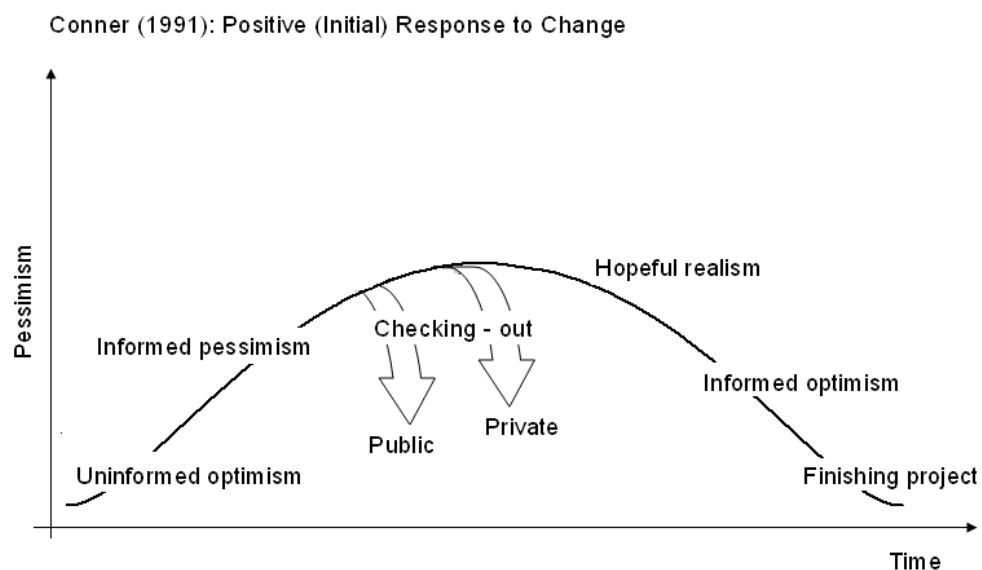
Figure 12: Conner's Positive Response to Change

A short description of the process:

It is not only change that is perceived as negative that can result in resistance. People can also resist change that was originally perceived as positive. Conner (Conner, D., 1992) describes this in his "Positive Response to Change". He uses marriage as an example, but points out that it can also be used in an organisational context to describe the processes that unfold as change is implemented.

This thesis will use a Danish case to illustrate the process. Via University College in Denmark has a course for so-called "Construction Architects", an education that is something between an architect and an engineer. This course was originally taught purely in Danish, with students from a 6th Form educational background

mixed with students that had achieved a journeyman certificate in one of the trades (carpentry, masonry, etc.). The distribution of these students was about 50-50. A decade ago, VIA (which was then called Vitus Bering University College) decided to offer the education as an international course with participating students from all over the EU, Asia, Africa and Australasia, etc. These students come from university backgrounds and only very few of them have a journeyman certificate. The international course was, as it is today, taught in English.

When VIA first started the course, they did not have much experience with foreign students and both sponsors, the college and the Danish students were euphoric about the prospect of having an international atmosphere with different nationalities at the college. There was also a large influx of students from other Danish colleges that flocked to VIA to take a semester or two in the international division. Articles were printed in national newspapers and there was TV-coverage of the events, and visits to the college by the Prime Minister and Minister of Education, and other influential guests. One could have compared this first phase with the stage of "uninformed optimism" where optimism is at its highest (see Figure 12).

Many decisions to change are based on insufficient information. Gradually, as things unfold in the change process, one discovers that large parts of the positive expectations for the change do not materialise and some of the things that one did not expect actually happen. In other words, one discovers the true price of change (Conner, D., 1992).

Going back to the VIA college example, one discovers that some of the foreign students are not used to meeting on time in the mornings, are not used to working in groups, and are not used to working alone without constant supervision by a teacher, etc. The Danish teachers, on the other hand, are used to project orientated teaching and less teacher-control, but the foreign students do not know this concept. A situation of frustration arises on both sides. This phase can be described as being "informed pessimism" and pessimism in the project generally rises her, but this phase always follows "uninformed optimism" (Conner, D., 1992).

Informed pessimism is a "dangerous" phase because the different players in the change process have different limits of tolerance towards pessimism, and a certain amount of "checking-out" is likely to happen for some individuals, but not others. Informed pessimism can be said to be a phase where one is doubtful about the original decision to implement the change.

Checking-out can happen publically or privately. Public checking-out can be said to be healthy because one's negative behaviour is visible. In the aforementioned example, it would show itself as open discussion between teachers-teachers, students-teachers, or student-student, in order to solve the problems through dialogue, or through literal checking-out where students, e.g., leave the college in dissatisfaction and return home to their own countries.

Private checking-out happens when one opposes the change process in a covert manner, by using slander and being reserved. For example, the Danish division of the college can occasionally slander the international division by saying the international students do not have to meet the same, high criteria in order to graduate as Constructing Architects, that it is easier to get higher grades in the international division, etc., etc.

Even though informed pessimism is inevitable, checking-out can be avoided. Some people check-out immediately, whilst others persist. Gradually, as the problems are uncovered and solved, informed pessimism becomes less and less and one moves into the "informed optimism" phase, where optimism rises again. In our example, the teachers find new methods to motivate the foreign students and the international division specialises itself away from the Danish division by putting more international content into the course, etc.

3.3 Conner (Conner, D., 1992) on "Empowerment"

People have their own individual pace at which they move through life and absorb all the different changes that it brings. Daryl Conner calls this the "speed of change". When a person absorbs less change than his optimal pace allows, they are said to be not living up to their potential. When they try to absorb more change than their

speed allows, they begin to show "dysfunctional behaviour" (emotional exhaustion, illness, ineffectiveness, etc.).

People will only move beyond their own "isolated independence" when it becomes apparent to them that something of value for them will be lost if they do not seek cooperation with others (Conner, D., 1992).

An example of this is the "foxhole mentality", described on page 5, note 3.

This foxhole mentality is not only valid for negative situations. One can also cooperate when there is a prospect of common profit. For example, "Partnering" is built-up on the principle of common optimisation and common sharing of risks, etc. Here, one is in a foxhole with the other players. Daryl Conner writes the following:

"Common goals and interdependence can occur as the result of powerful opportunities, which would not be realised without synergistic teamwork……..A foxhole forms when the cost of operating as a team is less expensive than functioning separately"

3.3.1 A little bit about synergy: Because empowerment involves working in a "foxhole" situation with management (team), and in order to better understand the concept of synergy, as applied to group work in a psychology-management context, the thesis will digress from "empowerment" temporarily to unfold this topic further.

Jean.Christian Fauvet (in d´Hebemont and César, 1998) writes about allies in the following terms:

"An ally is neither a friend nor an enemy: it is a person who possesses equal amounts of synergy and hostility".

Hostility (antagonism) in this context is used positively to demand changes in a project where it is felt that change is necessary. A project's players can fundamentally be divided into two groups:

Those who use a lot of synergy on the project and those who do not (d´Hebemont and César,1998).

Experience shows that the latter group is in the majority and comprise between 40% and 80% of group members.

Group participants can both show synergy and antagonism within the same project:
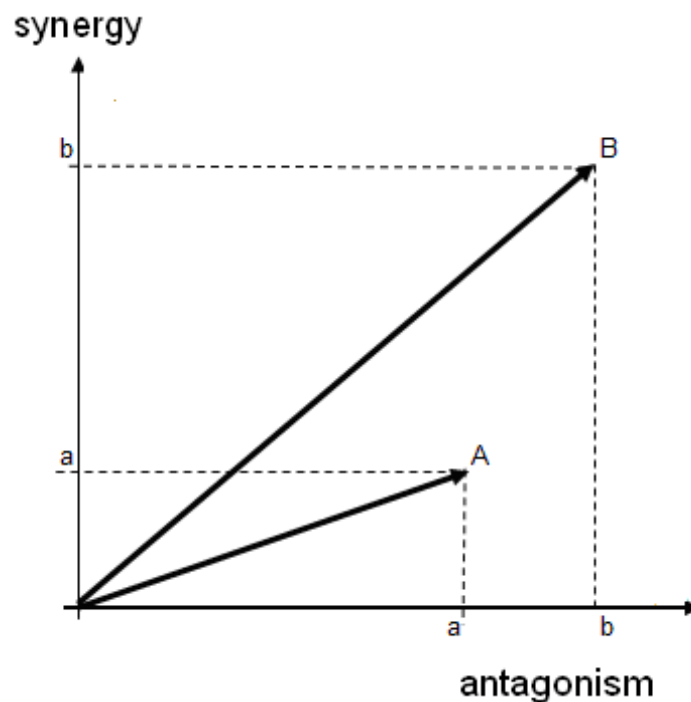
Figure 13: Different levels of synergy and antagonism shown by different group players.

Jean-Christian Fauvet (in d´Hebemont and César, 1998) suggests a scale for categorising a person's synergy and antagonism using the following values, which are set out on the x- and y-axes.

Synergy is measured on the y-axis on a scale spanning from +1 to +4.

This scale is further segmented into two parts, one part where the players take initiatives (+3 and +4) and the second part where the players do not take initiatives (+1 and +2).

At this point, it would be appropriate to define initiative:

"Initiative is the capacity to act in a way that is conducive to the project without being asked to do so" (Fauvet, J-C., in d´Hebemont and César, 1998).

The scale for synergy:

+4 indicate a player that does not have to be encouraged to continue to give the project his wholehearted support.

+3 is given to the players that take the initiative, but need to be encouraged to continue to do so.

The players that are placed on the rest of the scale do not have strong synergy, but there are different ways of being passive.

+2 indicate that the player that does not take initiatives them self, but follows initiatives taken by others.

+1 indicates that the player reluctantly follows initiatives by others, and has to be reminded of them repeatedly.

Similarly, antagonism can be measured on a scale from -1 to -4.

-1 is given for support to a "competing project", which means that the players uses an alternative way of executing the project than the way they were instructed to by management. This shows the person's reluctance and energy towards doing something in his or her own way. This shows reluctance and antagonism towards the "real" project.

-2 indicates that the person is so reluctant to do what they have been instructed to do that they actually try to negotiate an alternative method of doing the task (stubbornness)

-3 indicate that the person literally has to be forced to do the task in the way instructed by management, possibly with threats or other negative sanctions.

-4 indicates that the person would rather die than execute the task as instructed (he/she would rather resign, loose wages, etc).
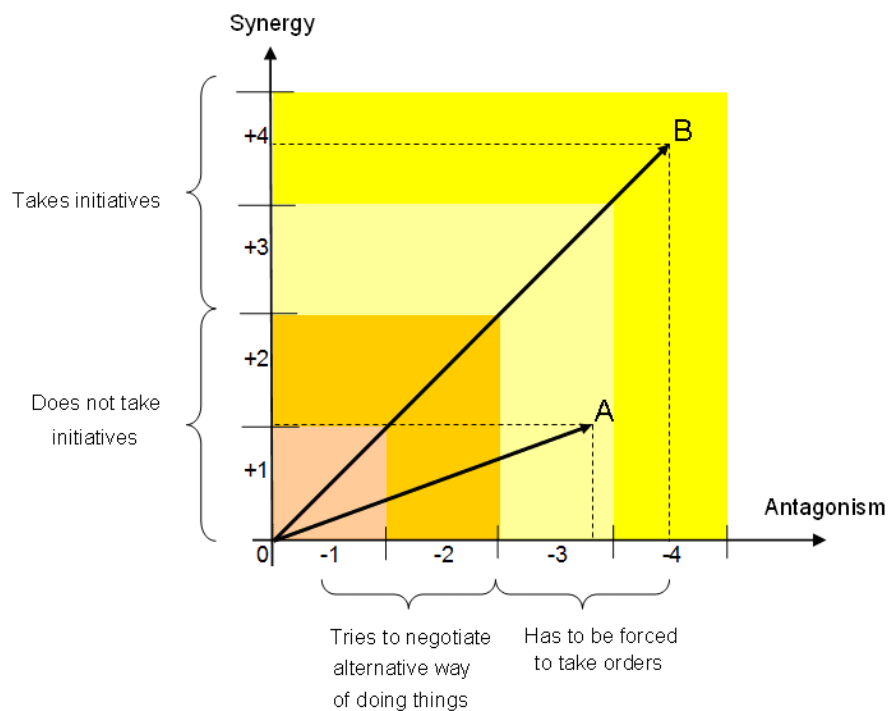
Figure 14: Placing group members in cooperation categories (d´Hebemont and César, 1998)

Categorisation of synergy/antagonism characteristics for people who work in groups will most likely result in the following social-dynamic playing field:
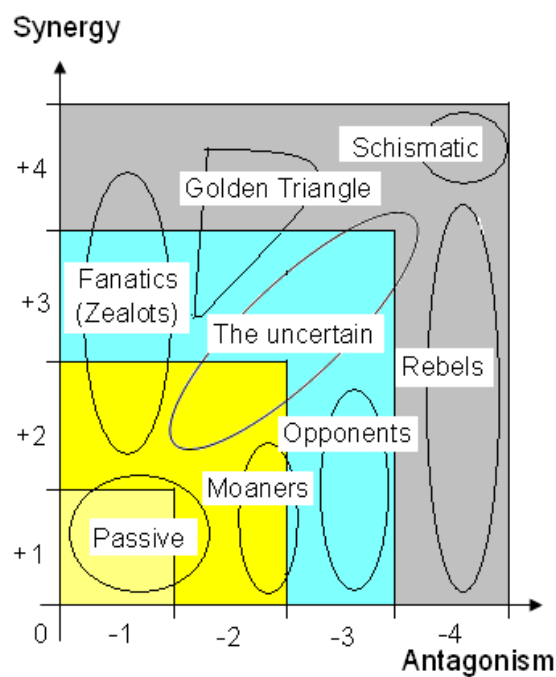
Figure 15: The social-dynamic playing field (d´Heremont & César, 1998)

The different people-types are defined in the following:

Categorisation of synergy/antagonism characteristics for people who work in groups will most likely result in the following social-dynamic playing field:

Fanatics (Zealots): These are usually the project's staunchest supporters. They have great synergy and no antagonism.

The Golden Triangle: Have strong synergy, but sufficient antagonism to stand back and suggest improvements.

The Uncertain: Have equal amounts of synergy and antagonism, are reasonably involved in the project but, dependent on circumstances, cannot or will not support projects decisions.

The Passive: Have weak synergy and antagonism. They are the silent majority.

The Moaners: These people are weak in synergy and equally weak in antagonism.

The Opponents: These are the opposite of fanatics and have more antagonism than synergy. They are placed under the diagonal in Figure 15, indicating their sensitivity to pressure.

The Rebels: Have very strong resistance and would rather loose everything than let others have success.

The Schismatic: Have a high degree of synergy, as well as antagonism. They support the project a lot but may have the opinion that it is managed wrongly, and they are normally critical of its leadership. This type of person does not like to be where they have no part in decision-making.

The social-dynamic characteristics described above are by no means fixed. They depend on the project situation that the individuals find themselves in. In other projects, the participants may change groups. Participants can also change groups dependent on the phase the project is in, or based on the individual's understanding of the project. Another factor could be whether the individual can get a personal gain from the project, or whether there is something in the project that restricts their freedom of action. Big changes and redefinition of the project can result in big changes to the social-dynamic playing field, where the "passive" and the "uncertain" can change their loyalties very quickly.

The playing field shows that the "fanatics" and the "golden triangle" are the main allies. They will usually help in managing the project, whereas the "uncertain" are potential allies. The silent majority can be won or lost dependent on how the management of the project act. Their lack of synergy is more worrying than their level of antagonism. They are like sheep because they normally follow the majority and are, therefore, are easily swayed (d´Heremont & César, 1998).

In many normal situations, where management hires people to do a piece of work, they are punished if they suggest innovative alternative methods of doing the job. However, when employees find themselves in a "foxhole situation" with their bosses, holding the ammunition for them, and the project's success depends on them working together, a situation of synergy arises because the employee experiences a feeling of self-worth.

The greatest barrier for the formation of foxholes is, however, employees´ own disinclination to accept responsibility for expressing their opinions because of impotency in their everyday personal lives, or their careers. This makes them hesitant when agreements have to be established with management about real "empowerment" in the project (Conner, D., 1992).

Conner is an advocate of "empowerment" of employees in the change process. He sees the workplace, where people spend a great deal of there lives, as a classroom where flexibility and robustness is taught and learned as competences. He calls these "resilience skills" (Conner, D., 1992).

People that are empowered (enabled) influence the decisions and behaviour of management and they add real value to the project. The opposite of empowerment is victimisation, i.e., one becomes a victim for the change process. If people want to form foxholes with management, they must overcome their fear of being victims and engage management in an empowered manner, where they are safe in the knowledge that they hold management's ammunition. This gives a healthy balance of power (Conner, D., 1992).

Empowerment means that management asks the employee to give their input in the form of advice and proposals towards the solution of problems in connection with the

change process. Management is not obliged to take this advice or accept these proposals, but to accept these inputs as being valuable in their decision process. A condition for real empowerment is, therefore, the fact that management regards the input as valuable and that the employees are willing to give this input (Conner, D., 1992).

According to Conner (Conner, D., 1992), an empowered person shows characteristic qualities. The individual acknowledges that there are potential advantageous opportunities to be exploited. This requires action by them. They acknowledge also that problems always have a solution, even though these solutions can be costly and difficult, and that dilemmas have no solutions but are part of the situation, which must be accepted and controlled.

Conner categorises people into two types:
- Those that are victims of change, because of lost opportunities, unsolved problems and unaccepted dilemmas.
- Those that take action and control the aforementioned.

Decisions are often taken based on insufficient information, but once taken one can stick by them, reject them, or completely change them.

Empowered people look at life as an expensive pastime. One must pay to achieve what one wants, or pay for not achieving them. Both payments are expensive, so one chooses the solution that is most cost-effective (least to pay, most to gain).

Empowerment is not something the organisation can give their employees. As a person, one can achieve empowerment through creative "reframing" (Conner, D., 1992). Presumably, the kind of reframing that happens in accordance with the Lewin/Schein change model, where it happens as a result of the unfreezing process and when the individual is ready to learn something new, or see things from a new perspective. One is forced to shake up one's standards, norms, etc, in order to evaluate things in a new way in comparison to the way things were evaluated in the old status quo. In other words, the workplace must be set-up in such a way that empowerment can be nurtured and have good growth conditions (Conner, D., 1992).

3.4 "Participative Management"

Empowered employees are not the only precondition for working "synergistically" in the organisation. The "flux" situation that most organisations find themselves in because of constant change, demands that management draws on all resources that are at their disposal. The greatest of these are the human resources that possess creative solutions, important know-how and the ability to support projects (Conner, D., 1992).

The philosophy behind participative management is that one, from the very start, defines how deep employee involvement in decision-making and the planning of own work, is to be. Otherwise, problems will occur. To involve employees does not mean that the management has handed-over control and the final decision-making to the employees. Management merely exercises its right to involve the employees so that a decision can be taken on a best-informed basis (Conner, D., 1992).

However, if one has employee involvement and input, one should treat them as if they had a real power-base. Their power-base will consist of the knowledge and competence they have and can contribute with in a foxhole situation, where they find themselves together with management and are joint in the solution of a task (Conner, D., 1992).

Even though organisational change can happen without employee involvement, it is more likely that people will support and take responsibility for solutions they have been involved in forming themselves. The effective use of participative management will help to achieve the necessary commitment from employees in the successful implementation of change. This does not mean that management will involve all employees all the time in the change process. On the contrary, they must only be involved based on their ability to input positively to the process (Conner, D., 1992).

3.5 John Kotter (Kotter, J., 2003) on "Empowerment"

Whilst Conner (Conner, D., 1992) talks about the empowerment of employees in order to influence the decision-making process and adding real value to the change process in the form of knowledge, competence and good advice, Kotter talks about removing hindrances for employees´ empowerment so that they can start initiating the change (Kotter, J. and Cohen, D., "The Heart of Change", 2003).

Kotter is of the opinion that when the first four stages[12] of his version of the change process have been implemented, the employees are "unfrozen" and ready for the fifth stage, namely "empowerment". Kotter does not define what he means by empowerment, but it is the opinion of this thesis that he means it to be "authority" to the employees under management´s responsibility.

Kotter identifies the following as concrete hindrances for empowerment of employees:

- "Core-stiffness" in management (as opposed to core-competences; where existing competences have been used so long that they have now become stale and stiff, and become a hindrance for progress).
- The existing reward system (or lack of reward system)
- The negative mind as a hindrance (psychology)
- It is a hindrance to try to do everything at the same time (Kotter, J. and Cohen, D., 2003).

When the employees have understood the vision and are ready to act, the next step is to remove the old sails and provide them with new ones. It is also imperative to remove the headwind and give them a tailwind, and remove the old pessimistic skipper and give the crew and new and more optimistic skipper. Many managers, especially at the intermediate level, view change with scepticism and feel that the current status quo is good enough. In those circumstances, employees that believe in the vision will either use a lot of energy to manoeuvre around the manager or give-up on the change process. The cure for such problems is to send the manager in question on a job-swap to one of the customers of the organisation, so that they can experience the "product" first-hand from the customer's viewpoint. This is because

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[12] The first four stages are (chronologically): Increase urgency, build the guiding team, get the vision right, and communicate for buy-in (Kotter, J., 2003)

one has a tendency to be blind to one's own faults and actions and believe that it is the best that can be done. When one experiences ones best efforts from the point-of-view of the customer, a sense of urgency is awakened to change the situation, and a "disempowered" manager is thus turned into a "empowered" leader that is willing and motivated to see his best efforts in a new light and see the idea behind the change vision (Kotter, J., & Cohen, D., 2003:103).

These "disempowered" people are normally the ones who have been employed in the organisation for a long period of time and have a lot of experience and many competences, but they are bound to the past and their core-competences have turned rancid and become "stiff-competences" (see definition in Hildebrandt, S. & Brandis, S., 2005:63). This stiffness of competences need not be the only reason for these managers´ resistances to change. It is conceivable that top management has failed to communicate the four first steps of the change process (according to Kotter, J., 2003) to intermediate management, namely:
- The establishing of a feeling of urgency
- Establishing a loyalty to the steering coalition
- Establishing faith in the overall vision
- Communicating the above, especially to the intermediate management level.

If these four factors have been neglected, there is likely to be a core of intermediate managers that are resistant to the change and exercise their resistance in a covert manner (Kotter, J., & Cohen, D., 2003).

There is an aspect of the existing system in most organisations that is problematic in connection to empowerment of employees, namely that part of the organisation that has to do with evaluation and allocation of rewards. The system demands a special effort of the employees, but it is often not geared or ready to give recognition and rewards. It is important that the structure of the organisation be prepared to tackle this situation if the vision is to be realised. Money is not the only way to reward people, even though it is a great motivator. Acknowledgement that touches people deeply (e.g., in the form of recognition for work well done at a conference for the

whole organisation, that is held in an exotic venue, etc) could be a way of remembering the occasion in the collective mind of the organisation. The moral is: *" The company wants you to leap, will cheer when you leap, and cares deeply when you leap"* (Kotter, J. and Cohen, D., 2003:112).

Hindrances in the mind come in the way that people think that they cannot change because they have become a little too old, "and you cannot teach old dogs new tricks".

Usually, these people are frightened of new technology, computers, etc, but in reality there is nothing wrong with the person's IQ, competences and ability to hold information, etc, that should be a hindrance for change. It is all psychological "learning anxiety" (see Schein, E., 1968, "The Change Model") (Kotter, J. and Cohen, D., 2003):

" Never underestimate the power of the mind to disempower"

Neither should one underestimate certain people's ability to motivate others to see their abilities and help them to overcome their learning anxieties by having faith in themselves (thought is given here to the thesis´ Case 4 about the library project and Eva, at Randers Library, who spends a lot of time motivating the passive to be more active).

It is always a good thing to employ change agents to generate conditions that are conducive to lowering learning anxiety. For example, Eva, Randers Library (Case 4: The Third Route Project), does this by using the people who have participated in the development workshops of the Third Route Project as change agents to motivate the employees working in the normal groups in the library itself, where the changes have to be implemented (see Case 4).

Information is a source of power, and a shortage of information causes disempowerment. The information value of own actions, i.e., information about how one conducts "instinctive" actions can be very valuable as feedback in a change process (Kotter, J. and Cohen, D., 2003). Video recording of own work can be used to study the processes that one goes through in connection with a work activity. In

this way, one can find methods of rationalising and improving the process. The idea is to video record the process and subsequently analyse the process with the people who actually did the process on video. Thus, one can find weaknesses and improvements oneself. This is an example of empowerment of employees where an atmosphere of "We can do it better "optimism is created (Kotter, J. and Cohen, D., 2003).

The key to empowerment lies in the knowledge of where the hindrances to empowerment are. Many people are afraid of using empowerment because the hindrances seem insurmountable. They have bosses that block empowerment, they have problems with the recognition and reward system, they have problems with their own minds with regard to the big projects in front of them, etc. All these things seem insurmountable, but if one tackles one problem at a time, the task becomes surmountable (Kotter, J. and Cohen, D., 2003).

4. CASE PRESENTATION AND ANALYSES: PSYCHOLOGICAL INFLUENCES IN THE CHANGE PROCESS

4.1 Introduction
This section of the thesis is where the theory from the literature section is held up and analysed against the cases. The section has been built up as a combined empirical study and analysis section to maintain continuity. This means that the cases are described first, analysed immediately after that, and then sub conclusions are drawn. It is felt that the overview and relevance of each case is best kept by using this method of presentation.

The purpose of the following cases is to understand how groups are affected by change on a social-psychological level.

4.2: Lean start-up meeting in Odense, Denmark
Office building: Havn 2, Finlandsgade 1, Odense, Denmark

Contract: NCC is the total contractor.

Date: March 2007

Workshop venue: Portable cabin on site

Duration: Approx. 3 hours

Project: Installations Works and Carpentry Works in connection with partition walls and suspended ceilings.

Purpose of meeting: Kick-off workshop for Lean. The aim of the workshop was to establish a detailed schedule for the aforementioned works and simultaneously introduce principles of Lean Construction for the contractors.

Present:

- Birgit Hansen (Project Manager, NCC), Ivan Maimann (NCC); these two are the "flying squad" for the Lean and Partnering efforts on NCC´s Danish building sites.
- Water, Heating and Sanitary (WHS) Contractor (1 person)
- Electrical Contractor (2 persons)
- Carpentry Works (2 persons)
- Site Manager: Jesper for NCC
- Site manager's assistant: Martin for NCC
- Structural Engineer: a person on an internship from the University of South Jutland
- Observers: Students from this course (Masters, DTU, Copenhagen)

Presentation of events:

With the above list of persons, the playing field has been chalked-up. The workshop's purpose is to establish a doable main schedule for the following weeks´ works in connection with installations, under which a suspended ceiling is to be mounted by the carpenters. Simultaneously, Birgit will talk about Lean Construction.

" It's all about getting you lot to make a decent schedule for us", says Birgit (NCC) to the master craftsmen gathered at the meeting.

"That sounds like a sensible thing to do", says the WHS – subcontractor.

This is how the meeting starts in the portable meeting-cabin of the Havn 2 Project in Odense Harbour. The main purpose is to establish the aforementioned detailed main time schedule for the project. Subsequently, this will be used to focus on a 5-week period at a time, after which the supervisors for each trade will cooperate in detailing the work plan for a week at a time.

Ivan Majmann (NCC) has vast experience with managing workshops such as this, but for Birgit, it is only her fourth. Only one of the contractors at the meeting has tried a planning workshop like this before. He is the WHS-contractor.

The project manager welcomes everyone and explains the purpose of the workshop. A large tray of bread rolls and danish pastries are carried into the room and all the participants are invited to take coffee. Some of the contractors accept the offer and start eating and drinking. Most of the contractors seem a little uneasy and are very quiet, as they do not know what exactly is expected of them. An exception is the WHS-contractor, who seems more relaxed – presumably because he has tried this type of workshop before. In other words, the Total Contractor (NCC) has already got themselves an ally on the playing field in this innovative change process (d´Herbemont & César, 1998).

Birgit starts by showing the contractors a Power Point show about the theory behind Lean Construction. She explains the seven streams, talks about Last Planner, and she shows examples of bad workmanship on site and what good workmanship should look like. She then goes on to talk about the principles behind push and pull logistics. In short, she gives the contractors a one-hour crash-course in Lean Construction.

The contractors listen attentively, but look a little sceptical about what is said. During Birgit's presentation, the site manager underlines the importance of establishing a detailed time schedule with the contractors' involvement.

Birgit finishes her presentation and people begin to reach for the coffee, rolls and danish. The atmosphere is more relaxed now that people are about to get down to some "real work". While people are eating and drinking their coffee, Ivan (NCC) starts to talk. With a cup of coffee in one hand and a piece of danish in the other, in a true tradesman stance, he starts to talk about this and that.

Suddenly, the carpentry contractor shouts, as he lifts the bag of bread rolls and danish away from the table, *"Shall we get started?".*

There is a large piece of white paper from a roll fixed to the notice board on the wall. It is blank and on it, the contractors will paste small post-it notes in various colours, each denoting an activity of the forthcoming works and each colour denoting a specific trade.

Ivan writes something in the top left hand corner while he asks: *"What shall we plan today?"* followed by *"What has been done up to now?"*.
On the adjacent wall, there is a piece of paper with the title "Hindrance List". It comprises the following points:

Item	Hindrance	Deadline	Responsibility
1.	Terrain Project/Council	??	Jesper(NCC)

The hindrance list (or problem list) is a list of items that need doing in order to complete the activities, as they are discovered during the working-up of the process plan. These can be problems with drawings that are not finished before the process has started or materials that cannot be delivered to the site because of obstacles that hinder their off-loading, etc. This list indicates who should deal with the problem and to what deadline. The problem list is, therefore, the starting point for the period plan (Bertelsen, S., 2006 Håndbog for Trimmet Byggeri) and is where problems are parked while a solution to them is sought.
"Are there deliveries we don't have control with?" asks Ivan.
"Have the drawings been ordered?"
"How much of the building has been made tight?"

Some of the contractors do not say a word. They remain silent and passive.
The WHS-contractor is very lively and positive towards the workshop. He is an ally to this project and is able to influence others to take on a positive attitude towards the workshop as well. He has "conquered the scene".

Gradually more and more contractors become involved in the workshop and a discussion develops between them under the leadership of the NCC people. The main contractor for the carpenters leaves the meeting, excusing himself by saying

that his subcontractor will take care of his interests in the planning. A few of the invited contractors have not turned up, so there is already a coordination problem.

A small drawing of the building's cross section has been hung on the wall as a guideline.
All the contractors remain seated. Only Ivan is standing at the blackboard. The contractors hand him small coloured post-it slips with their individual activities, simultaneously giving him institutions as to where they should be hung on the board. Ivan then hangs them on the white paper in the agreed sequence.
A horizontal plan, in the form of variously coloured post-it slips, slowly begins to develop through one of the building's floor levels from left to right. The idea is to copy this plan subsequently to the other floor levels.
The contractors become more and more involved and more and more talkative and, before long, both activities and milestones have been determined and hung up.

Birgit (NCC) comments to one of the observers: *"People accept authority less and less. They want involvement in the project, and it is for this reason that the agreements are respected"* .

The large group of contractors now begins to break up into smaller groups, and they start to discuss the project's details among themselves. More and more activities begin to fill the board on the wall. From time to time, activities that have been forgotten appear in the right sequence in the plan. Once finished, the paper-slip plan will be converted to a digital plan with planning software. The hindrance list also becomes longer and longer.

When all the activities have been put into sequence, the contractors are asked for their assessment of durations, and these are written onto their individual slips. Ivan reminds them of the handing-over deadline of 1 June 2008.

Birgit Hansen, NCC, comments:

"When contractors plan in this manner, they do not usually make reservations (provisos) to the plan, simply because they have been involved in working it up".

Lunch arrives by errand boy, but nobody seems to have time to eat anything. The plan, with its activities and durations in the right sequence, has been determined. The horizontal plan will be copied vertically to the other floors so that the plan for the whole building can be determined. One of the contractors comments that the other floors should go a bit faster due to the effect of repetition.

The process plan on the wall is finished. The NCC-people take the initiative to sign their names on it first. One by one, the contractors follow the NCC – peoples´ lead and sign the post-it poster plan. Birgit takes a picture of the plan with her digital camera, followed by another picture with all the participants in front of the plan.

Everyone in the room seems to have a sense of achievement and a feeling of having been part of the creation of the plan, and everyone seems to feel a responsibility for its successful implementation. The meeting is finished. The plan will be digitised within the week and will be followed up with at detailed period plan for next week's work. The original post-it plan will remain on the wall of the portable cabin as a reminder of a team effort (as evidence of part of the process value, and the start-up of the implementation of the product value for the project).

4.3 Lean start-up meeting in Bryggen, Vejle.

Contract: Shopping Mall called Bryggen, Vejle. 2½-storey building

NCC, is the total contractor (Contract sum: 400 M Dkr.)

Deadline for finish: April 2008 (workshop held in March 2007)

Workshop venue: Portable cabin on site

Duration: Approx. 3 hours

Project: Ventilation, WHS Works, Electrical Works and Carpentry Works for the whole complex.

Purpose of meeting: Kick-off workshop for Lean and to establish a detailed schedule for the aforementioned works, which subsequently will be used to form the basis for 5-week periods plans.

Present:

- Birgit Hansen (Project Manager, NCC), Ivan Maimann (NCC); these two are the "flying squad" for the Lean and Partnering efforts on the company's Danish building sites.
- Water, Heating and Sanitary (WHS) Contractor (1 person)
- Ventilation Contractors (3 persons)
- Sprinkler System Contractor (1 person)
- Carpentry Works (1 person)
- Electrical Works (1 person)
- Site Manager: Trine 1 for NCC
- Site managers assistent: Trine 2 for NCC
- Site intern (Anders)
- Observers: students from this course (Masters, DTU, Lyngby).
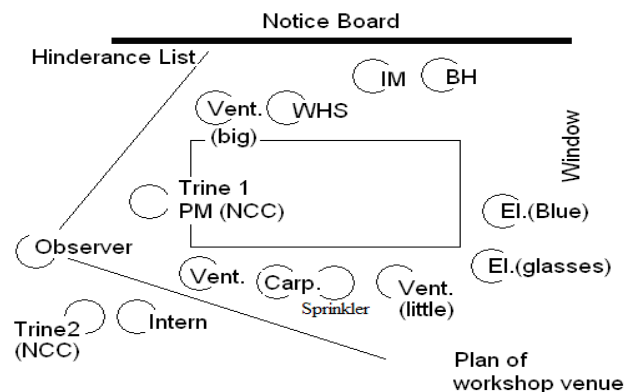
Figure 16: Seating plan for the workshop participants

Presentation of events:

Compared to Danish standards, Bryggen is a reasonably large project. There are many contractors concentrated within a relatively constricted area, especially as the project nears its completion. Therefore, special provisions have been made to ensure that everyone has the space they need to complete their tasks safely and to the quality standards required.

Again, NCC is the total contractor and has sent their Lean "flying squad" to Vejle to introduce the contractors there to the principles of Lean Construction. Again, the goal is to get them to put a main time schedule together for the installations works for the whole project. This main schedule will subsequently form the basis for the 5-week period plans, which will be detailed as the need arises. Weekly plans that will be worked up by supervisors have been scheduled for every Thursday morning at 9 am., where Birgit Hansen will be on call to help them while they do the detailed planning for the following week's work (Last Planner). Attendance is compulsory at these meetings. In case of absence, a substitute with power to take decisions on behalf of his supervisor must be sent. The 5-week period plan will be studied in detail at these meetings. The hindrance list will be checked to see whether obstacles have been removed, and next week's plan will be established.

At this point, the raw carcass of the building has already been erected, the roof is on, and most of the facades have been enclosed with outer walls and glazing.
The participants for the contractors are all supervisors for different trades within the area of installations. Compared with the contractors from the project in Odense, these contractors seem to be a bit more militant in their attitude towards new ideas and the present site management.
The meeting starts with great dissatisfaction among the contractors because of the access conditions to the site, the conditions for unloading materials and maintaining of the flow of work on site, etc. They loudly voice their discontent and the scene seems to be set for confrontation.

As with the first case in Odense, Birgit goes through her usual Power Point show about Lean Construction. At first the contractors pay attention to what is being said, but before long, their attention drops.

El (blue) stairs inattentively around the room and some of the other contractors do the same. Some look at each other whilst smiling mockingly with upturned eyes. Ten

minutes into the presentation, the attentiveness is rapidly dropping due to boredom caused by the theoretical content of Brigit's lecture.

These people are not academics. These people are tradesmen and, therefore, belong to another culture. There is a bit of sarcasm and laughter when Birgit suggests that the contractors should look after each others´ work:

 " If one observes that another contractor's tarpaulin has blow off, then one should make an effort to cover that person's brickwork to protect it against the rain, etc.", suggests Birgit.

The sarcasm reaches even greater heights when Birgit shows the following pie-chart and suggest that moving 3 % from "waiting time" to "mounting works" will increase mounting by 10%.

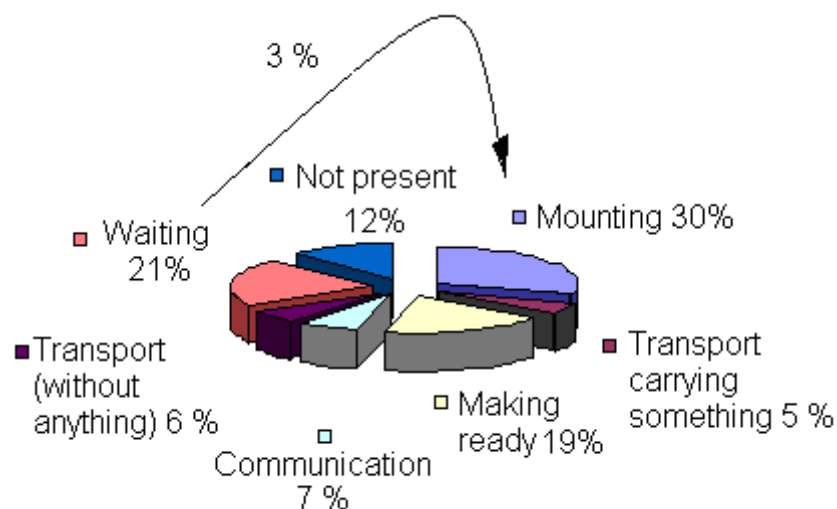*"Theoretical !"*, suggests one of the contractors.

Figure17: Brigit's pie chart

As Birgit goes through the seven conditions for "healthy activities", the contractors show less and less interest in what she has to say. Their interest is, however, revived again when the agenda for establishing the process plan is mentioned.

Birgit finishes her presentation and is met with an awkward silence, without questions or comments from the contractors who are obviously indifferent towards her presentation.

Even though the contractors are unwilling to say anything, this is a welcome opportunity to break the ice by taking coffee, which is done in more or less silence. Ivan breaks the silence by asking the contractors what their experience is with Lean. The question is promptly answered by Vent. (little), whose tone is a bit scornful: *" It all starts with good intentions, but comes to nothing as a rule"*.

Ivan (NCC) takes the floor and asks: *"Who will be the first on the playing field?"* The sprinkler contractor is very active with suggestions as to how one should start. He seems considerate towards the other contractors. There is a positive exchange of ideas between him and some of the other contractors.

El (blue) shouts our aggressively:

"Container placing for night deliveries to the hindrance list!".

"Have you lot considered consulting Jehovah's Witness? They can build the house you want in a week!"

Vent (big), who previously showed himself to be a bit of a moaner, has now suddenly become very active by pasting post-it slips onto the board. There is a discussion between a group of contractors at the end of the table near the window. Vent (little) is particularly aggressive in tone towards the carpentry contractor. Trine 1 (site manager) intervenes on behalf of the carpentry contractor, whilst Vent (little) sends him a dirty look.

The disagreement is about whether Vent (little) and his colleague Vent (big) should mark-up where their constructions would be placed so that the carpenter can place his constructions. Vent (little) closes the possibility of further discussion by snapping: *"We don't need to discuss that now!"*.

Ivan and Birgit now have their hands full trying to manage the rebellious contractors who seem to be objecting to everything. Compared to the previous workshop in Odense, this time schedule is taking longer to be established and the activity slips

are spread out further apart because of uncertainty. Another difference is that NCC is missing an "ally" among the contractors here. They are having difficulty making the contractors see the sense in cooperating.

Finally Ivan asks: *"Is that it?".*

"That's some of it", is the answer from one of the contractors.

Birgit goes through the post-it slips one by one to check their correct dependences, etc. It is her task to digitise the plan within the week. This is interrupted by many questions regarding the finishing of the structural works for the building from El (blue) and Vent (little).

Birgit continues her checking, but is forced to reprimand the two for their constant interruptions. When the checking is completed there are four items on the hindrance list (a small amount for a project of this size):

- Building hoist
- Access roads
- The depots for materials (containers for night deliveries)
- Project cooperation

All of these are to be allocated to NCC to solve. No deadlines are recorded for these hindrances.

The site manager's assistant, Trine 2, goes through the site plan, which is valid until the end of April 2007.

Vent (little) protests that there is no building hoist on site: *"You promised us one a month ago, and now you promise us it for Easter!"* he angrily shouts.

An aggressive discussion now follows about broken promises, etc, and NCC seems to be on the ropes.

Finally, most of the contractors put their signature on the plan. The observers notice that Vent (little) is one of those who do not sign the poster.

A picture is taken in front of the plan.

Vent (little) is overheard saying to his colleague:

"Goodbye for now. We start with the best of intentions, but this is not going to work".
The meeting is over.

4.4 Analysis of the psychological influences in the change process re above two cases.

First impressions:

Let us first look at some of the interactions between people in the two workshops to get an understanding of the type of people involved.

For both Lean workshops, the contractors listen attentively at fist, but look a bit sceptical about what is being said about Lean Construction. They are generally showing a positive face towards events. Some of the contractors do not utter a word. They are silent and mostly passive.

According to d´Herbermont and César (d´Herbermont & César, 1998: "Managing Sensitive Projects"), the majority of people who work in groups do not have a great deal of synergy, nor do they have much antagonism either. In other words, they are passive (see Figure 15). This seems to be the case in these workshops too.

However, people like the WHS-contractor from the first workshop, are very positive towards this innovative workshop concept. Presumably because he has tried it before and knows that there is nothing to be afraid of. According to Rogers (Rogers, E., 2005), this type of person is a trendsetter and innovationist. The problem is, however, that their peers often regard innovationists as peculiar.

As the planning process unfolds, however, the contractors become more and more involved, and more and more talkative. This has to do with the fact that the contractors are beginning to see an advantage for them in the process plan (Rogers, E., 2005: Diffusion of Innovations). A change is always perceived as positive if the players can se that it is advantageous for them. Getting the contractors involved in the planning of the master schedule is putting one's trust in them, using their competences, acknowledging and empowering them, and an empowered person will acknowledge that there are potential advantageous opportunities to be exploited, which requires action from their part (Conner, D., 1992).

Brigit's comments: *"People accept authority less and less. They want involvement in the project, and it is for this reason that the agreements are respected",*
and*:*

"When contractors plan in this manner, they do not usually make reservations (provisos) to the plan, simply because they have been involved in working it up".
These two sentences seem to confirm the theories of Judson (Judson, A., 1991), Conner (Conner, D., 1992) and Kotter (Kotter, J. & Cohen, D., 2003) about the power of "empowerment", namely that it is conducive to the combating of resistance to change and encourages commitment because of personal involvement.

This is also supported by the atmosphere of achievement and responsibility for the common plan that the contractors from the first workshop seem to have after they have completed it.

One should also remember the following from studies into Lean Construction, which underlines the importance of collective responsibility in connection to the principles of Lean:

"Lean Construction moves the focus from administration of contracts to managing of processes, and from managing processes to managing people. To make this transition requires that one strengthen the competences in all of the segments and especially in the whole system as a team. Continuous learning becomes a part of everyday life, and the delegation of shared responsibility becomes a central principle" (Bertelsen, S., 2006:Trimmet Byggeri).

For many of the contractors in both workshops, this is the first time they are hearing about Lean Construction, and their first reaction is "This is something we already do". However, this is where the first stumbling bock lies, because in practice none of them does this. The reason? In many ways, this is completely contrary with the thinking and traditions behind construction:

"Maybe some may think that they do something similar, but how many can truly claim that they work from trust, and not from critique?" (Bertelsen, S., 2006).

In both workshops, one of the change agents, Ivan-NCC, gets up and walks around talking to the contractors about this and that. As a person from outside the group of contractors, what he is trying to do is to imitate the contractors in order to make them more relaxed and accept him as one of their own. Accept him as one of the flock. He is acting this way because psychologically, it is much easier to introduce a

behavioural change, or introduce an innovation, if the targets can identify with the change agent (Rogers, E.,2003: Diffusion of innovations).

The first workshop in Odense went relative smoothly, presumably because of the composition of the social-dynamic playing field (see Figure 15). The second workshop in Vejle was, however, a bit more hostile towards the management (NCC). Here, there seemed to be more rebels voicing their opinions.

In the second workshop, the cultural differences between the change agents and the contractors are more apparent than with the first workshop. As mentioned above, Ivan tries to smooth out this difference by chatting with them about this and that, but the academic difference is problematic. If there is a great cultural or academic gap between the change agent and the targets, change becomes difficult to implement (Rogers, E., 2003). The reason why they react to Birgit with scornful laughter when she suggest that they take care of each other can be seen in the following diagram, which has its origins in Transactional Analysis (Bern, E.,1958):
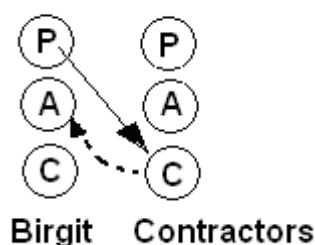
Figure 18: The ego states communicating
P = Parent ego, A= Adult ego, C = Child ego.

Some of the contractors probably feel that a person with a higher educational background is talking down to them (like a parent). They presumably feel that they cannot identify with this person's theoretical background, seeing that they all come from a practical tradesmen background, and they react mockingly from their child ego source.

Classifying the players in the second workshop:

If we were to classify Vent.(little) in accordance with the Social-Dynamic Playing Field (Figure 15), he would probably be categorised as having some synergy and a lot of

antagonism. He would belong to the group called the "rebels". He acted as spokesperson for the complaints about the conditions on site which, although presumably valid complaints were put forward in an unnecessarily aggressive tone of voice. This type of aggressiveness is probably a "habit" for him and is his "standard" way of reacting to a stressing situation. His behaviour is probably difficult to change, as it is based on his insecurity with the present situation where he is forced to try out a new form of cooperation, namely the workshop form (Lewin, K./Schein, E., 1968: "Anxiety for Learning"). Having this type of person as a "spokesperson" for the rest of the contractors is very dangerous, as 40% - 80% of the group are presumably "passive" or "uncertain", and can easily be swayed in a direction that is not conducive to the change that NCC what to bring about (d´Herbermont & César, 1998).

The militancy of the contractors on this site may be because it is a large and more crowded site than the one in Odense. The many trades on the site put people under pressure and stress, as the workshop tries to bring the contractors into a situation of "flux". The site seems to have many "moaners", which is a group that has very little synergy and quite a bit of antagonism (d´Hebemont and César, 1998). El (blue) and his comrade in arms El (glasses) and Vent (big), sitting to the left of Trine 1 (see Figure 16), all belong to this militant group of contractors who constantly have objections and negative comments to the planning and other things at this workshop. NCC should focus on this group, and if they persist in their negativity, a "burning platform" option could be presented to them, as the cost of staying in the present state, from NCC´s perspective, will be far more costly than changing the negative contractors´ attitudes towards the change. In particular, an eye should be kept on Vent (little), who uses a lot of energy in discussion, but also a whole lot of antagonism. El (blue) shows himself, more and more, to be a "rebel" (see Figure 15) because he keeps coming up with reasons why things ought not to be done in accordance with others´ wishes. These contractors cannot see the sense or advantage of using "Lean", therefore, they exert resistance (Judson, A., 1991).

The Disconfirmation message: This part of the discussion will try to understand why NCC has implemented the change of introducing Lean Construction on their sites.

Although this assignment does not deal with Lean Construction, one needs to ask the question why NCC wants to implement the principles of this unique process on their building sites.

The Industry and Trade Promotion Agency's[13] article "Industrialisation of the Building Industry – with Variation and Beauty[14] ",outlines, among other things, the areas where savings in construction can happen through industrialised process improvements, namely:

- Repetition of the same building can result in savings of about 20%
- Making good defects in the completed buildings can run up to 15 % of the construction costs.
- Logistical mistakes result in waste, shrinkage, waiting time, extra costs and panic purchasing. This is approx. 10 – 15 % of the construction costs.
- Waiting time on site is one fourth of the total working time or more.
- Multi-tradesmen teams can result in substantial gains. Approx. 8% according to "Projekt Renovering"

Presumably, these factors have motivated NCC to use Lean Construction as one of the methods for achieving savings and improving quality and effectiveness on their sites. As part of their efforts, they have implemented a policy of contractor (employee) involvement in the scheduling of their own works under the motto that the contractors´ own competences should be utilised as much as possible in order to achieve some of the advantages of industrialised production.

Viewing the problem from a pure "empowerment" point-of-view, the strategy seems to work, especially when one observes the results of the first workshop case from Odense, where the contractors seem to have felt an ownership in the process after the plan was established. This would confirm the theories about "empowerment" of employees that Judson, Conner and Kotter put forward.

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[13] Industry and Trade Promotion Agency (let's call them ITPA = Erhvervsfremme Styrelsen)
[14] http://www.ebst.dk/publikationer/rapporter/byg_frem/kap09001.html

If we view the problem from a basic psychological point-of-view and go back to the Lewin/Schein (1968) Change Model, we can describe the aforementioned ITPA-article as the "disconfirmation message" to the whole industry, which has apparently aroused "survival guilt" at NCC. This has then resulted in the decision to implement, among other things, Lean Construction principles on their sites.

In order to facilitate learning and provide psychological safety for its employees and operatives, NCC has established a "Lean Flying Squad", whose job it is to provide basic training and support in all things Lean. One must remember that the Lewin/Schein model can be applied to individuals as well as groups! (Schein,E., 1968).

The company's survival guilt (and decision to change), which is presumably felt by its Board of Directors, is met with "learning anxiety" by some of its subcontractors and operatives, exemplified through the ones participating in the "Bryggen" project in Vejle. There is also some other more positive driving forces in the system like contractors and operatives that have a positive attitude towards the change. However, for the majority of contractors and other building tradesmen in Denmark, the concept of Lean Construction remains an innovative process, which smacks of change (Jørgensen,B., 2006[15]). The specific innovation and change in the aforementioned cases is the employee involvement in the main planning and scheduling of the works in a Lean workshop.

In this context, the contractors are perceived as the employees and the main contractor NCC, the employer.

Furthermore, it must be mentioned that innovation does not have to be something new and revolutionary. It merely has to be something perceived as being new by the individuals adopting it (Rogers, E., 2003).

As a subcontractor, being asked to participate and give one's input to one's employer in this Lean workshop environment is, therefore, an innovation and change from the

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[15] Discussion paper i Boligfonden Kuben

normal practice, which is to get a detailed plan in a more or less top-down fashion from one's employer.

What NCC is trying to do on their buildings sites is to change the organisational culture for cooperation in this way. By implementing these Lean start-up workshops with the assistance of their flying squad, they are trying to build the roots for a supportive culture so that once the change has been introduced, it will not slide back into previous customs (Kotter,J &Cohen, D., 2003). There is great danger of things slipping back to their original status quo once the change process has moved into the state of flux, as this stage is very uncomfortable and painful for most of the players (Schein, E., 1968).
This is, therefore, about making change stick (the eighth stage of Kotter´s change process).

There is, however, a problem with this. In order to introduce a change/innovation, you usually have to change an existing culture that is deeply embedded (Rogers,E., 2003/Kotter, J. &Cohen, D., 2003).
The subcontractors gathered at the two workshops described above belong to such a (conservative?) culture. Merely introducing them to the concept of Lean and then leaving them to it, is like Kotter´s (Kotter, J. & Cohen, D., 2003) example of building a sturdy house using the construction team as supports. As soon as the construction team leaves, gravity takes over. So, the duty of the NCC Lean flying squad (which in Kotter´s terminology is called the "guiding team") is to keep repeating the message (the disconfirmation message (Lewin, K./Schein, E., 1968)), the so called "buy-in" to get as many people involved in the change process as possible.

Unfortunately, from the observations of the aforementioned workshops, it seems that the vision for the change has not been clearly communicated to the contractors, and their culture is too strong, thus making the diffusion of this particular innovation difficult, and resulting in degrees of resistance among a large minority of the contractors. The change does not "click" with their culture!

The contractors are left asking the questions that Kotter (2003) underlines as faults regarding the clarity of the "buy-in message", namely:

- "What are they talking about?"
- "What's wrong with the usual way of doing things?"
- "They don't know what they're doing"
- "Why do we need to change?"
- "It's never going to work", etc

It is apparent, that the contractors are not "unfrozen" and ready to accept the new "Lean" learning yet, and if they were, there is a very great probability that they would quickly slip back into their old status quo because of the discomfort of their situation.

Perhaps what NCC needs to do is to introduce their vision from a perspective of how Lean is going to benefit especially the contractors´ earnings (their basic needs according to Maslow's pyramid). By doing this, NCC may be able to win over the necessary 10 – 20 % "adopters" of Lean among the contractors, which is necessary to achieve diffusion of the change within their very strong culture (Rogers, E., 2003).

The fact is that the subcontractors did establish a time schedule for the works, and probably a very doable one at that. There is no doubt that the contractors will implement their works on time and to the quality agreed. They did this because of the "burning platform" situation that they found themselves in. They were, after all, contracted to NCC. The cost of the present status quo was, therefore, more costly than the new status quo that NCC was presenting to them.

However, one is doubtful as to the success of NCC´s Lean education, i.e., the provision of the psychological safety that NCC wants to give its operatives in order to establish a "new culture". It is apparent that a large minority of contractors seem to think it is a worthless waste of time. Therefore, this process seems to be stranded before the subcontractors are "unfrozen" (see figure below).
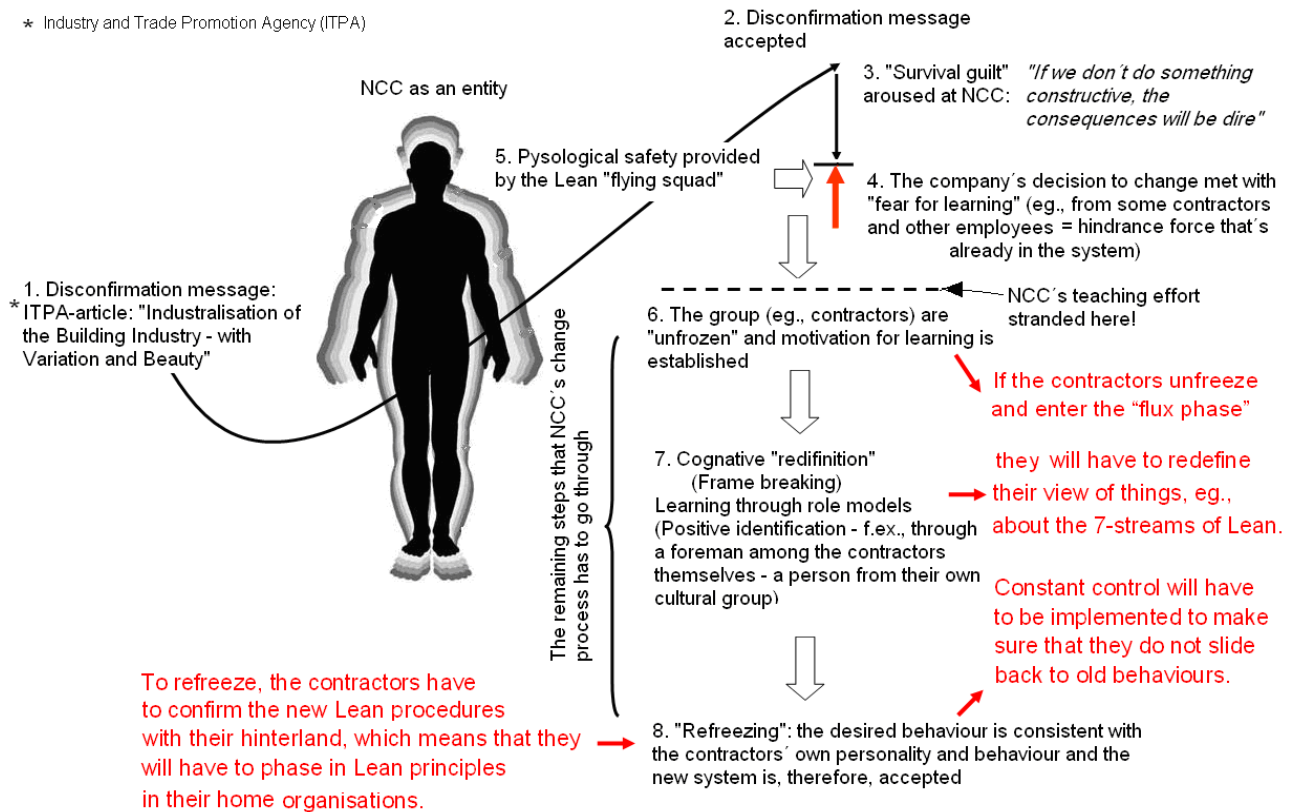
Figure 19: The change model, as applied to NCC workshops

The reason why the "negative "contractors participate in the process anyway, is because they are bound by contract to NCC to do so and it is, therefore, an economically motivated necessity. The main concern of the subcontractors is to make a profit for their companies.

In other words, surviving in an ever-changing state of flux is of primary concern to them (Conner,D., 1992)/(Hildebrandt & Brandis,1998). Their first priority is, as mentioned earlier, very basic (Maslow's pyramid at its basic level).

Without a good reason for participating in these workshops, without a pay-off in sight and without the contractors seeing the advantages of such workshops for their own companies, their motivation to take them seriously will not be very strong. Kotter (Kotter, J. & Cohen, D., 2003) names reward as an important factor in his comments on "empowerment".

It is important not to underestimate the importance of the change effort having allies among the contractors. We saw that from the first workshop in Odense. That one contractor, that had tried a workshop of this nature before, was a very positive influence on the others at the workshop. This is the effect of interpersonal communication among members of the same social system, i.e., people usually learn and adopt new things when they see their peers adopt them (Rogers, E., 2003). This is what NCC should strive to achieve because, in the end, the successful diffusion of the change will only happen because of the contractors interacting with their peers about the advantages of such processes. This will ultimately lead to the change in culture and the cementation of the desired change.

Why is it like that? The answer is that people invent culture to satisfy their needs and this further serves to maintain the status quo (Judson, A., 1991). NCC´s change brings about a cultural change that conflicts with the existing norms for planning of own work, which is prevalent among these subcontractors.
The need to maintain cultural norms is what Judson (Judson, A.,1991) points out in his third factor for reaction to change.
In accordance with Judson's seventh factor, one could claim that the organisation's (NCC´s) and the subcontractors´ interests are the same so that there is every reason to anticipate that there would be harmony and positive expectation towards the results of the change to use employee involvement in planning.
Apparently, though, this is not the case. This is especially true for the second workshop described above. This could be because of Judson's eighth factor: the way the change has been introduced.

Building folk are very conservative (own observation). Maybe the reason lies in the fact that some of the subcontractors are resentful of the way NCC are running the change process. Usually this is the case when people loose autonomy (control), which has taken them many years to fine tune. The aforementioned change is strange in that it both gives autonomy and takes it away at the same time. The contractors that are change orientated by nature can perceive it as giving autonomy. Nevertheless, the other contractors, who are less change orientated, will perceive it

as being forced upon them and, therefore, dictatorial. Resistance is, therefore, inevitable (Judson, A., 1991).

If the detail planning of the contractors´ work was done centrally by NCC and handed down to them, one could claim that the contractors had a passive role via "briefing". In the aforementioned change process, however, the aim is to attain an active level of "group agreement" (see Figure 10), which should, according to Judson's Spectrum for Involvement Levels (Judson, A.,1991:117), reduce any resistance to the actual way things are planned on the site and encourage more cooperation between contractors and management. The limited size of these groups makes them more efficient in their contribution of expertise (Judson, A.,1991).

The second case's workshop underlines the importance of trust. The most militant of the contractors, Vent.(little), showed a lot of mistrust in NCC because of previous encounters, where he felt that they let him down. Mistrust because of prior history is a major factor that contributes to resistance and a bad atmosphere, as Judson outlines in his fourth and fifth factors (Judson, A., 1991).

4.5 Sub conclusions
1. What are the psychological influences on the subcontractors of Case 1 and 2 in the change process that NCC have implemented on their sites that makes them either resist or participate actively in the process?

2. What can be done to induce a positive attitude on contractors towards the process that NCC wants to implement on their sites?

1. The psychological influences that make the contractors resist the change process are the following:

- The comparison of the two workshops shows that the social-dynamic playing field has a great influence on how a change process can unfold. Having allies among the players is of great importance to management (as with workshop 1). Allies can sway the majority (the uncertain and the passive) towards the change. Lack of allies can result in both overt (as with some of the contractors

in workshop 2) and covert resistance, which is costly and can delay the change process.

- It would seem that some people adapt slowly to change because of their low tolerance to ambiguity around them. Ambiguity in these workshops is the feeling of insecurity that the contractors have whilst trying to understand and change to "Lean" principles.

- The positive effect of empowerment was observed in these two workshops. It is a fact that the contractors did produce a usable main schedule, and it is a fact that the contractors of the first workshop actually felt pride in their achievement. This can be put down to their involvement in the process.

- Getting the contractors to unfreeze and learn Lean principles and actually use them is a long process, and cannot be achieved within the short space of time that was available for these workshops. The contractors did what they were asked to do because of the "burning platform" situation, which NCC brought them into (i.e., they have a contract with NCC to cooperate). It would be less expensive for the contractors to "go through the motions" of trying, than it would be to refuse NCC. The key words here are time and patience.

2. What can be done to induce a positive attitude towards the change?

- A manager must have knowledge of the social-dynamic playing field for his project in order to make provisions for providing psychological safety for the different players. This will help them in their efforts to unfreeze the targets for change.

- If these workshops had been implemented at a venue that was more conducive to peoples feeling of psychological safety, and if their duration was 1 to 2 days, attention would probably be much greater and the chance for learning, likewise.

- "Involvement" in the change process is definitively conducive to the change process.

- "Unfreezing" takes time, patience, and the use of change agents that the targets can identify with. The change agents become mentors for "positive identification". The change agents in the above workshops were probably too highly qualified to be recognised by the contractors as peers.

4.6 The "negative face" of the change process at VIA University College

The purpose of this case is to understand how individuals in an organisational setting are affected by change on a socio- psychological level.

Anja and Mette (A&M) are two female office-assistants who have worked for Vitus Bering CVU (VB) for over 15 years. They have experienced several fusion projects. First, when Horsens Technical Collage was fused with the Engineering College in Horsens. After that, when VB was formed because of a further fusion. Since then, the present fusion where VB has been amalgamated to form VIA University College together with five large educational institutions in Mid Jutland.
During all these transitions, A&M have been employed in the wages department, which is situated in Horsens.
This latest fusion requires that A&M be moved to a central wages division in Viborg, which is more than 100 km from Horsens.

They were interviewed for the first time about their situation in the autumn of 2007, and later in the spring of 2008 (see Enclosure 1). The intention was to uncover their reactions to the change before and after the shock of the fusion message.

When A&M first heard about the news that they were to be moved to Viborg, their initial reactions were anger and frustration. Anger because they felt that the decision was taken without consultation with them first, and frustration because they felt no control with the situation. They immediately said "no thanks" to a job in both Aarhus and Viborg and asked for a flexible solution. They had the feeling that management was of the opinion that they were to blame for their own predicament, and that if they

did not like the move-decision, they could find another job! They felt that they probably would be best served by such a solution, seeing that they then would have a clearer picture of their working conditions and competence areas and future, etc. However, on the other hand, they felt that they had been at the college for so many years and had invested so much in their work here, that they felt it would be like leaving the "family".

Six months have now elapsed since the change decision was made and their situation is still not clear. They are annoyed that the VIA-structure cannot form a quorum to make decisions and that ordinary daily routines must constantly be negotiated. They feel that it is difficult to be of any use in an organisation where "the board" has to make decisions about daily trifles.

The problem is further complicated by the fact that A&M have competences, such as detailed knowledge of legislation pertaining to wages, etc, which their superiors do not have. Therefore, the decisions their superiors make with regard to the practical everyday things are often wrong.

However, A&M have negotiated two positions that make it possible for them to stay in their present location in Horsens for a little while longer. Their colleagues, who have not secured such a deal, feel that A&M have been treated favourably, so there is tension there too. The temporary position means that A&M have to work for two superiors simultaneously, each placed at a different location in the organisation. A&M have to decide themselves how they are going to distribute and prioritise their time on these two superiors. So, here is the problem: which superior is the most important?

Half a year ago, when they thought that the move was inevitable, A&M had an idea that they would keep their original superior (who would move with them) and, perhaps, see a little more of him than earlier. They thought that he would not be as busy as previously, seeing that also he would be degraded a tier lower down the hierarchy. Under him, they had enjoyed autonomy under responsibility

(empowerment). He, on the other hand, had shown them trust and they were genuinely concerned for the status they would attain under a new superior.

Six months later, they see less to their original superior because also he has been moved in under other superiors. A&M have lost their rights of access to data and other information in connection with the change in the wages department and cannot update their new superiors as well as earlier.

At the beginning of the change they had trouble getting access to information because of shortcomings in the structure for information distribution at VIA. Now, they feel that the information they eventually get emanates as unnecessary "noise". According to them, rumours spread across the organisation quickly, and it is easy for a molehill to become a mountain very fast. As things are today, they feel disadvantaged and disempowered with regard to having access to information and having access to the higher echelons where decisions are made and orders given.

When asked whether they thought that VIA had faith in them, the answer was no, not yet. They feel that several of their new colleagues view them as "know-alls" because of their special knowledge of a database system that the others do not know. Half a year ago, they felt that their new colleagues ignored them because of this knowledge. Today they feel that they must accept their degraded positions because decisions are taken without any consideration to them, and they do not have "to think themselves" anymore, or exchange opinions about methods, etc (disempowerment).

At the beginning, A&M felt that the organisation had no energy to expend on other things than their own management issues. They did not have time to deal with the work functions and worries of the rank-and-file. Half a year later, the problem is the same, but they have started to take notice of their employees´ problems and take them a little more seriously.

Now that A&M have refused to move to VIA in Viborg or Aarhus, they feel positioned at the outer edges of the organisation, without influence and in a vulnerable situation with regard to their jobs. However, they do not think they will be "fired" as such, but

they feel that they will be so badly placed status wise that they may have to say no to the job in the end, and find alternative employment.

With regard to advancement in the organisation, they originally felt a slight "edge" compared to their new colleagues, because of their superior knowledge of economy, wages and pension rules, etc. However, today they feel that their possibility of advancement within the VIA-organisation has become poorer because of the greater "power-distance" that has arisen between management and employee, and because of the degradation of their position and competence area.

When asked why they thought that specifically their division was chosen to be changed, they answered that their group was the easiest to fuse. Half a year ago, they did not expect the standard of their tasks to change. Today, they feel the standard has dropped because of the fusion.

Half a year ago, they were concerned about changing job-functions and having to learn new systems, etc. They did not know how difficult their new jobs would be, etc. Today, the situation is unaltered and they are still excitedly awaiting what the future will bring and what challenges await them just around the corner.

4.7 Analysis of the psychological influences in the change process re A&M´s case

I knew beforehand that A&M were negative towards the VIA fusion from rumours that circulated at the college a year ago, when the fusion plans first began to trickle down to us ordinary employees. At the time, I was preparing for an assignment in change management called "Resistance to Change" and I wanted to talk to them about their experiences with change in their department. I had an idea that I could write about their negativity towards change and couple it to my premise that there was a psychological reason for people's attitude towards change. I had been studying Kotter (Kotter, J.P:, 1997) and knew that one of the reasons for resistance to change was anger, and A&M seemed to have lots of that towards management at the time. I wanted to find the deeper psychological reason for the anger that fired the girls´ resistance. However, I ended up writing about resistance to change seen from a management perspective and did not us my interview with A&M for that assignment.

For A&M´s interview, I used a questionnaire with questions formulated by Judson (Judson, A., 1991:36-39). These are typical questions that an individual would ask themselves when they are initially confronted with a change situation. These questions were sent to A&M twice. First time, just after the change plans for A&M´s division were introduced, and the second time half a year later. In this way, I was able to compare their reactions immediately after the change shock with later, when the dust had settled. In other words, I wanted to assess their psychological state then and now by using, among other things, Conner's (Conner, D., 1992) graph about "Negative Response to Change". Reading the transcript of their interview, one will be able to appreciate that their psychological state is as described in the graph, below:

Negative Response to Change (Conner, D., 1992)
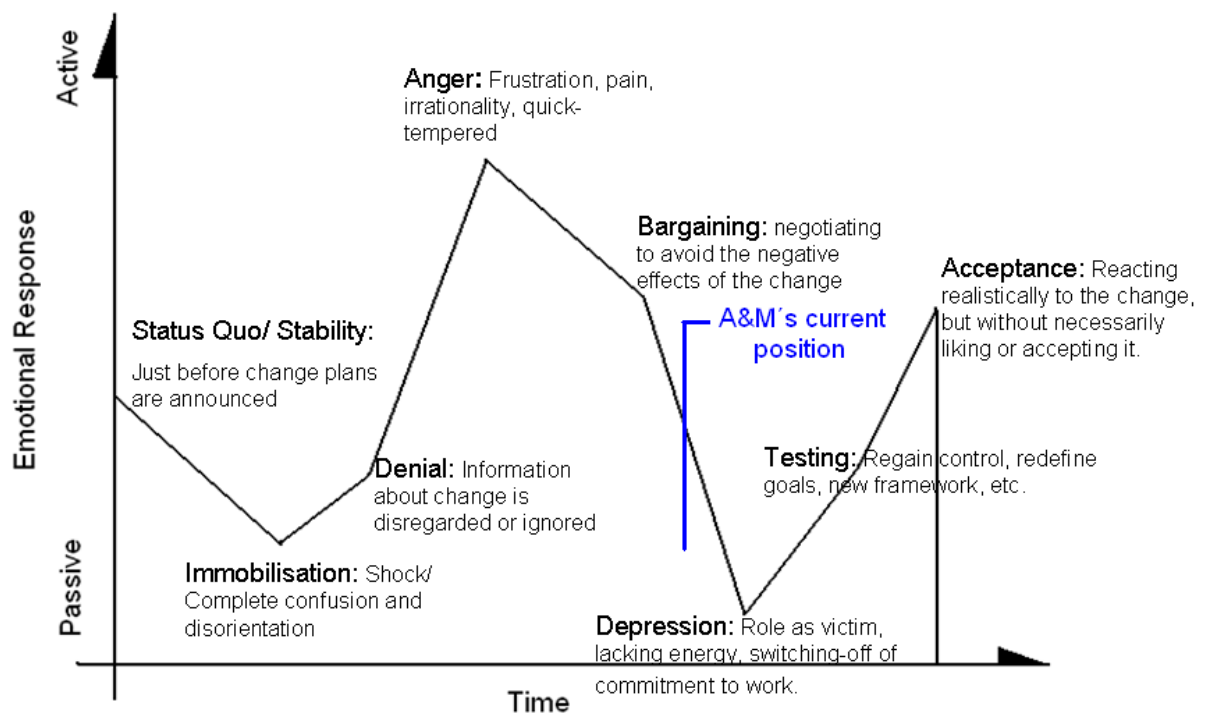
Figure 20: A&M´s status in Negative Response to Change

From the transcript of the interview with A&M, it is clear that they have passed through the immobilisation, denial and anger phases of the graph. Although they are still angry about the change, it is my assessment that they are in the bargaining phase and on their way to be thoroughly depressed. This is supported by their

agreement with management to work for two superiors in a temporary position, which places them in Horsens for the time being. In other words, they have tried to lessen the impact of the change by getting a temporary "stay of execution". This puts them in a "sandwich" between two superiors, which also makes them feel discomfort and disempowerment.

If one were to be critical about Conner's graph, it would be because it only looks at the symptoms of people's reaction to the change process. It is not clear for the graph exactly what is going on in their minds. To get an idea how A&M are psychologically affected by the change, the Lewin/Schein change model is again useful.

Because of the fusion, the whole of VIA is in a state of flux. This state of flux has been induced by a "burning platform" situation initiated by the Ministry of Education and it is, therefore, involuntary. In other words, A&M have no possibility to reject the disconfirmation message that has emanated from management, who has set the change process´ wheels in motion. It is clear, from the interview transcript, however, that they find this flux very uncomfortable and painful. We know, from the theory about the change model, that a person's change can only be initiated when the target is unfrozen. In order to unfreeze a target, psychological safety must be provided. A&M have both "driving" and "restraining" forces within them. The "driving" forces would have been activated, and would have prompted them to change, if management had given them some secure conditions to help them assimilate the changes. Instead, A&M´s "restraining" forces (the feeling of wanting to stay in the old status quo) have been activated because of the following:
- Their old supervisor, whom they trusted and who trusted them, has been taken away (there are problems with trusting the new management).
- In the long-term, they know that they will have to move to Viborg
- They face having to work with new colleagues that have already shown A&M hostility.
- Their original areas of responsibility have been taken away, and so has their access to information (loss of status).

- There is a real chance that they might have to say no to the move to Viborg, and thus be out of a job (Maslow's most basic level is threatened).
- They have to work for two supervisors.
- They have been disempowered (previously, they worked autonomously, but under responsibility to their supervisor). This fact, and the fact that they are threatened by loss of their livelihood, gives them no motivation to cooperate with new colleagues and management ("involvement" is higher up in Maslow's pyramid than provisions for living a normal life).

All the above factors result in A&M showing "restraining" forces towards the change, i.e., wanting to stay in the old status quo. Therefore, although the VIA-organisation is in a state of flux and ready to change, A&M are not "unfrozen yet" and change is not possible for them yet.
Eventually, they will have to make a decision whether or not they are going to accept the "pain" of the new situation, unfreeze, and redefine cognitively to adjust to the new situation, or leave and find another job.
It just depends on whether the "pain" of change is greater than, or less than the "pain" and uncertainty of finding a new job, i.e., a "burning platform" situation, which means that A&M are between a rock and a hard place.

VIA-management accept
disconfirmation message:
Chang must be implemented

Change process
initiated at VIA

A&M´s resistance
to
change

A&M in an "unfrozen" state
because of lack of
psychological safety:

due to:
- Disempowerment
- Prospect of move
- Hostility shown from new colleagues
- Working for 2 superiors
- Prospect of having to find new job, etc.

Rest of org. in
"cognitive redefinition"
to adjust to change

Disconfirmation message
From the Ministry of Education:
Fusion before 1 Jan. 2008

VIA-organisation in a
"state of flux"

A&M´s options: Between rock and a
hard place!

Accept "pain"
of change

Accept "pain" of uncertainty
and find new job

Change "refrozen"
in VIA-organisation

Figure 21: A&M´s Change Diagram

If we try to analyse A&M´s situation with regard to Judson's eight factors (Judson, A.,
1991:24-36), it is difficult to say anything about their relationship to the first factor:
their general attitude towards change, as this would require knowledge of their
childhood experiences. The fact that they are so negative towards the VIA-change
can, however, indicate that they have a tendency for low tolerance to change.

Regarding Judson's second factor, about their fundamental feeling of safety: the very
fact that they are afraid of possibly having to find new jobs indicates that they are
more or less economically dependent of their present jobs. They have been in their
present jobs for over 15 years and belong to a strong culture (Judson's third factor),
which they do not want to loose. This is, perhaps, another indication of their
intolerance to change.

Trust and management's previous actions (Judson's fourth and fifth factors) are of
great importance in A&M´s story. They are obviously very upset about having to do
without their old superior, who both trusted them and gave them autonomy. They
have little trust in top management's motivation to take care of their interests and

give them the necessary "positive identification" that the old superior gave them, which is a prerequisite for psychological safety, which in turn is a prerequisite for the implementation of change successfully (Schein, E., 1968). Trust in one's superiors, and their near power-distance and influence with top management, has a positive effect on the implementation of change (Neves & Caetano i Journal of Change Management Vol. 6 No. 4, 351-364, Dec. 2006).

A&M´s relationship to Maslow's Pyramid of Needs (Judson's sixth factor) is easily evaluated. Their status as trusted employees has taken a turn for the worse because they have been degraded from a position of trust, i.e., they have lost access to exclusive information, they have been removed from a position that was close to top management, they have been forced to move, they are in danger of being unemployed, etc, etc. In short, they are now on the pyramid's second tier, where their main worry is whether they can survive the "pain" and uncertainty of their present situation. They do not have the resources at present for employee involvement (which is on a higher tier) and thus cannot really participate actively in a way conducive to the change process.

It is clear that there is disharmony between A&M´s needs and the long-term needs of VIA-college (Judson's seventh factor). VIA has the need to rationalise its structure and operations. A&M has a need for job security, to work in the organisational culture they are used to, use their competences and work with the superiors that show them trust and in whom they have trust, and work where they can maintain the status they have gained over many years and where they can advance.

It is also clear that A&M are disappointed by the way the change has been implemented (Judson's eighth factor). They resent the increased output of orders, which make them feel that they have no control over the course of their lives. The top, it seems, has decided everything, and A&M have no say in the matter. They are caught-up in a difficult situation. Either they can suffer the pain of change in a hostile environment without the proper psychological safety, or they can suffer the pain and uncertainty of finding new jobs and starting from scratch.

The factors mentioned above give A&M a predominantly negative attitude towards the change process at VIA University College.

4.8 Sub conclusions

1. What are the psychological influences on A&M in the change process at VIA UC that make them resist or participate actively in the process?

2. What can be done to induce a positive attitude on A&M towards the process at VIA UC?

1. The psychological influences that make A&M resist the change process are the following:

- The feeling of disempowerment due to loss of status, exemplified through their degradation with regard to access to information, access to management's top, which they enjoyed before, etc. Apparently, management has thrown A&M out of the "foxhole".

- The insecurity of the disconfirmation message: the long-term interests of VIA UC are not in line with the interests of A&M. The decision to change and go into flux has been taken by the organisation, but A&M have difficulty attaining the flux condition (i.e., they cannot unfreeze).

- The lack of psychological support exemplified through:
  - o Loss of a trusted supervisor and mentor
  - o Loss of autonomy.
  - o The prospect of being forcibly moved, etc.
  - o The need to work under two different superiors simultaneously
  - o etc.,etc.

- A&M´s tolerance to change: This is seemingly low; indicated by their reluctance to move and the fact that they have been in the organisation for more than a decade. It is impossible to analyse why they have a low tolerance to change.

- A&M´s position on the tiers of Maslow's Pyramid of Needs. Their present position, on the second lowest tier of the pyramid, makes it difficult for them to think about the organisation's needs. They are more focused on their ability to survive in the organisation.

- Insecurity due to loss of cultural membership: A&M will eventually be forced to move to a new culture, which has shown itself to be hostile towards them.

- Insecurity in the way the change has been enforced: top-down without consideration to A&M, and by managers who do not know them.

- The insecurity of knowing that they will either have to tolerate the "discomfort" of changing and being in the flux in the organisation, or suffer the insecurity of finding a new job.

2. What can be done to induce a positive attitude towards the change?

Provision of psychological safety seems to be the biggest issue in getting A&M to "unfreeze". Empowering A&M under the present circumstance does not seem to be the right way to go, as their focus will be on getting away from the lower tiers of Maslow's Pyramid of Needs.
One of the most worrying factors for A&M has been the fact that they have lost their old superior. A way of giving them some psychological safety would be to incorporate their old superior into the structure of the new division at Viborg.

Ultimately, the probable outcome will be either A&M coming around to the organisation's way of thinking about the change, or by them leaving the

organisation altogether. This is because the decision to change has come from a "burning platform situation", and VIA´s management has decided to do it in a top-down style.

5. CASE PRESENTATION AND ANALYSES:

EMPLOYEE INVOLVEMENT

5.1 INTRODUCTION

The purpose of this case is to describe a situation where, theoretically speaking, there are optimal conditions for employees and management to participate synergistically in the change process.

Aalborg Central Library is renown as an incredibly progressive workplace where there is a short span from ideas are formulated to action is taken.

Ove Rasmussen, who is the project manager for "The Third Route" project, feels that it is easy to get ideas into the reality phase when employees are empowered. Nevertheless, back up from management is also important in this context.

Ove has had a double role in the "preject[16]" phase of the Third Route Project, partly as organiser of the practical business side, and partly as an ordinary employee participating with his professional input in connection with group work. He worked in the group that developed the concept for "The Thematic Library", which is the actual project that is going to be realised at his home base, Aalborg Central Library.

The motivation to change the Danish libraries´ physical environment has been the falling numbers of visitors due to competition from the cheap book market, other media and from the internet, etc. The central management of the Danish libraries has had a large catalogue of options for forming a strategy for implementing alterations to meet the new challenge. However, when it came to concrete proposals, there was need for development before decisions could be taken and actions initiated. Hence "The Third Route" project (See http://www.dentredjevej.blogspot.com/ for a detailed description of the project).

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[16] "Preject" here is understood as being a precursor for "project"

"The Third Rote" distinguishes itself in being different from most development projects. Employee involvement has been used a lot, where project members have been recruited from among the librarians and librarian assistants all over Denmark, but also from management (e.g., Ove Rasmussen, and Eva Bisbjerg from Randers Central Library).

According to Ove, the course of a traditional project would be as shown in A, in Figure 22, where the project consultants would have a parallel course to the development work of the employees. However, in the Third Route Project, "Route B" was chosen so that the consultants can function as role models or change agents in the process.
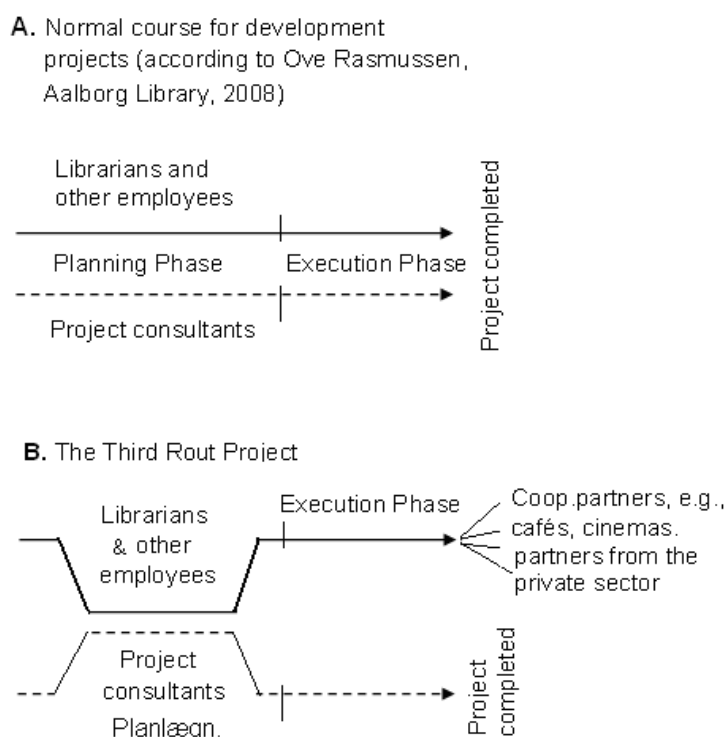
Figure 22: Project course for "The Third Route" project

Because of the extrovert nature of many of the workshop proposals, it is hoped that the implementation of the projects in the different libraries will result in contact with different business partners from outside the physical framework of the libraries. This could be achieved, e.g., by establishing cafés like "Starbucks" within the walls of the existing libraries, whose secondary goal is to attract the especially young into the libraries.

The majority of librarians, who did not participate in the "preject" workshops, received these unconventional proposals in different ways. Ove could identify two types of personalities:

- The "Positive" that have the following characteristics: Strength of character, professionalism and the inclination to have influence on how things are done in their place of work. They have confidence in their own strength and professionalism and familiarity with the change process. They carry themselves well, meet everyday with a smile and have the ability of abstract thought.

- The "Negative/Careful": That use excuses like:" *I reserve the right to defend by professionalism and I can always crawl back to it. Nobody can touch that".* They find security in routine: *"When I have my routine, then I know where I am".*

Ove underlines the importance of being aware of the formation of informal negative groups, whose signals one must be prepared to recognise and heed. If one ignores them, they will just pop-up later. The negative/careful types are a bit sceptical with regard to the proposals that the "preject" workshops presented, and with over 200 employees at Aalborg Library, getting them to be involved in the implementation project requires different change strategies. The strategy has been to involve them in the project phase by primarily using the change-orientated employees that have been involved in the "preject" workshops as change agents, or role models. Even the most negative employees, it is felt, have a professionalism with which they can contribute to the project.
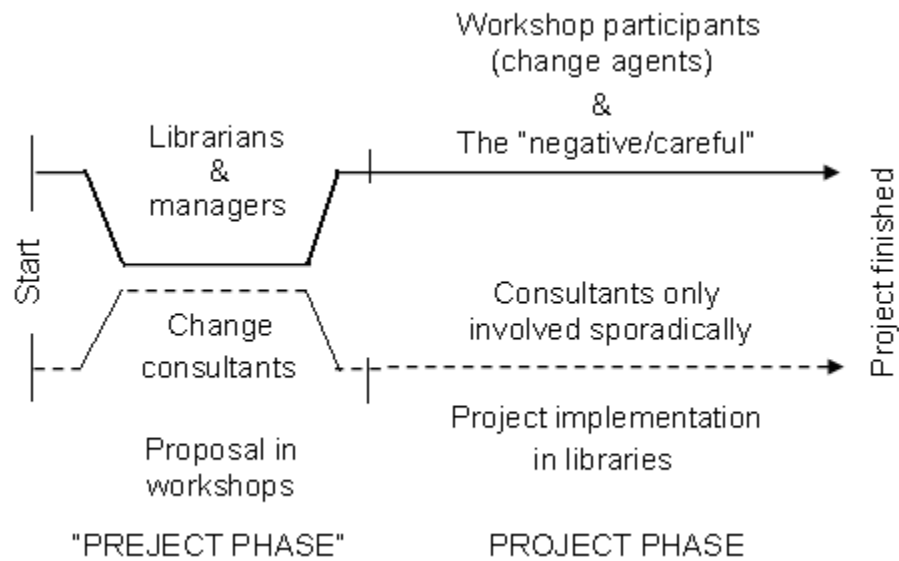
Figure 23: The "Preject" and "Project" phases of the Third Route Project

Ove Rasmussen has concerns regarding his present organisational structure, because he feels that he may have to fight against the established culture at his library. The existing system is subdivided into Children's Library, Technology, Nature, Society, etc, and each division has its team leader. Therefore, these managers must be involved in the implementation groups in order to set their strong and weak sides into perspective with regard to the new organisation. Ove has not come as far as to have considered a reward system yet. However, his opinion is that involvement is sufficient reward. He believes that this is the most durable solution for motivation in the future, as his employees have the personal, organisational and professional competences with which they can contribute to the change. The early involvement of employees in the "Preject" phase is far more positive than otherwise. These employees will ensure the continuity of the change during the whole of the project.

5.2 The library in Randers: The Third Route Project (Interview with Eva Bisbjerg)

Eva is a relatively new manager within the physical framework of Randers Central Library. She has a past within Randers Council's library system that operated the mobile libraries for 20 years, and she started to work "ashore" in the central library

itself in 2003 because she felt she needed challenges and input from the physical library environment.

Eva was one of the leading management figures that were involved in the "preject" workshops of "The Third Route" project, which is only one leg of the change process going on at Randers Central Library. There are constantly change projects going on here, e.g., to do with changes to the mobile libraries, management development projects, etc.

Her participation in the "preject" workshops was a provision to give the group work some sort of "power of impact" when it came to implementation in the project phase (wasn't it Kotter (Kotter, J., 1997) who wrote that there should be leaders with "power to implement" actions involved in the change process?).

From Eva's earliest work as an ordinary librarian and from her present work in the management group, she has no doubt as to the value of employee involvement in project solutions. She has a lot of experience in organisational projects in connection with the recent council mergers to know this value, and she has used it a great deal in connection with value-based management at her workplace in recent months. Randers Central Library is renowned for not using top-down management styles. Their organisational structure is very flat.

However, Eva feels that there are some problems with employee involvement that needs to be ironed out in advance. This is in connection with the relationship between ordinary operational tasks and development work. Her opinion is that employees should participate in both development work and the ordinary operation of the library, otherwise the organisation will be in danger of being "locked" into a spiral where there is an A-team (that does development work) and a B-team (that does the everyday operation). Sometimes, she is forced to select employees for projects that she feels needs a challenge, and other times they volunteer their services. Eva feels that everyone should have something of interest to work with, but it is often the same people that volunteer. Her decision to activate all employees in one way or the other is her way of changing the old culture at Randers Central Library, which in some departments can be a bit conservative.

Why is it like this?

Eva's opinion is that some of the less change-orientated employees react with their professionalism as a weapon. These people feel that they do not have sufficient time to do anything with their professional competences. Hence, they claim, that they do not have time for development projects. Typically, these people are part of the elderly group of employees, who have been in their positions for the past 20 years or more, and have learned their professionalism from the "old library school". However, some of them can bloom with the prospect of a challenge that is within their area of competence (i.e., within the old-fashioned professional subject areas that they are familiar with, but not, e.g., within the modern interactive games area in the children's library, where their lack of technical competence becomes apparent). Nevertheless, Eva thinks that it is important to maintain their expertise and professionalism within the development projects. Some of them think that it is fun to participate a little in order to break the monotony of everyday work. Others think that change happens in a sort of "machinegun" tempo and have difficulty keeping pace with it. The elderly employees are used to a slow pace of change, whilst their younger colleagues are used to rapid changes. Is this a phenomena of the times that younger people except change so willingly? wonders Eva.

Eva is of the opinion that it is all right not to be able to manage everything, as long as one learns something during the process. One is often forced to choose not to take some options, as long as one knows that they exist. Selection either way is necessary is Eva's mind. In her short career as manager, Eva has not met anyone that cannot be motivated to some degree. *"Employees can always be moved a little, but a little for some can be barrier-breaking".*
Eva has never given any of her employees the "burning platform" option. The majority of employees from "the old school" have no objections to doing things within their own, well-tried competences, and they are positive and helpful towards the other, younger colleagues, and support them enthusiastically in their routine work so that they do not have to worry about that part while doing development work. They are both positive and negative, without having an inclination to change. They will contribute with advice and expertise, and the younger colleagues are very happy to receive this advice.

However, there are also decidedly negative types that constantly push against the flow. Eva feels that these people are dangerous because they can easily convince the aforementioned passive to join them and resist new initiatives.
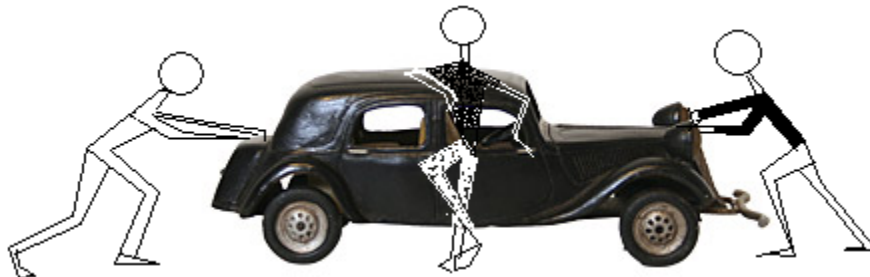
Figure 24: The active, the passive and the resistors

The work processes at Eva's library are divided into "areas", which are further sub divided and managed by groups (not teams). These groups manage areas like Immigrant Services, Business Services, Education, Dyslexic-Reading Challenged Group, etc. If there are ten groups in each area, each employee must be minimum involved in two groups. The groups are autonomous, as top management does not want to delegate responsibility downwards to the groups. The groups can take action on their own account, as long as it does not have economic consequences. Some of the employees take this responsibility on themselves straight away, but others do not. The latter types of people keep asking for permission to do things from management. They feel a natural disempowerment. Eva feels that this disempowerment is part of their personality. She also feels that responsibility is not necessarily anything to do with pay, but the fact that someone gets a salary for a position of responsibility means that it is easier for the employee to exert responsibility.

Eva has presented her employees with many of the proposals that she worked on in the "preject" workshops as potential project proposals for Randers Central Library with surprisingly positive feedback from them.

The negative have reacted thus:

 "It does not allow us much time and space for our usual work", "Who is going to do this and that?". "When the private businesses become involved in the library (e.g.,

Starbucks, etc), the elderly citizens will not come here any longer". In other words, they take hostages in their own fight to maintain the status quo.

"Is there no room for me here anymore?" is also a frequent question.

Eva thinks that this is because they are uncomfortable and insecure with change, happy for what they have and afraid of the new competences they may have to learn, e.g., competences to do with information technology, etc.

In order to support her plans, Eva practices "punctual care", which means that she prepares the ground before the targets are exposed to the actual change. She does this by, e.g., making sure that support is given to the negative/passive targets in areas where they otherwise can claim disability to do something. In so doing, everyone can see that there is a psychological safety net spread out under him or her that makes it possible for them to participate in the change (See "psychological safety" in the theory section about the change model).

The more positive employees, however, seem to ignore that there can be practical problems with the change and buckle down to the work at hand with enthusiasm. Of course, this can present problems later when the hindrances start to materialise for them ("Positive Response to Change (Conner, D., 1992)?).

The majority of employees at Randers Central Library belong to the group that are over 50 or under 40 years old. There is no intermediate group between these two, so, it is difficult to conclude whether only the young are change orientated, and the old are passive or negative towards change generally. However, Eva has her own statistical evaluation of the change process. She compares the time it takes for a negative attitudes towards an arbitrary change to subside, become positive and even become considered necessary. For example, she compares the introduction of computerised book lending before 1999 with today's policy of reducing mobile libraries in Randers from three to two, and to projects where employee involvement is used:
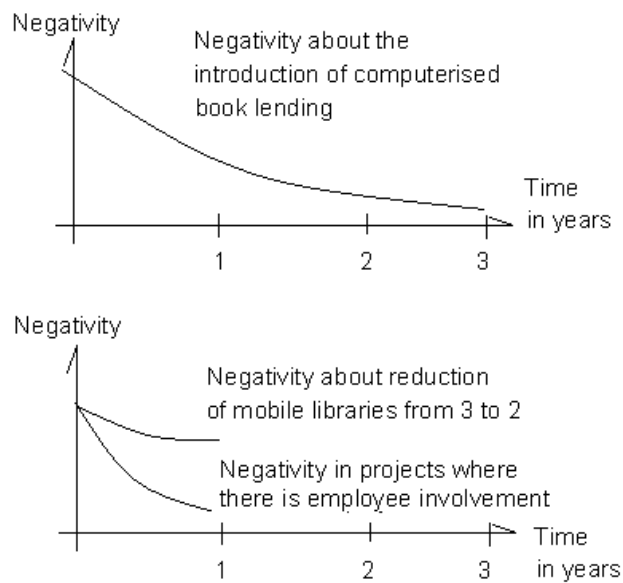
Figure 25: The decrease of negativity over time

According to Eva, negativity decreases quickly these days, perhaps because people have become accustomed to the fast pace of change. Nothing concrete can be concluded here, but Eva feels that more research is necessary in this area. Negativity about the reduction of the mobile libraries seems, however, to be same today as it was one year ago when it was suggested for the first time. Eva feels that this is because people are threaded with unemployment (perhaps Maslow's Pyramid of Needs?)

Eva finishes her interview by summing up the following:

1. One should take the negative employees seriously and one must find a way of tackling their grievances, otherwise one risks that they take the silent majority of passive colleagues with them in their resistance to change.
2. Even though she has not personally used it, the "burning platform" may be a solution: *"If you want to stay here, you should stop always pulling in the opposite direction to everyone else"*
3. Be careful not to put too many negative targets into one group

5.3 Analysis of the psychological influences in the change process re

The Third Route case

The purpose of this section is to identify employee involvement, as described in the theory section, in the practical cases described above.

Both Eva and Ove have one thing in common, they both use the participants from the workshops in the co-called "Preject[17]" phase of The Third Route project as change agents when it comes to implementation of the project at their own libraries. They are both representatives from management, whose involvement in the project was to give it striking power. This is in line with Kotter´s (Kotter, J. & Cohen, D., 2003) second stage about the importance of establishing a guiding team with "power" to steer the change process.

Eva goes a step further. She demands participation of middle management in the groups, whether or not they are positive or negative towards the change. In this way, she hopes to establish a platform for indoctrination of her staff with the first four prerequisites for implementation of change, namely Kotter´s (Kotter, J. & Cohen, D., 2003):

- The sense of urgency
- Building the guiding team,
- Formulating the vision, and
- Communicating it for buy-in.

The concept of including participants from management in the project phase (execution phase in the individual libraries) is not a bad one. According to Kotter (Kotter, J. & Cohen, D., 2003), the negativity of management ("the manager as the hinderer") is one of the main reasons why change projects meet resistance and strand. Eva has not done this consciously because of her knowledge of Kotter´s works. In fact, she admits to not having knowledge of Kotter´s literature. It must seem natural to her to "empower" her middle management to get them to buy-into her plans for the change and get their "approval" of it in advance. So, all the above is done with no the theoretical knowledge of change management.

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[17] "Preject" is a phase before "Project"

By involving the ordinary librarians and library assistants in the "preject" workshops, both Eva and Ove have secured a continuity and credibility when it comes to the project phase, where details and core competences come into play. In this way, the theories about employee input though their knowledge and competences are acted out and confirmed.

Eva has her own view about the empowerment of elderly employees that sometime feel the need to stay away from development work and leave it to the youngsters. When change is being implemented in Eva's different sections of the library (children's library, adult section, etc.), she ensures that her employees (especially those who are elderly and unwilling to change) are given the necessary support in order to function. For example, younger employees are moved to the children's library to give computer games support. Again, this is a form of psychological safety to drive the change effort.

The fact that Eva's older employees cannot be convinced to work with new technologies and will only work within their own, narrow competence areas, confirms their "learning anxiety" (Lewin, K., in Schein, E., 1968). Kotter (Kotter, J. & Cohen, D., 2003) uses the phrase "disempowerment of people due to psychologically emphasized learning anxiety" (and hints that it might be a bit affected[18]), but Eva feels that it is important to maintain the elderly employees´ expertise and professionalism within the projects without pressuring them too much to participate. Deep inside, these people know that they should participate in the change process. They have "survival guilt" within them, but they sooth their guilt by taking over the daily routines of the more change oriented librarians, allowing these to concentrate 100% on the change effort. However, Eva has her own way of "empowering" the "disempowered". She involves everyone in the change effort: the passive and the active, the young and the old, all of them participate in the groups and are informed about the change effort. "Information is power and the lack of information is the source of disempowerment" (Kotter, J. & Cohen, D., 2003).

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[18] Danish translation = Skabagtigt

Eva feels that a little learning is better than no learning at all. Conner (Conner, D., 1992), who claims that empowered employees are not the only prerequisite for working "synergistically" in an organisation, supports Eva´s view. According to him, it is also important for a manager to utilize all the resources at their disposal. Part of this work will involve a decision about the depth of each individual employee's involvement in the project. Eva feels that each employee must be involved in both the ordinary operations at the library and in development work to some degree. Not necessarily with a 100% effort for everyone. Eva implements this strategy to "shake up" some of the employees that are unwilling and opposed to change, and to prevent the "freezing" and "polarization" of the organisation into people that are willing to participate in development work and those that are not.

The most important goal for the employees that are change orientated is to keep the process moving. Eva's most important goal is to give the employees that are unwilling to change "psychological safety" (Lewin, K. / in Schein, E., 1968). In this way, she has used her right to involve all employees so that the decisions regarding how the change process is to progress can be taken on as broader basis as possible. One cannot claim that a "foxhole" has been dug (Conner, D., 1992). For that to happen, everyone must agree that the change is necessary for them, but from different points-of-view.

According to Kotter (Kotter, J., 1997), "a feeling of urgency" must permeate the whole organisation to give the change message weight, but Eva's feels that the change reluctant employees have use for more motivation than just the common goals of the organisation. Their minds are "disempowered", and the purpose of using the change willing (from the "preject" workshops) is to employ them as change agents in the project groups so that "positive identification" can happen (Lewin, K., in Schein, E., 1968). Again, this is something that Eva has learned through trial and error.

Eva's motivation for taking so much care of this passive group of employees is to prevent them form going over to the "enemy". The enemy is the small group of employees that practice direct and fanatical resistance towards the change (see

Figure 15). These groups of employees are found in almost every organisation. They possess very little synergy and a great deal of antagonism (d´Heremont & César, 1998) and have a tendency to form small resistance groups that are difficult to combat once they are well rooted. These groups can easily win-over the 40-80% of the passive if they go unchecked. The change willing can be considered the Zealots and the Golden Triangle in one extreme, and the enemy can be considered the "rebels", at the other extreme (see Figure 15). In the middle we have the unwilling and passive, which Eva wants to keep within the projects.

Disconfirmation message accepted:
"Survival anxiety" aroused

"The Third Route" project
established to find new ways
of attracting the public back to
The libraries.

Survival guilt at: Aalborg and Randers Libraries
result in implementation of "Preject" decisions as
regular projects

Relatively large numbers of librarians
have great "survival guilt" (know that action
is necessary) and participate in change

Some resistance from
"rebels"

Disconfirmation message:
Too few visitors to libraries
In Denmark, mainly due to
competition from bookshops,
Internet and other info.
technologies,

Need to attract the young and
middle-aged groups

State of flux achieved relatively
easily because most employees
are already motivated, or motivated
through psychological safety

"PAIN" OF FLUX AT
RELATIVELY COMFORTABLE
LEVEL (chance of slipping back
to old status quo unlikely)

Psychological safety provided:
"Empowerment" to work 100%
with project for "change agents"
from "preject" workshops

Passive involved to an extent that
they can accept, or by supporting the
"change willing"

Older employees engaged by giving
them support on lacking competences
(eg., with info.technologies, etc)

"Flat" management structure = easier
access to decision making.

Rewards system implemented (Randers):
Ie., basic needs fulfilled.

EXPECECTED SUCCESSFUL REFREEZING OF
NEW STATUS QUO, if problems with "checking-out"
are solved !

Checking-out when realities of
physical characteristics of existing
library buildings are compared with
proposals of "The Third Route" project

Hopeful realism

Informed pessimism

Overt   Covert

Informed optimism

Uninformed optimism

Finishing project

Pessimism

Time

Conner (1991): Positive (Initial) Response to Change

Figure 26: The change model, as applied to the library projects at Randers and
Aalborg Libraries (own illustration).

Eva´s view about the rewards will further help to motivate those that are unwilling and
disempowered. Contrary to Ove at Aalborg Library, Eva is more minded to establish
a reward system in the form of a bonus for employees that show decisiveness,
responsibility and resolve. Neither Conner nor Judson mention reward as an
important motivator in the change process, which is quite frustrating when viewed

from a practical point-of-view, but one must admit that their views are supported by Ove Rasmussen at Aalborg Library whose opinion is that reward must come in the form of satisfaction from employee involvement in the change process. This is presumably dependent on whether or not one's physiological needs are satisfied in accordance with Maslow's Pyramid of Needs (Judson, A., 1991).

It is difficult to imagine that people will make an extra effort "free of charge", even in a change situation, to help an organisation make a profit, without getting something out of it themselves.

However, it is conceivable that the people in the library world are so resourceful as to be "content" with empowerment. Their ordinary physiological needs may be satisfied and empowerment may give them the opportunity to satisfy their needs for recognition, which is on a higher level of Maslow's pyramid than bonuses.

Bonus issues must be especially important to those that are not motivated to work with the change. The prospect of receiving a bonus will cause an increased "guilt" to do something positive for the change process for the money received.

Kotter (Kotter, J. & Cohen, D., 2003) mentions rewards in a more tangible and appreciative way. He suggests introducing a competitive aspect where winners are given recognition at conferences, etc, held in exotic surroundings where the event becomes registered in the collective memory of the organisation. This form of "competition" can incite groups to work harder to achieve individual goals as well as collective goals and can drive the change process. However, this form of competitiveness will require cognitive redefinition if it is to work suitability in a Danish organisational context. It is a typical American phenomenon.

Negativity against change in general, and the time it takes to decrease, is a subject that Eva brings up, and she notices that its decrease in previous years took longer, typically approximately 3 years. Today, however, negativity drops much faster, perhaps within a year or so. The exception is the case of the mobile libraries at Randers. As part of a restructuring effort, they were reduced in 2006 from three to two mobile libraries, but the resistance to that change seems to be just as strong today as it was originally. The reason for this could be that people are still sensitive to

the fact that one has interfered with their basic needs for income (i.e., Maslow's Pyramid of Needs´ second tier). In a world that seems to be en a state of constant flux, the speed of reduction of negativity to change could be a subject for further research. Could this be because of modern man's acclimatisation to the constant flux?

Finally, it is probably necessary to remind Eva and Ove about the phenomenon called "Positive Response to Change" (Conner, D., 1992). The proposals resulting from the workshops of "The Third Route" project are made in an atmosphere of unrestricted freedom to come up with suggestions for the ideal library of the future. This can be seen form the 3D models (see Enclosure no.2). If one evaluates these proposals from a construction technical stance, and compare them with the existing physical framework for libraries in Denmark (many of which hail from before the nineteen seventies), one will discover a need to refurbish and extend many buildings, and possibly demolish and rebuild many more.

The problems with aligning the proposals of The Third Route project with the existing physical framework of libraries, and the problems with tendering space in the libraries for private companies, such as coffee shops, etc. (an innovation), may cause problems with "checking-out", both on the private and the public level, from both employees and management because of the cost and effort required.

5.4 Sub conclusions

1. What are the psychological influences on the employees participating in the change process at Randers and Aalborg Libraries that make them resist or participate actively in the process?

- For those that belong to the older generation of employees, the psychological influences are "survival guilt", which is generated by the disconfirmation message saying that something has to be done about the low visitor volume to the libraries. These people suffer from "disempowerment due to psychologically emphasized learning anxiety", which means that they think that they cannot handle change.

- For those employees that are passive, the "survival guilt" induced is presumably smaller than their "learning anxiety", or the anxiety and discomfort of being in the state of flux. Because they feel uncomfortable with the flux situation, they refuse to change. Therefore, they have to be driven into participating in the change process.

- For those that are positive towards the change, the disconfirmation message is merely a prompt to participate actively in something that can bring them into a higher tier of Maslow's pyramid, namely with regard to recognition and achievement. These people presumably thrive with the challenge of being in a state of flux and have sufficient positive attitude towards change generally. They are resourceful (can afford the cost of change), have no problem with redefining cognitively (re norms, etc.), have trust in management, have recognised the need for the organisation to change (in harmony with the organisation's goals) and are satisfied with the way management is handling the change process. They have no problem with holding management's bullets in the foxhole.

2. What can be done to induce a positive attitude on these employees towards the change process at their workplaces?
- The major factor that contributes towards good working conditions for change is the provision of psychological safety, which comprises:

  o Allowing the older generation of employees to participate at their own pace, and not necessarily 100%, in the change process.
  o Providing employees with support in areas where, e.g., new technological advancements can be a problem for them.
  o Rewards systems that can motivate the passive to overcome their fear of the state of flux and initiate change.
  o A "flat" management structure that can support easier access to management and decision-making, etc.

- Empowerment, where especially the change willing employees are used as change agents that the "uncertain" and "passive" can use as mentors for "positive identification".
- Establishing an environment that is conducive to letting "checking-out" happen in an overt rather than a covert manner, thus allowing constructive alterations to be made to the change process.

6. MAIN CONCLUSIONS

In the introduction to this thesis, I raised the question whether or not change management theories are anchored in clinical psychology. I asked this question because I was curious as to the origins of the many and varied rules that the scholars of change management have formulated for the implementation of a successful change process. By seeking out and understanding the origins, I felt that I could better understand how people felt in an organisational change context and that I would, therefore, be in a situation to help them with their problems and worries and drive the change process to a successful conclusion, whilst becoming a better project manager in the process.

This led me to the following problem formulation:

What psychological factors influence employees, that are involved in a change process in an organisational setting, to either resist change or participate actively in the implementation of that change?

In this context, the following sub questions were also asked:

- **How are employees affected by the change process on a psychological level?**

- **What can be done to induce a positive attitude on employees towards the change process? (Is there a single tool that can move people who are afraid of change and motivate them to work in a way conducive to the change process?)**

In order to help me find the answers to the above questions, I used three types of cases.

The first case was to do with a group of people within a construction-planning context that were forced to try-out a new way of planning in accordance with innovative "Lean" principles.

The second dealt with two individuals who were in a predicament in connection with a fusion project where they felt that all control and autonomy was taken away from them.

The third case dealt with a group who I knew had more or less optimal working conditions to implement change. All of these study subjects were like ice cubes bobbing in a sea of change.

I wanted to find a common denominator for why these people felt the way they did in their different change circumstances. I wanted to be able to say, *"This and this always happens to people when they are confronted with a change"*.

These are my conclusions:

The answer to the question regarding whether or not popular change management theories, like those put forward by Kotter, etc., are anchored in clinical psychology cannot be answered in a black and white, yes/no way. It seems, from the evidence gathered through the literature section and through analysis of the cases, that this might be the case, i.e., clinical psychology is the basis for popular change theory. It would seem that the popular authors have avoided drawing parallels to clinical psychology to keep their messages clear and uncomplicated for the ordinary student of management.

A project manager, who is implementing a change project, should remember the following:

- Everyone has a different tolerance to ambiguity, which means that people tolerate uncertainty and vagueness differently. This is because each person has his or her own "frame of reference" and is, therefore, affected by change in different ways. Their frame of reference is built up over a lifetime and is based on such things as their social status and their upbringing, their

fundamental feeling of safety, their resourcefulness, their trust in management based on prior experiences, whether or not their basic needs have been fulfilled, and whether or not their goals are in line with the organisation's.

- On a psychological level, everyone is affected by the message that prompts change. This is true whether they are individuals or groups, or whether they are change orientated or afraid of change. This message is called the "disconfirmation message" and comes as a message of challenge or a message of shock, dependent on whose eyes you view the message thorough, and dependent on the person's level of tolerance to ambiguity.

- Some people will feel insecurity with the disconfirmation message because it will bring them involuntarily into an uncomfortable period of flux, for example, a flux situation that the organisation itself thrusts upon them. The organisation provides the liquid state and employees and groups in the organisation become the bobbing ice cubes.

- Others will feel enthusiasm and relish the disconfirmation message because it is in line with their hopes and aspirations for the future and they may see the opportunity to excel in the period of flux.

- A third group of people may choose to reject the disconfirmation message by finding excuses and faults with its validity because they cannot deal with the "survival guilt" that it brings forth in them. These people refuse to go into the flux that makes all change possible. In other words, they refuse to become liquid and continue to be ice cubes.

- In one way or another, people have to deal with the disconfirmation message because it is the spark that is necessary to start the change process. Sometimes it sparks itself (the spark comes from outside the organisation), and sometimes it is sparked by the organisation in order to stir its employees, who are then affected in one way or the other.

- If a change process results in one loosing one's status, or there is the possibility of one loosing one's job, or if there is a chance of being moved to another position in the organisation, one may feel disempowered and feel out of control with events. In this situation, one will want to resist the change. Because the change threatens one's basic needs, there will be a lack of energy to think of how it will help others and one may concentrate on bargaining a better position for oneself, or lashing out at one's colleagues or management. The spectrum of feelings ranges from immobilisation, denial, anger, bargaining, depression, until final acceptance of the change is inevitable.

- If the change gives you the opportunity to achieve something you have been aspiring to for a long time, then you will feel empowerment and want to help sustain the change. Your basic needs are secure, so you will have the energy to aspire to higher goals and even help others attain their goals - - even if this means changing your culture or norms, you would be willing to do it. This is because culture is invented to fulfil our needs, and if we aspire to something that requires our culture to be changed, then that change will happen, as long as we can se the advantage in it for us. This is a process of cognitive redefinition, where we use mentors as role models, or we seek out new norms through study ourselves.

- However, some of us suffer from psychologically emphasized learning anxiety, where we convince ourselves that we cannot change. This is a type of excuse we give ourselves in order to reject the disconfirmation message or reject the "survival guilt" that it generates within us. The driving forces within us tell us that the right thing to do is to change, but our restraining forces also come up with so many excuses for why we should not change. In the end, we "takes hostages" in our argument not to change.

- Ultimately, it all boils down to one's tolerance of ambiguity, which is the ability to sustain oneself in a situation where there is uncertainty and insecurity

around oneself, i.e., our ability to be the bobbing ice cube in the sea of change! Again, this is different for person to person and from situation to situation. If one cannot sustain the pain of ambiguity in the flux phase, the result is to slip back into the old status quo that prompted the disconfirmation in the first place. No change will result and support is needed if this is to be avoided.

How can a project manager move people that are not change-minded towards working for change?

There is probably no single tool for the induction of positivity about change among employees, presumably because people have their individual "frames of reference", and some tools work better on some people than on others. However, among the tools available, the following apparently have great effect on the change process:

- Change-orientated employees need little psychological safety. They are already empowered and are usually used as change agents or role models in the different groups within the organisation. However, it is important that if these people are used as change agents, that they are trusted by the other employees. It is also an advantage if they have a good portion of influence with management in order to consolidate this trust.

- The single most important factor that the thesis´ cases have shown us is the need for provision of psychological safety. Only by providing psychological safety can one get the change targets to unfreeze and facilitate the learning process that results in change. In practical terms, this can be done by:
    o Allowing a target to learn at their own pace.
    o Providing training or support in the learning of new technologies and competences, etc.
    o Providing a rewards system that will motivate especially the passive majority.
    o Establishing a flat management structure that allows easier access to decision-making.

- Establishing an atmosphere that is conducive to public "checking-out", i.e., critique is tolerated and discussed, and a solution sought, etc.
- Acknowledging that not everyone is able to put in a 100% effort and that some change is better than no change.
- Accepting that knowledge of the "types" of people in the organisation makes helping them more effective and efficient.

- Ideally, it is important to empower employees and to induce a "foxhole" mentality in the organisation, where the urgency of the change effort is emphasized by allowing, encouraging and accepting suitable employee input in the decision-making process. Change can easily happen without the empowerment of employees, but there is a likelihood of greater support for the change process if people are involved in forming and implementing their own ideas.

- Effective use of "participative management" to some degree may help to achieve commitment from employees in the change process. However, it is important to define, beforehand, how deep employee involvement in the decision-making and planning should be if it is used. This does not mean that management is obliged to involve all employees all of the time. People must be involved based on their ability to input positively to the process.

- One must remember that trying to empower an employee whose basic needs are unfulfilled or lacking, is futile.
- Finally, one must also be aware that the optimism of the initial decision to change can be brought into doubt, or even danger, in the implementation phase, where unforeseen problems start to emerge and disrupt the process. This can result in loss of "faith" in the change process and mechanisms must, therefore, be brought into play to deal with these eventualities if they should arise.

7. DISCUSSION (Putting things into perspective)

If we try to put the subject of psychological aspects of change into perspective in the context of my industry, namely the construction industry in Denmark, it would be to envisage its uses in an industry, which is currently in flux.

For the past many decades, disconfirmation messages have been emanating from government, the public sector, the private sector, the industry itself and society in general about discontentment with the construction industry in Denmark because of issues to do with low quality, defects and shortcoming, promises made and not kept and poor earnings and profits.

Globalisation has also contributed to the debate, because to compete for projects on world markets today requires size. This means that many organisations, whether they are in the service, production or supply chain of the construction industry, have to join forces to compete in the global marketplace. Even educational organisations that are affiliated to the industry have to think globally because their clientele seek internationally accepted competences.

Some people feel that the construction industry in Denmark has behaved like Sleeping Beauty, slumbering in a bewitched sleep while other industries have geared-up to take on the challenges from today's global markets and more stringent consumers that demand high quality, cheaper prices and new methods of cooperation such as Partnering and other value-based cooperation forms.

The critics have a valid point. The construction industry has probably behaved like Sleeping Beauty. They have rejected the disconfirmation messages from different parts of society, including their own customers. These messages might have awakened "survival guilt" in the owners and boards of directors of the companies in the industry, but their "learning anxiety" has been much greater and it has been too easy for them to reject the disconfirmation message and continue their lazy "slumber". The Danish state, which stands for only 2% of all construction in Denmark, has acknowledged the problem and introduced demands to the industry, for example, digital tendering on all state projects of a certain size. This is an example of the state acting as a change agent in the hope that the disconfirmation will be heeded and changes will be made gradually to improve the situation.

The fact is that the disconfirmation messages have resulted in an awaking of the industry from its slumber during the past few years, and it is now taking initiatives to correct its sins. The industry is in a state of flux with some of its organisations bobbing about like ice cubes in melt water:
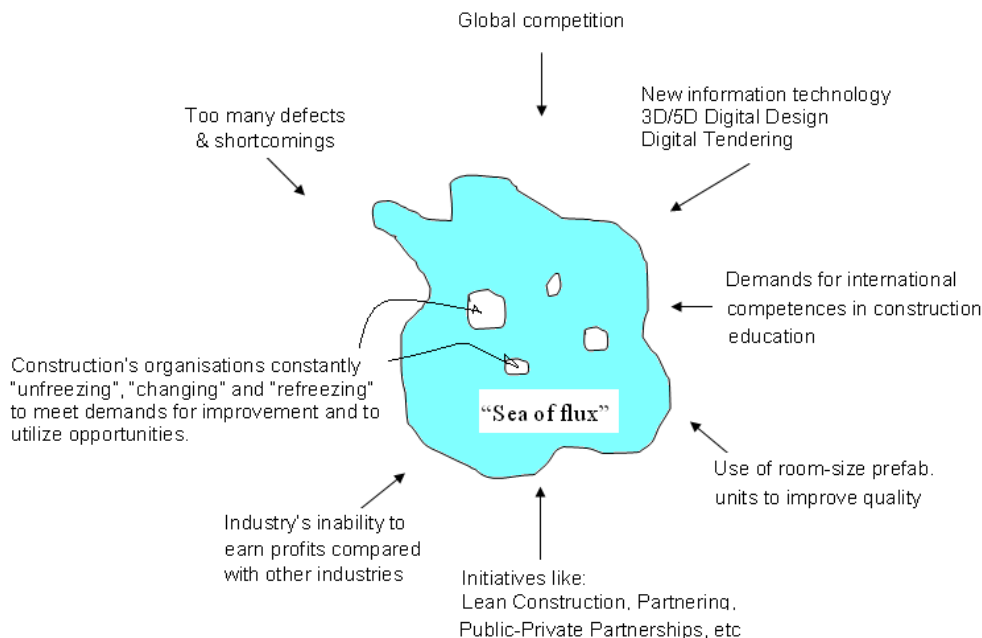

Figure 27: The construction industry's "sea of flux"

Because of this confusing state of affairs (and state of flux) in the construction industry, I have posed questions that tries to identify the feelings that individuals, groups and, indeed, organisations have to tolerate in situations of change.

I have suggested some provisions that are necessary to support and drive the change process towards a successful conclusion. Seen from a practical point of view, this information can be useful for all managers working within the industry in trying to understand why their employees behave the way they do in change situations.

So, to conclude and sum-up what has been learned through working on this thesis, the following simple scenario can be used:

A new managing director has been brought in to steer a construction company away from the abyss. The first thing he would do is to make people aware of the seriousness of the situation by underlining the sense of urgency (strengthening the disconfirmation message). Next, he would implement strategies to provide psychological safety for the employees, thus putting the organisation into a state of flux (unfreezing). Simultaneously, he would

incrementally implement strategies to change the existing culture of the organisation, thus making it cognitively redefine norms and behaviours, etc.(to fit his new strategies), until the desired change is achieved and new habits prevail because of conformance with new norms and what is left of the existing culture. The new condition will gradually refreeze to form the new status quo.

STRATEGY for CHANGE

Company in
disarray
(On it´s way to abyss)

New managing director
brought in

New director strengthens
"disconfirmation message"
(Applies "heat")

Organisation
in flux

Provision
of
Psychological Safety
(strategy for this necessary)

Incremental changes to
cognitively redefine
cultural norms, habits,
etc.

New norms
and existing
culture consolidated
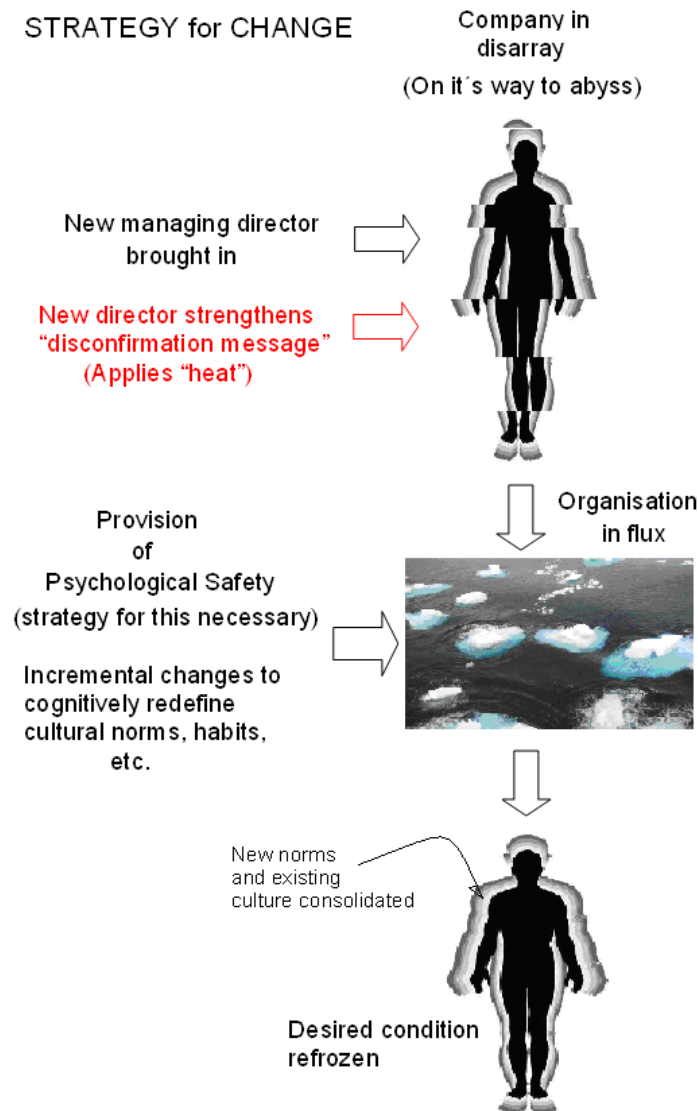
Desired condition
refrozen

Figure 28: Simple scenario for change

8. LITERATURE

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9. ENCLOSURES

ENCLOSURE 1:
Questions for Anja and Mette: VIA University College (NOT TRANSLATED).

Følgende spørgsmål er ment som en illustration af en vift af mulige spørgsmål som et individ vil stille sig selv i forbindelse med en forandring. Intet enkelt individ vil stille alle disse spørgsmål om en forandring. Listen skal heller ikke opfattes som en komplet list som vil opstå i en sådan situation.

Individet i relation til arbejdet:

- Hvor effektiv vil jeg være i den ny situation?
  Vi vil forsøge at være lige så effektive som vi altid har været!
  Vi "prøver" at være effektive, men det er lidt svært ind i mellem, idet der er mange uafklarede arbejdsgang og arbejdsprocesser der ikke er beskrevet og udmeldt.

- Hvad for nogle nye ting vil det være nødvendig for mig at lære? Kan jeg lære dem? Hvor svært vil det være for mig at lære de ting? Hvor meget tid vil jeg have for at lære de nye ting?
  Da vi skal skifte arbejdsfunktion skal vi ind i nye arbejdsgange samtidig med vi skal ind i nye edb-systemer. Hvor svært det vil være vides endnu ikke, idet de nye arbejdsfunktioner ikke på nuværende tidspunkt er beskrevet. (Bekymring)
  Vi er ikke startet i de nye job endnu, men afventer med spænding på hvad fremtiden bringer og hvilket nye udfordringer der venter os.

- Hvad er de nye standarder som jeg skal opfylde? Vil jeg være i stand til at opfylde dem?
  ? (Bekymring………forventer ikke at standarden skifter)
  De standarder vi opfylder i dag bliver i forbindelse med fusionen forringet, hvilket gør at de standarder vi har opfyldt ikke længere vil aktuelt. Altså et forringet serviceniveau.

- Vil der være noget i den ny situation som jeg vil finde ubehagelig eller modbydelig?
  Vi kommer fra den flyttede lønafdeling og skal indgå i den fremtidige decentrale økonomiafdeling, hvor vi skal indgå på lige vilkår med vores "nye" kommende kollegaer. Det betyder samtidig at de kan komme til at synes de skal dele deres opgaver med os.
  (Bekymring)

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Den nye situation er, at vi ikke skal dele arbejdsopgaver med nogen, idet der er oprettet nye job til os som ikke har været i virksomheden før. Vi skal begge arbejder under 2 chefer, hvor vi selv skal prioritere vores tid, hvilket kan give problemer. Hvem af cheferne er vigtigst?

- Vil den ny situation involvere forøget ansvar for mig? Vil situation kræve mere arbejde fra min side? Vil jeg modtage forøget anerkendelse fra situationen? Vil jeg få en fair kompensation?
  Tvært i mod tror vi, idet vores nuværende kompetencer inden for lønområdet ikke skal bruges i vores daglige arbejde. Det bliver for os at starte et nyt sted – faktisk på bar bund og der kan derfor ikke stilles de samme krav til vores fremtidige arbejde.(Bekymring)
  Med de nye arbejdsfunktioner vi får i fremtiden tror vi der stilles knap så store krave som tidligere, idet "revisionsbemærkninger" ikke er aktuel. Vi skal ikke længere fortolke overenskomster og cirkulærer. De nye arbejdsopgaver indebærer vel mere kreative løsninger, der ikke er bundet op på regler.

- Hvordan vil den ny situation sammenlignet med min eksisterende situation i forhold til job interesse? Afveksling? Udfordring? Tilfredsstillelse? Udbytte (evt. løn)?
  Det er svært at spå om, idet vi ikke kende arbejdsopgaverne, men det er klart at det i sig selv er en udfordring at skifte job. Det kan måske virke som knap så motivende, idet vi jo ikke selv i denne situation har valgt jobskiftet.
  (Bekymring)
  Svaret ligner stadig den grønne besvarelse, men motivationen er nok blevet højere siden sidst, idet vi begge er klar til det nu. Den sidste måned har det faktisk ikke kunne komme hurtig nok – måske i ren spænding på hvad der venter.

- Spørger de mig om at gøre noget uden fortilfælde? Kan det lade sig udføre?
  ?
  Det forstår vi stadig ikke?

Individet i relation til andre

- Hvordan vil den ny situation påvirke min nuværende forhold til mine arbejdskammerater/ underordnede? Vil der være mere eller mindre kontakt? Vil det være de samme mennesker eller vil jeg være nødt til at arbejde med en ny gruppe mennesker eller nye individer?
  Alt efter hvordan den kommende decentrale økonomiafdeling skal placeres – men det er klart at den ikke kommer til at ligge på Strandpromenaden. Det er på sin vis også godt nok, idet der nok opleves en større service når man er placeret tættere på.
  Så for os vil det i højeste grad være mere kontakt, idet vi muligvis kommer tættere på arbejdskollegaer, da vi sidder pt. på den afdeling hvor der foregår mindst undervisning.

Vi bliver fysisk flyttet halvdelen af arbejdstiden, hvilket vil få betydning for at skulle arbejde med en ny gruppe af mennesker, som vi dog kender i dag.

- Hvordan vil forandringen påvirke den måde folk betragter mig? Hvad vil de tænke om mig? Hvordan vil min status (rang) hos dem blive påvirket?
  I kraft af at vi skal skifte arbejdsfunktion, vil vores status naturligvis blive påvirket af manglende erfaring indenfor området.(Bekymring)
  Vores nuværende "status" vil blive påvirket i de nye jobfunktioner, idet vi jo ikke har den erfaring med de nye arbejdsopgaver som vi har med de opgaver vi sidder med i dag. Vi tror der er mange, der stadig tror, at vi kan løse opgaver inden for "lønjobbet" når vi flytter, men inden for kort tid vil det være umuligt, idet vi ikke har adgang til oplysningerne. Det kan måske være de så tror vi ikke vil hjælpe………

- Vil jeg være i stand til at forsætte min forbindelse til min nuværende kollegaer som hidtil? Vil jeg blive holdt uden for ting i fremtiden?
  En af vores nærmeste kollegaer skal til Viborg at arbejde i fremtiden, en anden kollega er opsagt i sin midlertidig stilling, så vi er to tilbage som pludselig skal indgå i en allerede etableret økonomiafdeling. (Bekymring)
  Vi to der er tilbage bliver nu også skilt ad – dog skal vi begge fortsat arbejde med noget ens, som vil betyde at vi stadig er kollegaer – bare adskilt fra hinanden. Vi er heldigvis begge gamle i gårde og de nye kollegaer kender os som vi er. Det er jo vores fordel, så vi tror ikke vi vil blive holdt uden for ting i fremtiden.

- Hvordan vil andre føle/mene om min samarbejde/deltagelse omkring denne forandringsproces? Vil de synes at jeg er "firmaets mand"? Vil jeg være nødsaget til at sætte præcedens der kunne skade andre senere? Hvordan vil denne proces påvirke mine fremtidige forbindelser med folk?
  Vi er nok allerede i VIA opfattet som modtagere af forandringen, idet vi har stillet spørgsmål til hvorfor man strategisk har besluttet det der allerede er besluttet. (Bekymring)
  Nogle vil vel mene, at vi er blevet forfordelt, idet vores fremtid allerede ligger fast nu – modsat andre kollegaer som er i samme situation som vores.

- Vil andre miste deres arbejde som konsekvens af denne forandring?
  ?
  Nej, idet der er tale om 2 helt nye stillinger som faktisk har været slået op, således alle har haft muligheden for at søge dem.

- Vil jeg forblive ved at være vel informeret om hvad der forgår i organisationen som jeg er nu? Hvordan vil jeg kunne holde mig ajour med hvad der sker i fremtiden?
  Vi tror at informationerne får endnu sværere ved at nå i bunden af en så stor organisation, medmindre man helt specifik får oprettet retningslinjer for hvordan informationerne i organisationen spredes. Vi har allerede i VIA oplevet uheldige episoder af informationsniveauet.
  (Bekymring)…..mistænkelige overfor org. Pga fortilfælder

Vi kommer tættere på fysisk, idet vi flytter adresse, hvilket gør at vi alt andet lige får mere information. Vi har tidligere oplevet uheldige episoder og det er i hvert fald ikke blevet bedre – tvært i mod. Vi føler lidt at det mange informationer blæser med luften eller popper op i mailen i tide og utide, hvilket gør det rigtig svært at skelne mellem de mange informationer der kommer – meget er nemlig irrelevant information og meget relevant udebliver. Rygterne kører på tværs af hele organisationen og en fjer bliver sku´ til 10 høns eller skal vi skrive 100.

- *Er jeg blevet "specielt udskilt" ved denne forandringsproces? Vil andre opfatte det som diskrimination eller unfair begunstigelse?*
  Vi er af den opfattelse at de som sidder "tættest" på de allerede ansatte ledere i VIA har en større fordel både af hensyn til indflydelse, information og arbejdsfunktion. (Bekymring)
  Der var så noget om snakken i forhold til det tidligere skrevne, idet nogle mener at vi rent faktisk er blevet forfordelt! Sjovt! Det skal tilføjes at det sker på alle niveauer!

Supervision/Tilsyn

- Vil denne forandring betyde, at jeg skal arbejde for en ny chef? Hvordan vil ham/hende være i forhold til den nuværende chef? Vil der være anderledes forventninger til mig? Hvis ja, hvad for forventninger? Hvad vil han/hende betragte som vigtigt? Hvordan vil vores forhold til hinanden være?
  Vi går stærk ud fra at vi bibeholder vores tidligere chef, selvom vi skifter arbejdsfunktion, men vi er samtidig fuldstændig overbeviste om, at såfremt vi fortsat skulle arbejde i lønafdelingen ville vores nuværende rolle i forhold til en ny chef bliver meget bevirket, idet vi tidligere har arbejdet meget selvstændig og har haft en enorm frihed under ansvar. Det kræver tid og tillid til hinanden som medarbejder og chef og det vil klart være afgørende ved et eventuelt chefskifte. (Bekymring)
  Vi beholder vores nuværende chef – men skal også arbejde under andre som ved hvad vi kan. Problemet er bare at vi mister grundlaget for vores viden – dvs. de nye chefer tror de kan få viden fra os som hidtil, men vi mister vores "datarettigheder" i forbindelse med omlægning af lønafdelingen.

- *I min ny situation, vil jeg se min ny chef lige så meget som min nuværende? Kan min fremtidige præstation bedømmes fair? Hvordan vil jeg synes om, at være overladt til mig selv mere ofte?*
  Irrelevant, idet vi bibeholder vores nuværende chef (ingen bekymring)
  Ingen bekymring fortsat…..

- *I den ny situation, vil jeg se mere til min chef end før? Vil han/hende kigge over mine skuldre hele tiden? Hvordan vil jeg have det med det?*
  Vi tror på at vi vil se mere til vores chef i fremtiden, idet han ikke vil være så involveret i de strategiske beslutninger, idet han er "degraderet" i forhold til den funktion han pt. har i Vitus Bering. Han er ikke typen der kikker over skulderen hele tiden og det tror vi heller ikke hverken ham eller os vil få nogen gavn af. (ingen bekymring)

Vi kommer faktisk til at se ham mindre end vi gør i dag, idet vi også skal arbejde for andre – men det bekymre os ikke, idet vi kender hinanden rigtig godt.

- *Hvorfor blev jeg/vi netop valgt til denne forandring?*
  Vores arbejdsfunktion gør at vi er tvungne ind i forandringen, idet de nok er de nemmeste områder at "slå" sammen. (ingen bekymring)
  Ovennævnte svar omhandler lønafdelingen og siden sidst, er der sket den forandring at vi har fået nye jobs.

Underordnede

- *Hvad vil mine underordnede tænke om mig som konsekvens af denne forandring? Vil den ændre deres agtelse af mig? Vil de se på denne forandring som en forøgelse eller formindskelse af min status?*
  ? – vi er ikke chefer
  Vi er ikke blevet forfremmet!
- *Hvilke slags nye underordnede vil arbejde for mig i femtiden? Hvordan vil de være sammenlignet med mine nuværende? Vil vi være i stand til at udvikle gode relationer? Hvad indflydelse vil de have på hvordan og hvor effektivt jeg kan gør mit arbejde?*
  ? – vi er ikke chefer
  Vi er stadig ikke blevet forfremmet!

Eksterne kontakter: kunder/studerende, sælger, leverandører

- *Hvordan vil vores kontakter udenfor vores organisation (skolen) anser mig efter forandringen? Vil jeg være i stand til at få deres bedste samarbejde som jeg har nu? Vil de forbigå mig og samarbejde med andre i organisationen pga. denne ændring.*
  ? – irrelevant for vores område
  Der er ikke i vores hænder stadig!

- *Vil min succes in dette nyt område være lige så stor som min succes til dato? Hvor svært vil det være at etablere nye kontakter?*
  ? – irrelevant for vores område
  Der er ikke i vores hænder stadig!

- *Vil mine kontakter udenfor organisationen betragte denne ændring som en forøgelse eller formindskelse af min status i organisationen? Hvordan vil min stillingen i min lokal samfund blive påvirket?*
  ? – irrelevant
  Der er ikke i vores hænder stadig!

Individet i forhold til organisationen

- *Hvordan vil mine langsigtede fremtidsmuligheder med organisationen blive påvirket af denne forandring? Hvordan vil mine muligheder for avancement blive påvirket? Hvordan har andre klaret sig i lignende situationer?*
  Det er klart at et stillingsskift indebærer at man for en bredere erfaring indenfor økonomi, idet mange private virksomheder ikke skelner løn og økonomi som vi gør i Vitus Bering. Det er en klar fordel, omvendt mister vi den ekspertise vi har oppearbejdet i årvis – det gør en vis tid inden man opbygger den ekspertise indenfor et andet område. *(Bekymring)*
  Fremtidsmuligheden i at prøve noget helt andet - kan måske bedre realiseres nu, idet der skal ske omrokeringer og det er jo godt for dem der har disse ønsker. Muligheden for avancement tror jeg bliver mindre, idet der bliver "længere" til toppen og vores kompetencer "degraderes".

- *Hvordan vil min fremtidige "sikkerhed" i organisationen være påvirket af denne fusion? Vil jeg være mere udsat for fyringer? I tilfælde af fyringer, hvad alternativer ville være åbne for mig?*
  Sikkerheden er helt sikker mere usikker, idet vi sidder i den yderste cirkel af VIA, idet vi har fravalgt at flytte til den inderste cirkel som skal bosættes i Århus/Viborg. *(Bekymring)*
  Her bliver man ikke fyret, men man kan blive stillet så dårligt – rent arbejdsmæssigt, at man er nødt til at sige NEJ TAK.

- *Hvor vigtigt betragter organisationen den ny situation? I hvilken omfang vil de holde øje med mig? Hvor meget står på spil/afhænger af min succes?*
  Vi synes ikke organisationen betragter den nye situation særlig professionel, idet vi har erfaret at mange ikke kan få en afklaring på hvor de skal sidde i fremtiden og hvilket arbejdsgaver de skal beskæftige sig med – det er åbenbart vigtigst at få cheferne i hele organisationen placeret inden man vil drøfte arbejdsdeling/arbejdsfunktioner. *(Bekymring)*
  Det er det grønne svar der stadig er gældende – dog er det nok mere arbejdsgangene i arbejdsopgaver der fylder mere nu, idet mange placeringer af arbejdsopgaver er på plads – her 2 måneder inde i fusionen. Men arbejdsprocesserne er måske også sværere at realisere i en sådan stor virksomhed, idet der er mange forskellige arbejdsprocesser der skal ensartes.

- *Har organisationen lige så meget tillid til mig som før? Hvordan vil mine nye ansvar og frihed til handlig være sammenlignet med før?*
  Hvis organisationen er VIA har de ikke tillid til os – endnu. Flere har oplevet os som bedre viden og vi tror på at vi er et skridt foran de øvrige skoler, bla. har vi allerede indplementeret et regnskabssytem som alle i VIA skal overgå til 01.01.2008, og de vil ikke drage vores erfaringer – det er jo lidt forkasteligt. *(Bekymring)*
  Det har ikke ændret sig siden – vi er stadig bedrevidende, men mange allerede fastlagte beslutninger er en realitet nu og det har stor indvirkning på serviceniveauet. Det handler om at vi skal tage vores "degraderede" ansvar

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alvorligt og se i øjnene at vi ikke længere skal "tænke selv" og bare gøre hvad der bliver sagt. Ikke noget med: "hvad med det" – det tager man i VIA når det kommer………

- *Hvordan vil denne situation være sammenlignet med hvad jeg kunne have været i stand til at sikre mig andetsteds? Kunne jeg være i stand til at gøre mere gavn et andet sted?*
  På sidste punkt skal fremhæves, at vi af geografiske årsager har takket nej til både job i Århus og Viborg. Vi har forespurgt om en fleksibel ordning, men det kan der ikke på nuværende tidspunkt tages højde for. Man er af den opfattelse i VIA, at vi selv er skyld i at vores situation er som den er. Det er klart, at man kunne have bibeholdt vores ekspertise i VIA, såfremt man var lidt fleksibelt mht. geografi. Men det er ikke på tale og derfor skal alle lønafdelingerne decentralt lukkes og flyttes til Viborg. Så er det ellers op til hver enkelt at finde noget andet at lave. Vi vil i princippet være bedre stillet såfremt vi fandt os et andet job et helt andet sted, idet vores nuværende lønninger samt arbejdsfunktion ville være beskrevet, men omvendt har vi brændt for Vitus Bering og det forsvinder jo ikke bare på en dag. (Bekymring)
  Svaret har ikke ændret sig siden sidst, men det der er ærgerligt er, at man i VIA ikke er beslutningsdygtige nok. Der er alt for mange der skal ind over forhandlingsbordet når vi taler om dagligdags rutiner. Det er svært at gøre gavn et sted hvor det er de "overordnede" – altså dem i direktion – der skal tage stilling til dagligdags problemer!

ENCLOSURE 2: Illustrations from the visualisons of proposals for the "Third Route Project"

The "ON-Library"……………………………and the "OFF-Library"

Above: The Service Concept Library, ……..and below: The Library for Professionals