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**NORTHROP GRUMMAN**

# Leading Change Without Authority

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- **Successful change requires the right combination of strategy, structure, and support**
- **Your chances of success depend on:**
  - Your current culture
  - The desired end state
  - The resources available
  - The past response to change
  - Your ability to recognize and address resistance

This presentation is a tailored version of a tutorial "Leading Change Without Authority", presented by Dr. Rick Hefner at the American Society for Quality (ASQ) 4th Annual SoCal Quality Conference on 15 October 2011. It is used with Dr. Hefner's permission.

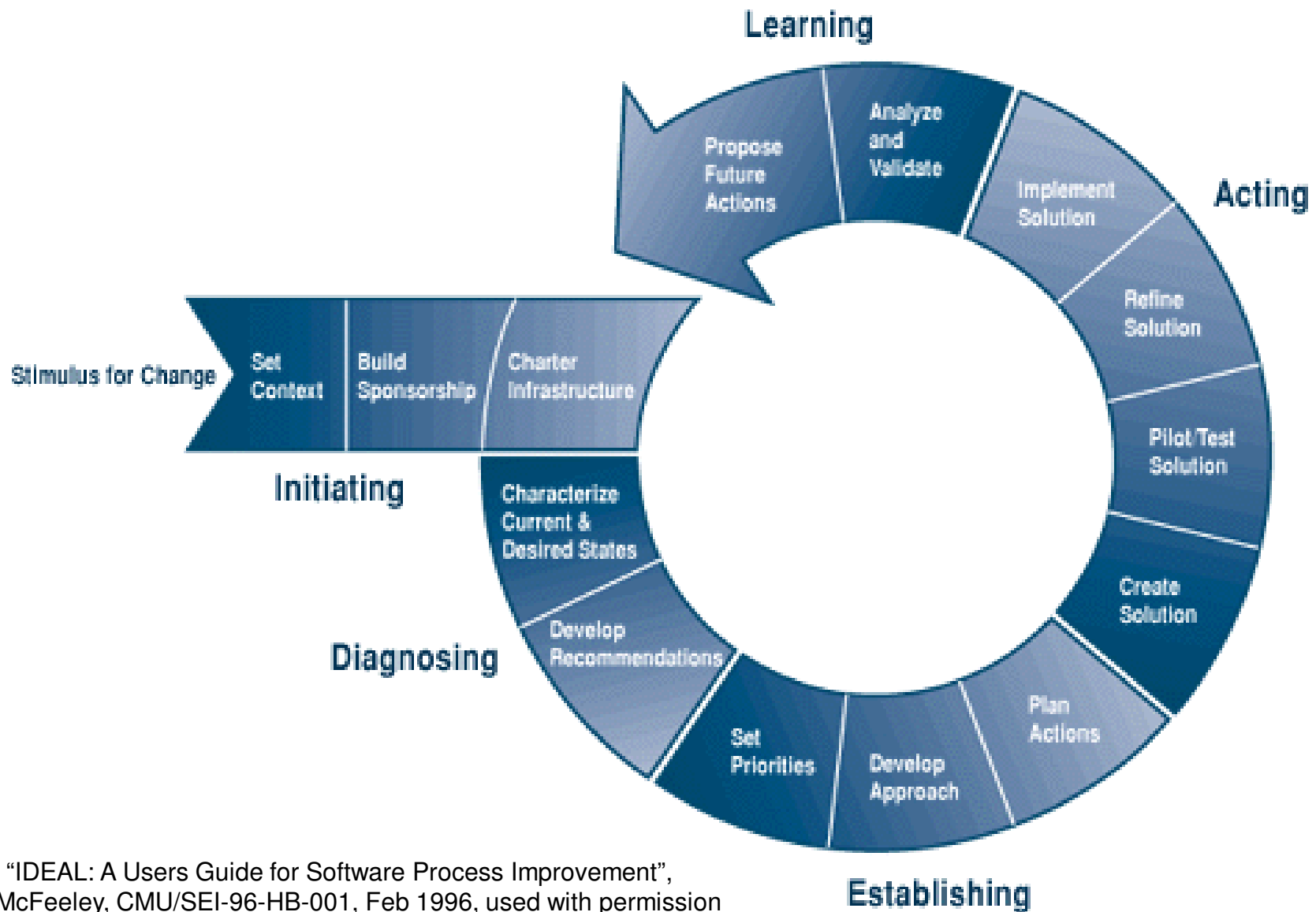
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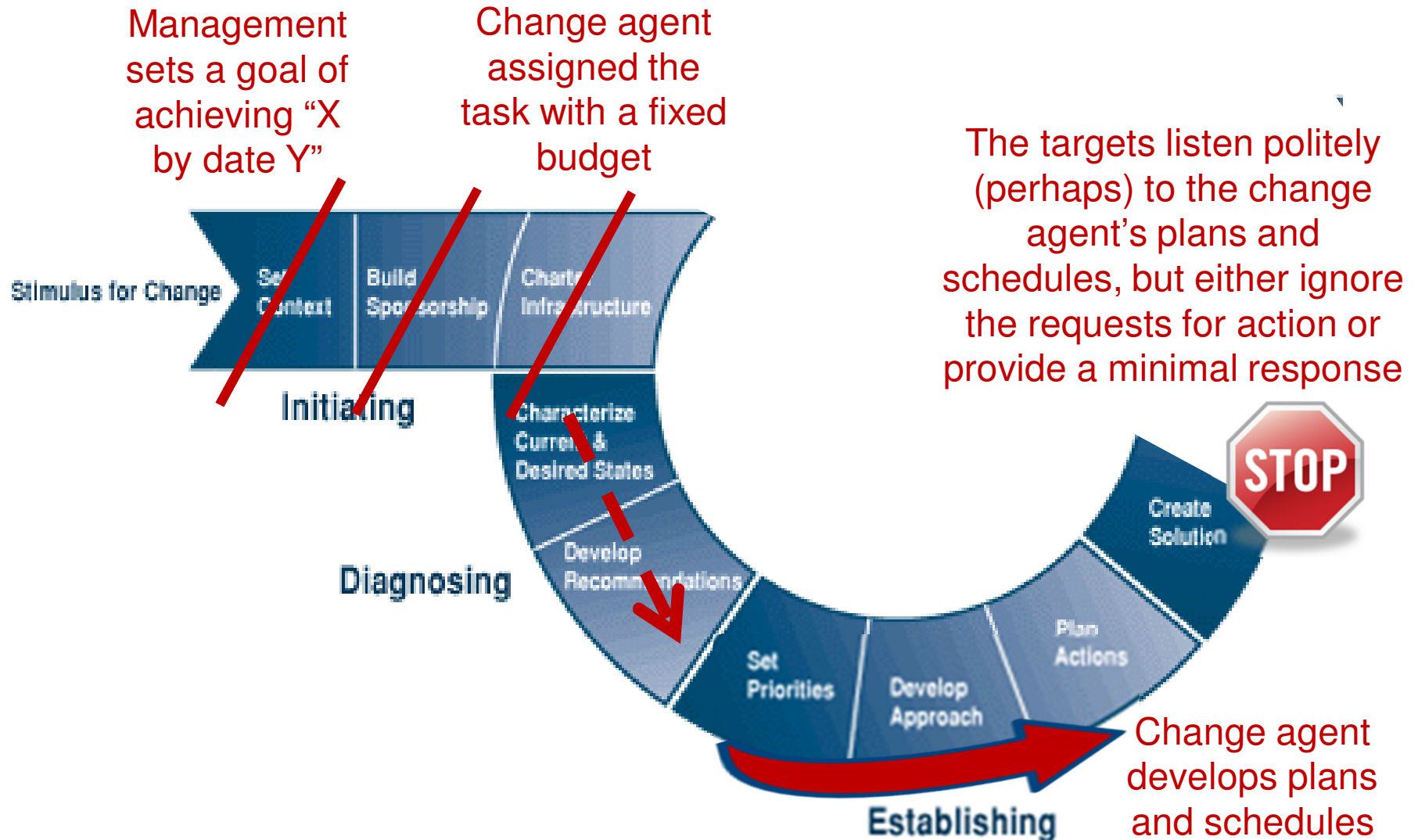
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# The IDEAL<sup>SM</sup> Model



Source: "IDEAL: A Users Guide for Software Process Improvement", Robert McFeeley, CMU/SEI-96-HB-001, Feb 1996, used with permission

# The Non-IDEAL Model



- 
- **Why people resist change**
  - **Effective strategies for addressing resistance**
  - **Influence without authority**

# Why Do People Resist Change?

## **I want to stay where I am because...**

- ...my needs are already met here
- ...I have invested heavily here
- ...I am in the middle of something important



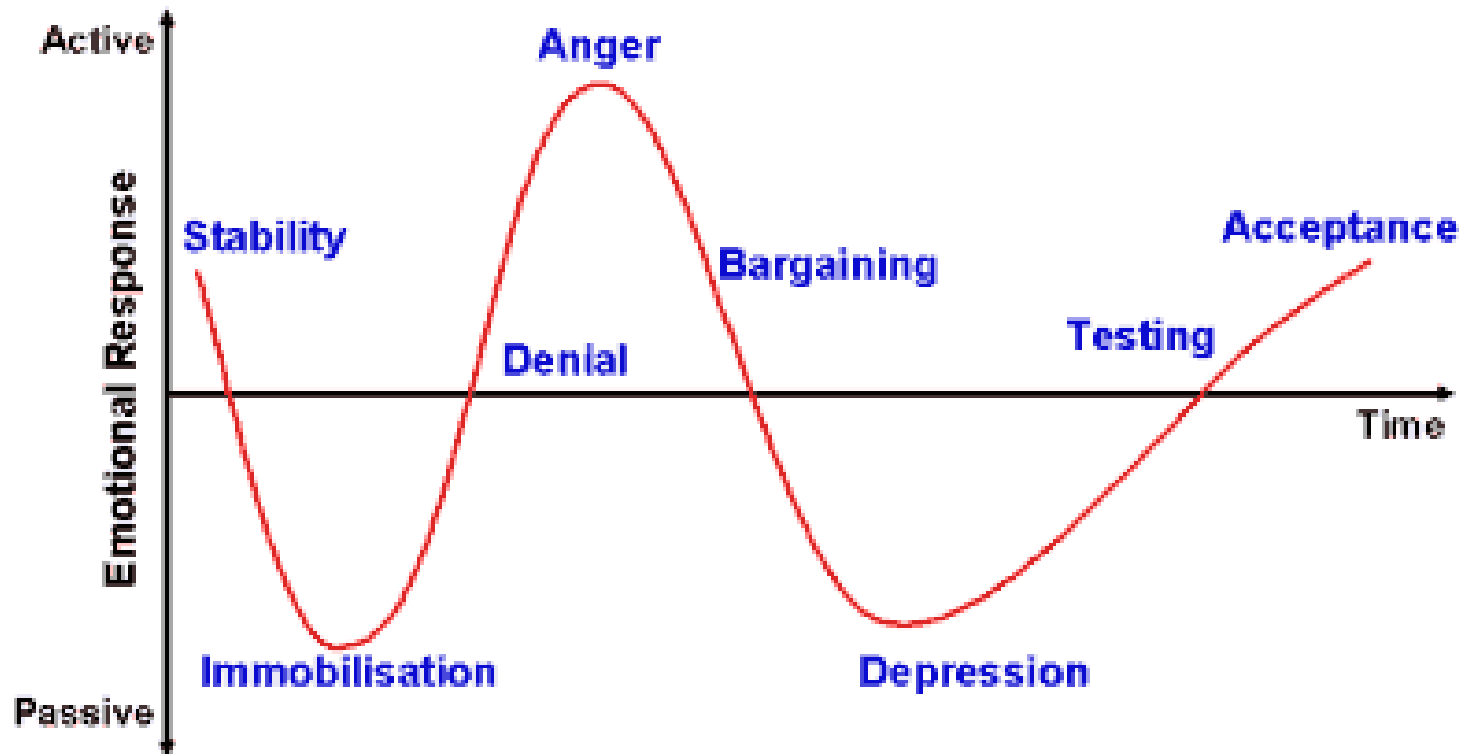
## **I do not want to change because...**

- ...the destination looks worse than where I am now
- ...there is nothing to attract me forwards
- ...I do not know which way to move
- ...the journey there looks painful
- ...the destination or journey is somehow bad or wrong
- ...I do not trust those who are asking me to change

## **I am not going to change because...**

- ...I am able to ignore the change
- ...I have the power to obstruct the change

# Reaction to Change Perceived as Negative: Kübler-Ross Grief Cycle



**Immobilization:** Initial paralysis at hearing the bad news

**Denial:** Trying to avoid the change

**Anger:** Frustration, outpouring of bottled-up emotion

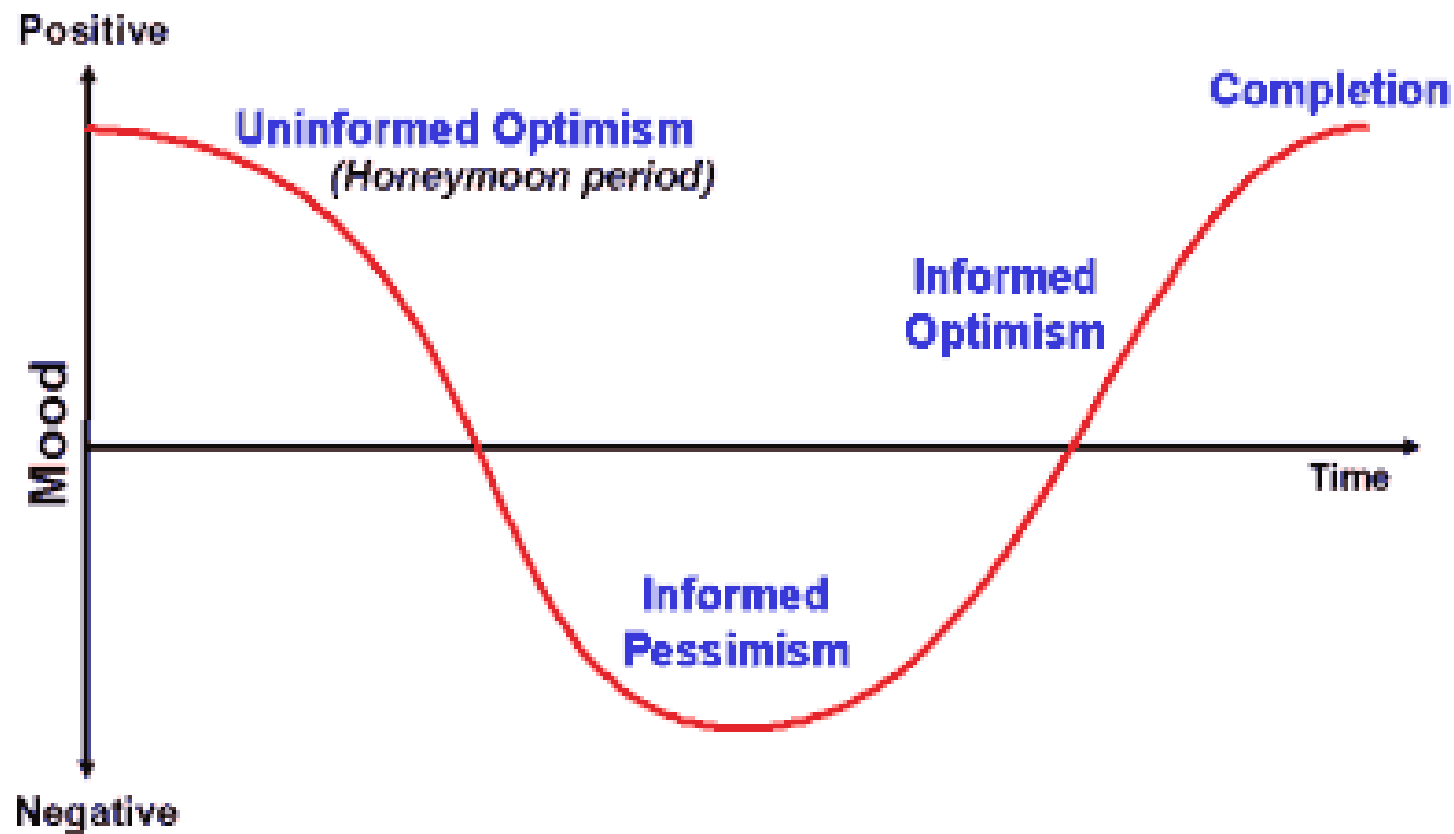
**Bargaining:** Seeking for a way out

**Depression:** Final realization of the inevitable

**Testing:** Seeking realistic solutions

**Acceptance:** Finally finding the way forward

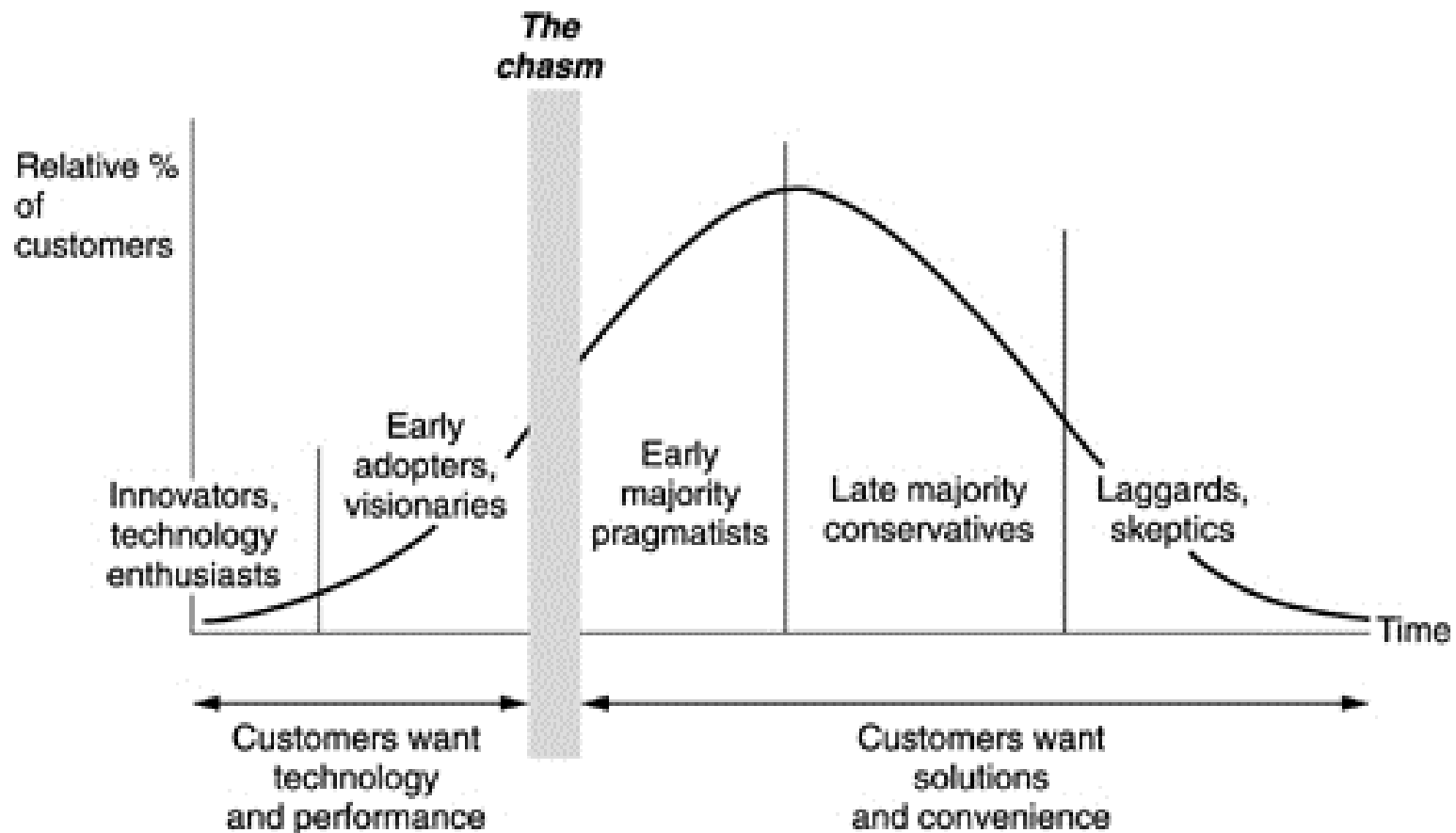
# Reaction to Change Perceived as Positive





# Willingness to Change

- Early adopters are motivated by perceived benefits
- Late adopters are motivated by avoiding pain



Source: Geoffrey A. Moore, *Crossing the Chasm*, 1999, used with permission

# Assessing your Targets

- **Beliefs** - **Basic drivers of thought and behavior**
  - What beliefs do they have - about themselves? Their work?
  - How strongly do they hold these beliefs?
  - What beliefs do they have - that led them to oppose the change?
  - What beliefs do they have - that could be used to help convert them?
- **Values** - **Guides for what is good/bad, important/unimportant**
  - Are any of their values being violated by change actions?
  - What are their stress values? Are these being violated?
  - What values can you appeal to, to persuade them to change?
- **Goals** - **Objectives we set to satisfy values and needs**
  - Career goals? Social goals? Other goals?
  - How are their goals affected by the change?

# Assessing your Targets (continued)

- **Perceptions - Their personal reality**
  - What do they think will happen because of the change?
  - What are their perceptions of those implementing the change? Do they think the change agents will be fair? Do they think they are competent?
- **Potential - What they can and are likely do to oppose the change**
  - What power do they have? Source of that power? (position, expertise, social, etc.)
  - How might they use that power? (blocking, persuading others, etc.)
- **Triggers - Those events that would tip them into action**
  - What would cause them to use their power? (events, actions, etc.)
  - What would inhibit them beforehand? (involvement, listening, etc.)
  - What would inhibit them after they resist? (listening, threats, etc.)
  - Who do they listen to? (friends, social leaders, senior people, etc.)

# Stakeholder Analysis

- Identify key stakeholders
- Plot stakeholders current feelings (X) regarding desired change
- Plot stakeholder feelings needed (O) in order to successfully accomplish desired change
- Identify actions for closing gaps

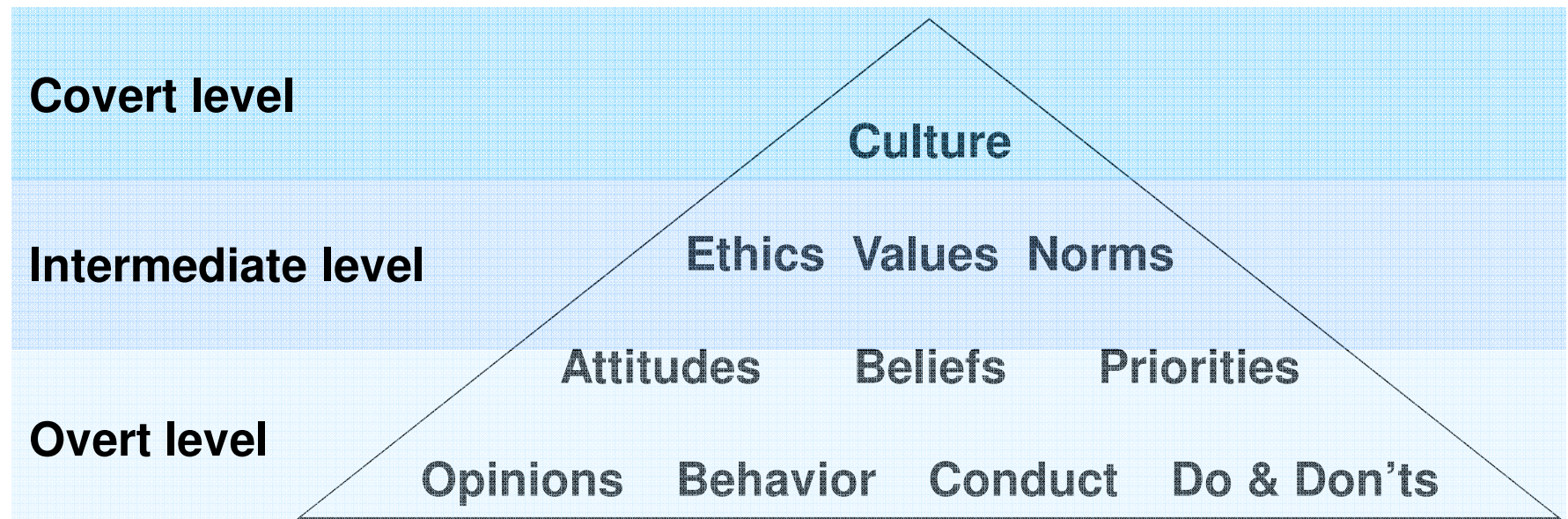
Name	Strongly Against	Moderately Against	Neutral	Moderately Supportive	Strongly Supportive	Action Steps
Senior Mgmt			X		→O	Xxxxxxx xxxx
PMs		X			→O	Xxxxxxx xxxx
Engineers	X				→O	Xxxxxxx xxxx
Customers			X		→O	Xxxxxxx xxxx

# Topics

- Why people resist change
- **Effective strategies for addressing resistance**
- Influence without authority

# Address the Underlying Beliefs

- **Sponsors and targets must have a strong vision of the desired culture**
  - What are my roles and responsibilities?
  - What changes in behavior are required?
  - What are the underlying beliefs and values?
  - How do I benefit – WIIFM?



# Communicate the Key Messages

- **The change is driven by proven, industry best-practices**
  - Adoption is about learning how to apply these practices to our work
  - The practices may feel awkward and have limited value until we learn them
  - It's OK to make mistakes – we will get better over time
- **Improvement involves short-term investment for long-term gain**
  - Improving is essential to meeting our business goals
- **These improvements are an enabler (not a guarantee) of success**
  - Other aspects (people, technology, customer relationship, etc.) are equally important
- **When the entire organization is improves, everyone's job becomes easier**



# Address Fear of Failure

- **The risk of change may be seen as greater than the risk of standing still**
  - Making a change requires a leap of faith
- **The perceived loss of personal power**
  - I'm seen as competent now, but in a new culture...



## ***Effective Strategies***

- **Clearly describe why the situation favors change**
  - Business goals, WIIFM
- **Make it clear initial mistakes are expected and will be tolerated**
  - Create forums for asking and answering questions
- **Show people how they can be effective in the changed environment**



# Encourage and Support

- **Targets may feel they don't have time to learn new ideas**
- **Targets may need role models**

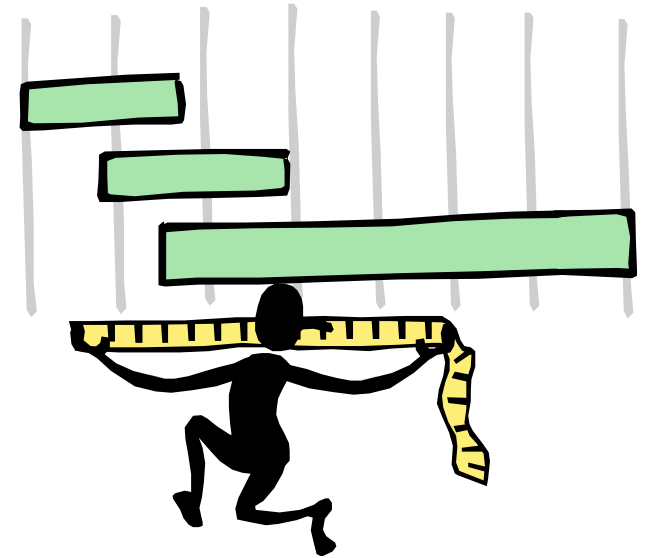
## ***Effective Strategies***

- **Ensure adequate resources during the learning curve**
- **Search out and publicize good examples and successes**
  - Set up pilot programs that model the change
- **Encourage the next step in the change process**
- **Ensure management takes accountability for action**
  - Must change short term priorities to achieve long term results



# Ensure Accountability

- **Adopting and sustaining improvements is about each target learning and performing the new behaviors**
- **The role of management in cultural change is to hold people accountable for the new behaviors and conduct**



## ***Effective Strategies***

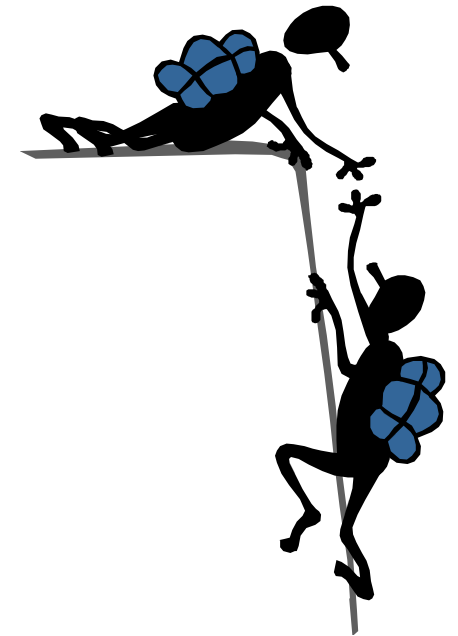
- **Change agents can enable management by:**
  - Helping them have a clear vision of the new culture
  - Identifying inappropriate behavior
  - Providing tangible, objective measures of adoption/sustainment

# Help Them Accept Change

- **Healthy skeptics may improve an idea**
- **People may fear hidden agendas**
  - Late adopters often look for messages in how resistance is handled

## ***Effective Strategies***

- **Set up mechanisms for obtaining feedback**
  - Some will prompt genuine improvements
  - Some will be based more on fear and anger than substance
- **Be honest about setbacks and negative impacts**
- **Management must be willing to enforce change in the face of objections**
  - Consensus will almost never be reached

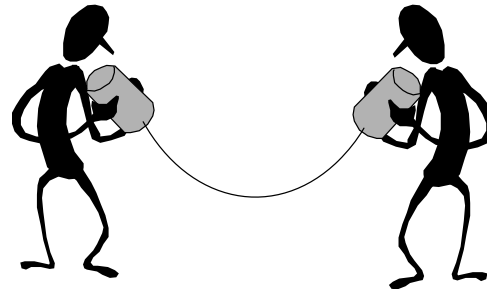


# Topics

- **Why people resist change**
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# A Typical Interchange

## Change Agent



## Change “Target”

- “You’re not doing X.”
  - “You must do X to satisfy our initiative.”
  - “X adds value.”
  - “Well, it’s in the initiative, so it must be important.”
  - “Well..., you have to do X or... you’ll fail the initiative!”
- “So.”
  - “The customer didn’t say we have to do X.”
  - “How?”
  - “X doesn’t make sense for us – we’re special.”
  - “\$^&\* &%!!!!!!”

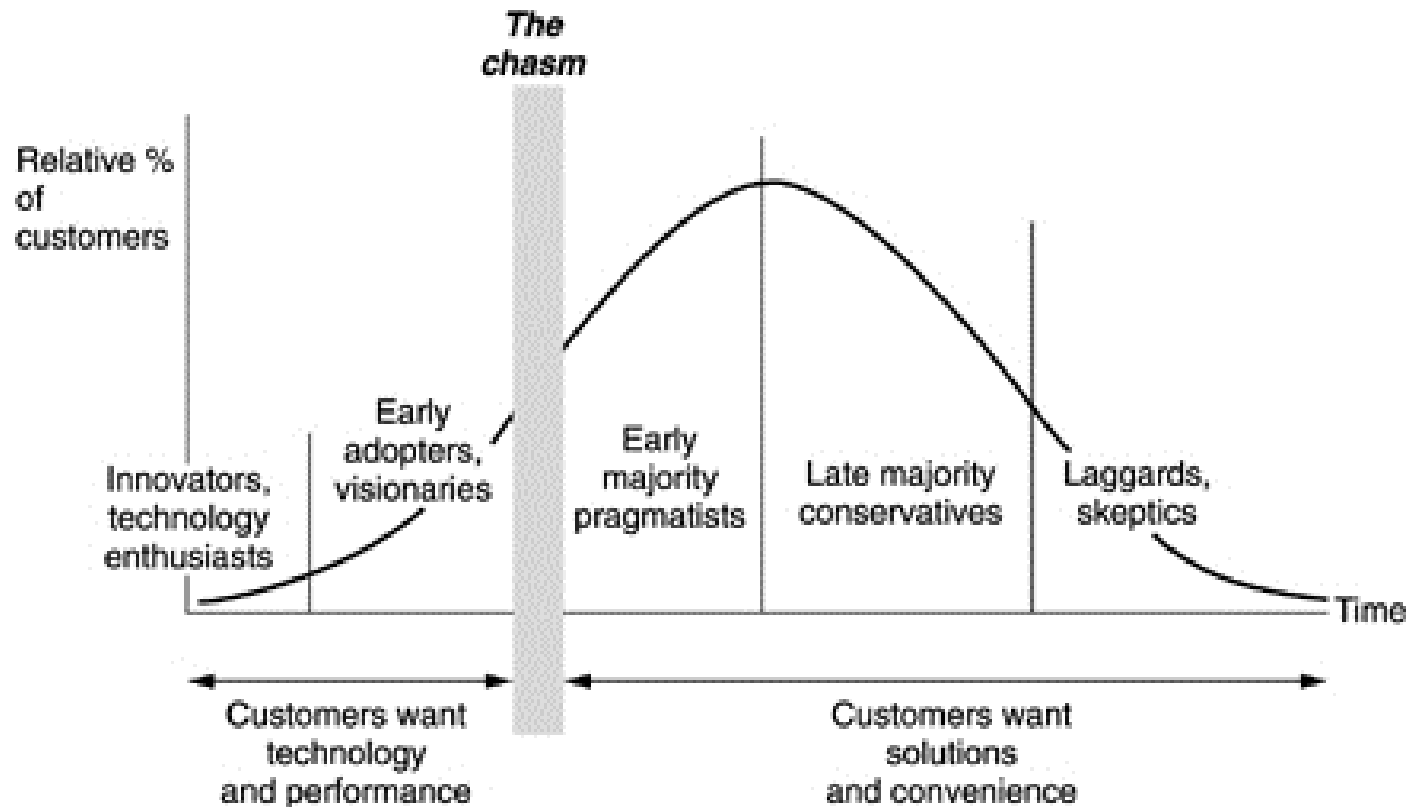
# Barriers to Seeing the Value

**“Sometimes you have to believe it to see it.”**

- **Targets may not have worked in an environment where X was performed**
- **Targets may have worked in an environment where X was performed poorly or in a non-value-added manner**
- **X may run counter to a long-held belief**
- **Believing X is an improvement may require an action the target is not willing to take**
  - Awkwardness of doing something new
  - Admit they've been doing it wrong
  - Loss of personal power when perceived to be an expert in the current approach

# Willingness to Change

- Early adopters are motivated by perceived benefits
- Late adopters are motivated by avoiding pain



Source: Geoffrey A. Moore, *Crossing the Chasm*, 1999, used with permission

# Principles of Influence

- **All interpersonal behavior involves exchange**
  - “Paying” others for what we request; being paid for what we do
  - You have influence, insofar as you can give others what they need, in exchange for what you need
- **To have influence, you must:**
  - See the other person as a potential ally
  - Clarify your goals & priorities
  - Diagnose your ally’s goals & priorities
  - Possess resources to help your ally
  - Negotiate the exchange





# Possible “Currencies” to Exchange

## Inspiration

- Vision
- Excellence
- Moral/ethical correctness

## Task

- Resources
- Challenge/learning
- Assistance
- Organizational support
- Rapid response
- Information

## Position

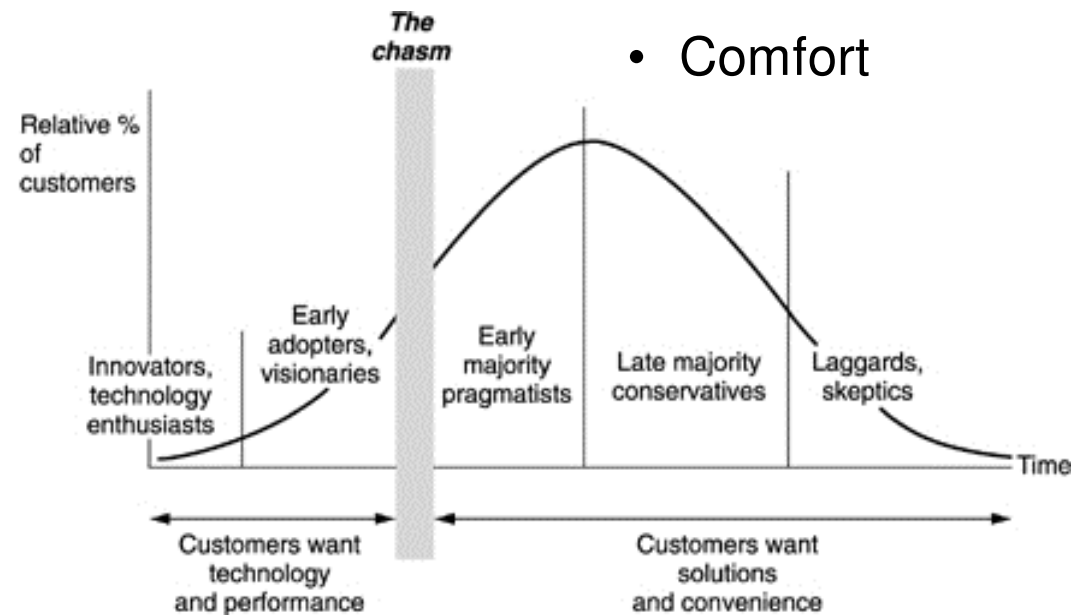
- Recognition
- Visibility
- Reputation
- Importance
- Contacts

## Relationship

- Acceptance
- Understanding

## Personal

- Gratitude
- Comfort



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- **Your chances of success depend on:**
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