

# THE MANAGEMENT OF CHANGE

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In the dynamic society in which today's organizations exist, the question of whether change will occur is no longer relevant. Instead, the issue now is how do managers cope with the inevitable barrage of changes which confront them daily in attempting to keep their organizations viable and current. While change is a fact of life, effective managers (if they are to be effective), can no longer be content to let change occur as it will; they must be able to develop strategies to plan, direct and control change.

The purpose of these three articles on "The Management of Change" is to provide practitioners with a general framework of change theory, hopefully with some strategies that can be used in planning and implementing change in their own environments.

In the first article, "Change and the Use of Power," we will discuss two kinds of power, position power and personal power, then examine

the use of both in varying situations. We will examine various levels of change from knowledge and attitude to individual behavior and organizational performance. These levels of change will then be analyzed in terms of two change cycles — participative and coerced.

In the second article, "Change Through Behavior Modification," we will look at how managers can create an environment to move people from one level of maturity and responsibility to a higher level. Behavior modification will be examined as a tool for making changes at the operational level for both individuals and groups and we will discuss what implications reinforcement theory can have for the practitioner or change agent.

In the final article, "Planning and Implementing Change," we will attempt to integrate much that we discussed in the first two articles into some theoretical frameworks that can be used to develop specific change strategies in various situations. In particular, we will examine force field analysis and the process of change and then

look at the impact of change on the total system.

## Change and the Use of Power

In developing a change strategy, the practitioner must be conscious of whatever power he has and be able to determine how this power might be appropriately used.

Amitai Etzioni discusses the difference between *position power* and *personal power*.<sup>1</sup> His distinction springs from his concept of power as the ability to induce or influence behavior. He claims that power is derived from an organizational office, personal influence or both. An individual who is able to induce another individual to do a certain job because of his position in the organization is considered to have position power, while an individual who derives his power from his followers is considered to have personal power. Some individuals can have both position and personal power.

Etzioni postulates that the best situation for a leader is when he has both personal and position power. But in some cases it is not possible to build a relationship on

both. Then the question becomes whether it is more important to have personal power or position power. Happiness and human relations have been culturally reinforced over the past several decades. With this emphasis, most people would pick personal power as being the most important, but there may be another side of the coin.

Machiavelli in the 15th century in his treatise *The Prince* presents an interesting viewpoint when he raises the question — whether it is better to have a relationship based upon love (personal power) or fear (position power).<sup>2</sup> Machiavelli, as Etzioni, contends it is best to be both loved and feared. If, however, you cannot have both, he suggests a relationship based on love alone tends to be volatile, short run and easily terminated when there is no fear of retaliation. On the other hand, Machiavelli contends a relationship based upon fear tends to be longer lasting since the individual must be willing to incur the sanction (pay the price) before terminating the relationship.

This is a difficult concept for many people to accept; and yet one of the most difficult roles for a leader, whether he be a boss, teacher or parent, to engage in is disciplining someone about whom he cares. Yet to be effective we sometimes have to sacrifice short-term friendship for long-term respect if we are interested in the growth and development of the people with whom we are working. Machiavelli warns, however, that one should be careful that fear does not lead to hatred. For hatred often evokes overt behavior in terms of retaliation, undermining and attempts to overthrow.

**Successful Leadership vs. Effective Leadership**

If an individual attempts to have some effect on the behavior of another, we call this stimulus attempted leadership. The response to this leadership attempt can be successful or unsuccessful. Since a manager's basic responsibility in any type of organization is to get work done with and through people, his success is measured by the output or productivity of the group

he leads. With this thought in mind, Bernard M. Bass suggests a clear distinction between *successful* and *effective* leadership or management.<sup>3</sup>

Suppose manager A attempts to influence individual B to do a certain job. A's attempt will be considered successful or unsuccessful depending on the extent that B accomplishes the job. It is not really an either/or situation. A's success could be depicted on a continuum (Figure 1) ranging from very successful to very unsuccessful.

ful with gray areas in between which would be difficult to ascertain as either.

Let us assume that A's leadership is successful. In other words, B's response to A's leadership stimulus falls on the successful side of the continuum. This still does not tell the whole story of effectiveness.

If A's leadership style is not compatible with the expectations of B and, if B is antagonized and does the job only because of A's

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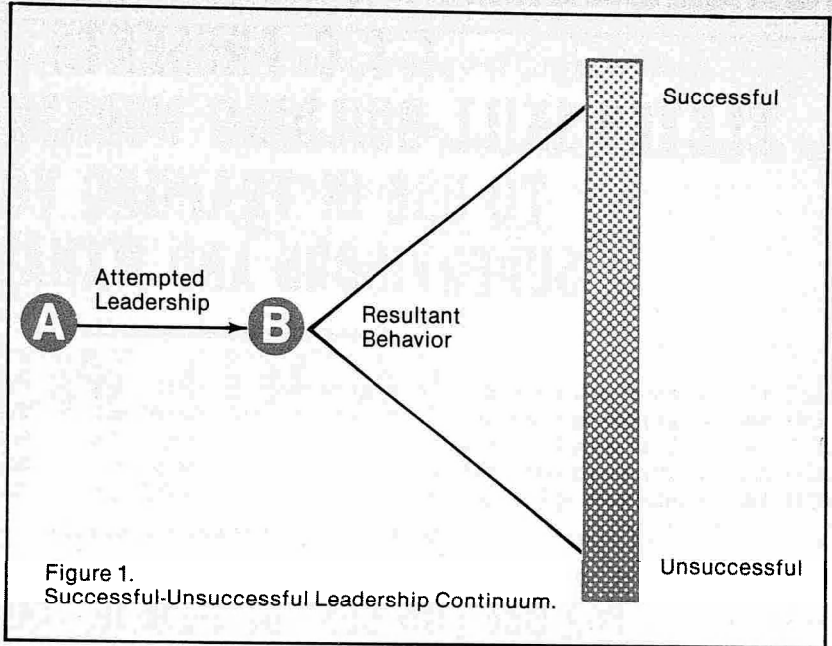


Figure 1. Successful-Unsuccessful Leadership Continuum.

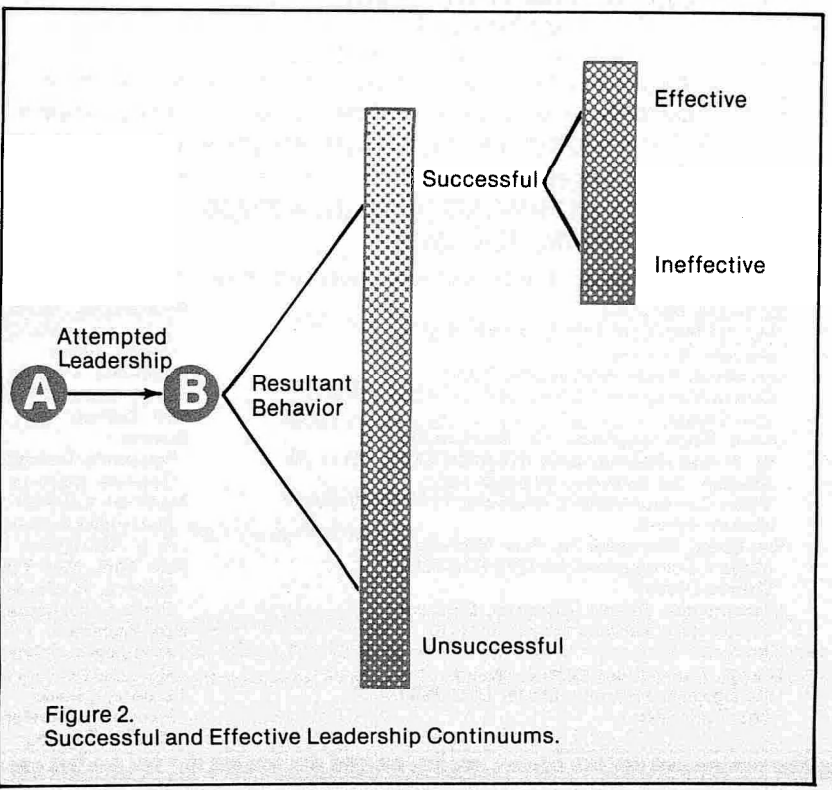


Figure 2. Successful and Effective Leadership Continuums.



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position power, then we can say that A has been successful but not effective. B has responded as A intended because A has control of rewards and punishment, and not because B sees his own needs being accomplished by satisfying the goals of the manager or organization.

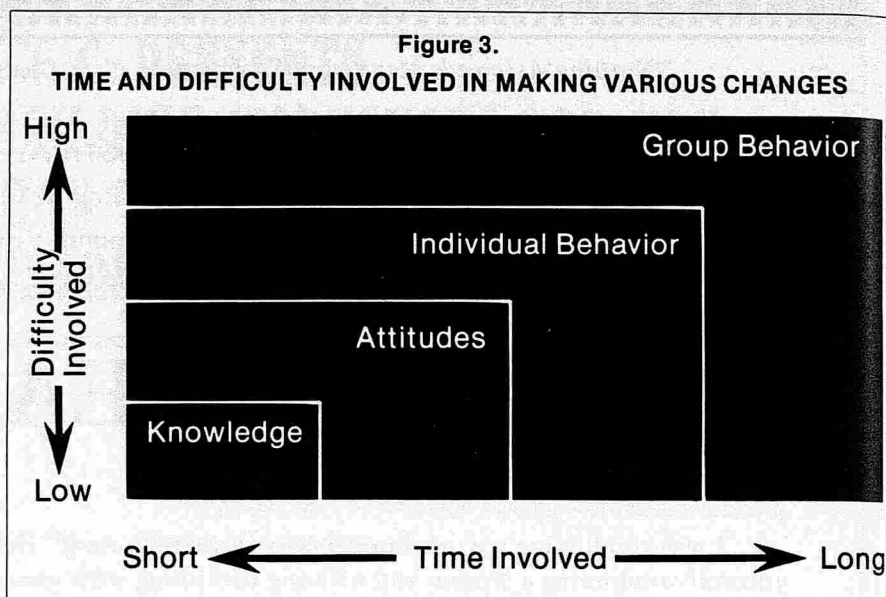
On the other hand, if A's attempted leadership leads to a successful response, and B does the job because he wants to do it and finds it rewarding, then we consider A as having not only position power but also personal power. B respects A and is willing to cooperate with him realizing that A's request is consistent with his own personal goals. In fact, B sees his own goals as being accomplished by this activity. This is the meaning of effective leadership, keeping in mind that effectiveness also appears as a continuum which can range from very effective to very ineffective as illustrated in Figure 2.

Success has to do with how the individual or group behaves. On the other hand, effectiveness describes the internal state or predisposition of an individual or group and thus is attitudinal in nature. If an individual is interested only in success, he tends to emphasize his position power and uses close supervision.

However, if he is effective he will depend also on personal power and be characterized by more general supervision. Position power tends to be delegated down from the organization, while personal power is generated from below through follower acceptance.

In the management of organizations, the difference between successful and effective often explains why many supervisors can get a satisfactory level of output only when they are right there, looking over the worker's shoulder. But as soon as they leave output declines and often such things as horseplay and scrap loss increase.

The phenomenon described applies not only to business organizations but also to less formal organizations like the family. If parents are successful and effective, have both position and personal power, their children accept family goals



as their own. Consequently, if the husband and wife leave for the weekend, the children behave no differently than if their parents were there. If, on the other hand, the parents continually use close supervision and the children view their own goals as being stifled by their parents' goals, the parents have only position power. They maintain order because of the rewards and punishments they control. If these parents went away on a trip leaving the children behind, upon returning they might be greeted by havoc and chaos.

In summary, a manager could be successful, but ineffective, having only short-run influence over the behavior of others. On the other hand, if a manager is both successful and effective, his influence tends to lead to long-run productivity and organizational development.

#### Levels of Change

We have to look at changes from more than just a behavioral viewpoint because often changes in behavior are a result of changes in knowledge and attitude. In fact, there are four levels of change in people: (1) knowledge changes, (2) attitudinal changes, (3) behavior changes and (4) group or organizational performance changes.<sup>4</sup> The time relationship and relative difficulty involved in making each of these levels of change are illustrated in Figure 3.

Changes in knowledge tend to be easiest to make; all one has to do is

give a person a book or article to read, or have someone whom he respects tell him something new. Attitude structures differ from knowledge structures in that they are emotionally charged in a positive or negative way. The addition of emotion often makes attitudes more difficult to change than knowledge.

Changes in individual behavior seem to be significantly more difficult and time consuming than either of the two previous levels. For example, a person may have knowledge about the potential dangers of smoking, even actually feel that smoking is a bad habit he would like to change and still be unable to stop smoking because a habit pattern has been reinforced over a long period of time. It is important to point out that we are talking about change in patterned behavior and not a single event. In our example, anyone can quit smoking for a short period of time; the real test comes months later to see if a new long term pattern has evolved.

While individual behavior is difficult enough to change, when we get to the implementation of group or organizational performance, it is compounded because at this level we are concerned with changing customs, mores and traditions. Being a group, it tends to be a self-reinforcing unit and therefore a person's behavior as a member of a group is more difficult to modify without first changing the group

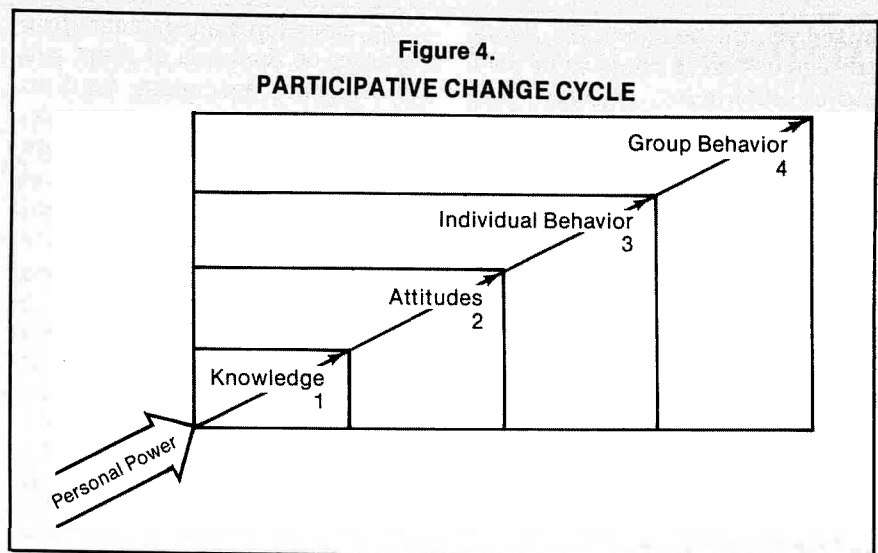
### The Change Cycles

The levels of change become very significant when we examine two different change cycles — the participative change cycle and the coerced change cycle.

**Participative Change:** A participative change cycle is implemented when new knowledge is made available to the individual or group. It is hoped that the group will accept the data and will develop a positive attitude and commitment in the direction of the desired change. At this level the strategy may be direct participation by the individual or group in helping to select or formalize the goals or new methods for obtaining the goals. This is group participation in problem-solving. The next step is to attempt to translate this commitment into actual behavior. This tends to be the real tough barrier to overcome.

For example, it is one thing to be concerned (attitude) about a social problem but another thing to be willing to actually get involved in doing something (behavior) about the problem. One strategy that is often useful is to attempt to identify informal as well as formal leaders within the group and concentrate on gaining their acceptance and behavior. Once this is accomplished you have moved a long way in getting others in the group to begin to pattern their behavior after those persons whom they respect and perceive in leadership roles. This participative change cycle is illustrated in Figure 4.

**Coerced Change:** We've all probably been faced with a situation similar to one in which there is an announcement on Monday morning that "as of today all members of this organization shall begin to operate in accordance with Form 10125." This is an example of a coerced change cycle. This cycle begins by imposing change on the total organization. This will tend to affect the interaction — influence system at the individual level. The new contacts and modes of behavior create new knowledge which tend to develop predispositions to-



ward or against the change. The coerced change cycle is illustrated in Figure 5.

The intention of this coerced change cycle is that the new behavior creates the kind of knowledge which creates commitment to the change and therefore approximates a participative change cycle as it reinforces the individual and group behavior.

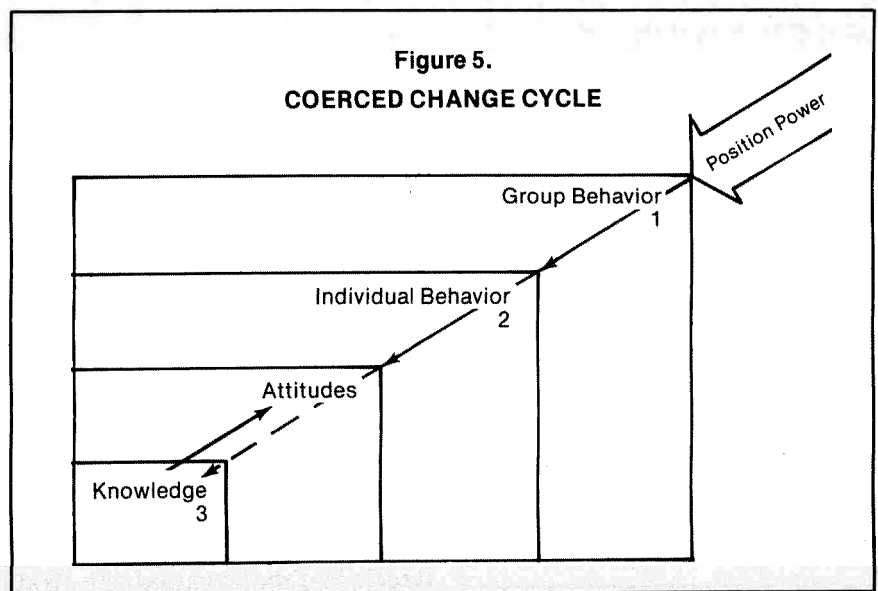
### Differences Between Change Cycles

The participative change cycle tends to be more appropriate for working with mature groups since they tend to be achievement-motivated and have a degree of knowledge and experience that may be useful in developing new strategies for accomplishing goals.<sup>6</sup> Once the change starts, mature people are much more capable of assuming responsibili-

ties for implementation. On the other hand, with immature people the coerced change cycle might be more productive because they are often dependent and not willing to take new responsibilities unless forced to do so. In fact, by their very nature, these people might prefer direction and structure to being faced with decisions that might be frightening to them.

There are some other significant differences between these two change cycles. The participative change cycle tends to be effective when induced by leaders with personal power, while the coerced cycle necessitates significant position power — rewards, punishments and sanctions.

With the participative cycle, the main advantage is that once accepted it tends to be long-lasting, since the people are highly com-





mitted to the change. Its disadvantage is that it tends to be slow and evolutionary. On the other hand, the advantage of the coerced cycle is speed. Using his position power, the leader can often impose change immediately. The disadvantage of this cycle is that it tends to be volatile. It can only be maintained as long as the leader has position power to make it stick. It often results in animosity, hostility and in some cases overt and covert behavior to undermine and overthrow.

These cycles have been described as if they were either/or positions. In reality, it is more a question of the proper blend of each, depending upon the situation.

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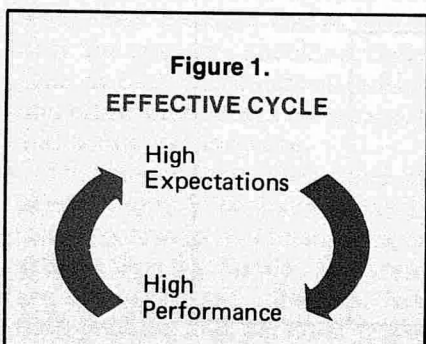
### PART TWO: Change Through Behavior Modification

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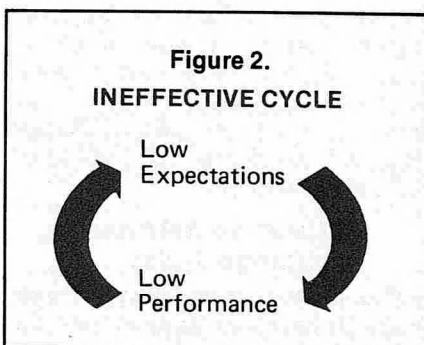


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Rensis Likert found that employee-centered supervisors who use general supervision tend to have higher producing sections than job-centered supervisors who use close supervision.<sup>1</sup> We underline the word "tend" because this seems to be high probability in our society, yet we also must realize there are exceptions to this tendency which are even evident in Likert's data. What Likert found was that a subordinate generally responds well to a superior's high expectations and genuine confidence in him and tries to justify his boss's expectations of him. His resulting high performance will reinforce his superior's high trust for him, for it is easy to trust and respect the man who meets or exceeds your expectations. This occurrence could be called the effective cycle.

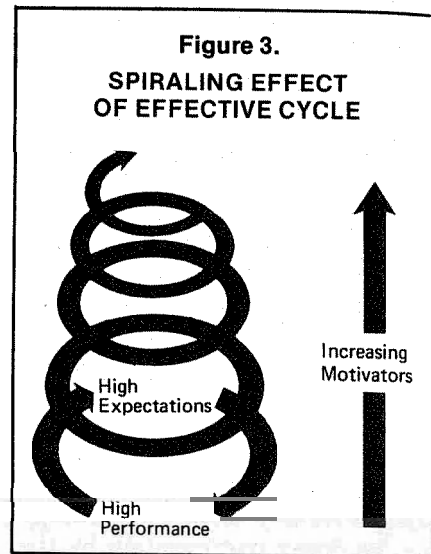


Yet, since top management often promotes on the basis of short run output alone, managers tend to overemphasize task accomplishment, placing extreme pressure on everyone to achieve high levels of productivity. This task-oriented leader behavior style, in some cases, does not allow much room for a trusting relationship with employees. Instead, subordinates are told what to do and how to do it. With little consideration, subordinates respond with minimal effort and resentment; low performance results in these instances. Reinforced by low expectations, it becomes a vicious cycle. Many other examples could be given which result in this all too common problem in organizations as shown in Figure 2.



These cycles are depicted as static but in reality they are very dynamic. The situation tends to get better or worse. For example, high expectations result in high performance, which reinforces the high expectations and produces even higher productivity. It almost becomes a spiraling effect as illustrated in Figure 3.

In many cases, this spiraling effect is caused by an increase in leverage created through the use of what Frederick Herzberg calls "motivators."<sup>2</sup> In analyzing the data from his research, Herzberg concluded that man has two different categories of needs which are essentially independent of each other and affect behavior in different ways. He found that when people felt dissatisfied about their jobs, they were concerned about the environment in which they were working. On the other hand, when people felt good about their jobs, this had to do with the work itself. Herzberg called the first



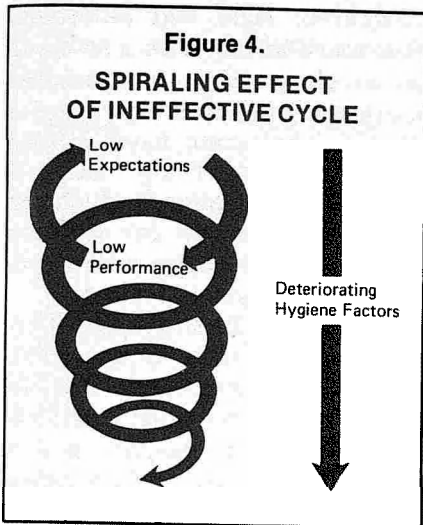
category of needs *hygiene factors* because they describe man's environment and serve the primary function of preventing job dissatisfaction. He called the second category of needs *motivators* since they seemed to be effective in motivating people to superior performance.

Company policies and administration, supervision, working conditions, interpersonal relations, money, status and security may be thought of as hygiene factors. They are not an intrinsic part of a job, but are related to the conditions under which a job is performed. Herzberg relates his use of the word "hygiene" to its medical meaning (preventative and environmental). Hygiene factors produce no growth in worker output capacity; they only prevent losses in worker performance due to work restriction.

Satisfying factors that involve feelings of achievement, professional growth and recognition that one can experience in a job which offers challenge and scope are referred to as motivators. Herzberg used this term because these factors seem capable of having a positive effect on job satisfaction often resulting in an increase in one's total output capacity. In terms of the upward spiraling effect, as people perform they are given more responsibility and opportunities for achievement and growth and development, which results in higher productivity and continued high expectations.

This spiraling effect can also

occur in a downward direction as shown in Figure 4. Low expectations result in low performance, which reinforces the low expectations and produces even lower productivity. It becomes a spiral effect like a whirlpool as shown in Figure 4.



If this downward spiraling continues long enough, the cycle may reach a point where it cannot be turned around in a short period of time because of the large reservoir of negative past experience which has built up in the organization. Much of the focus and energy is directed toward the perceived problems with hygiene factors rather than the work itself. This takes such form as hostility, undermining and slow-down in work performance. When this happens, even if a manager actually changes his behavior, the credibility gap based on long-term experience is such that the response is still distrust and skepticism rather than change.

### Style Change

One alternative that is sometimes necessary at this juncture is to bring in a new manager from the outside. The reason this has a higher probability of success is that the sum of the past experience of the people involved with the new manager is likened to a "clean slate," and thus different behaviors are on a much more believable basis. This was vividly illustrated by Robert H. Guest in a case analysis of organizational change.<sup>3</sup> He examined a large assembly plant of an automobile company,

Plant Y, and contrasts the situation under two different leaders.

Under Mr. Stewart, plant manager, working relationships at Plant Y were dominated by hostility and mistrust. His high task style was characterized by a continual attempt to increase the driving forces pushing for productivity. As a result, the prevailing atmosphere was that of one emergency following on the heels of another, and the governing motivation for employee activity was fear — fear of being "chewed out" right on the assembly line, fear of being held responsible for happenings in which one had no clear authority, fear of losing one's job. Consequently, of the six plants in this division of the corporation, Plant Y had the poorest performance record, and it was getting worse.

Mr. Stewart was replaced by Mr. Cooley, who seemed like a truly effective leader. Three years later, dramatic changes had occurred. In various cost and performance measures used to rate the six plants, Plant Y was now truly the leader; and the atmosphere of interpersonal cooperation and personal satisfaction had improved impressively over the situation under Stewart. These changes, moreover, were effected through an insignificant number of dismissals and reassignments. Using a much higher relationships style, Cooley succeeded in "turning Plant Y around."

### Expectations Change

On the surface, the big difference was style of leadership. Cooley was a good leader. Stewart wasn't. But Guest points out clearly in his analysis that leadership style was only one of two important factors. "The other was that while Stewart received daily orders from division headquarters to correct specific situations, Cooley was left alone. Cooley was allowed to lead; Stewart was told how to lead."<sup>4</sup>

In other words, when productivity in Plant Y began to decline during changeover from wartime to peacetime operations, Stewart's superiors expected him to get productivity back on the upswing by taking control of the reins and they

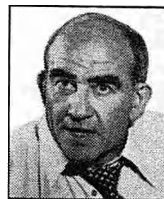
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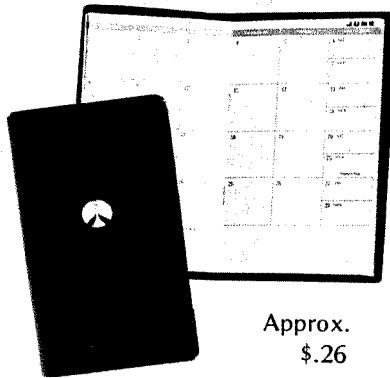
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put tremendous pressure on him to do just that. Guest suggests that these expectations forced Stewart to operate in a very crisis-oriented, autocratic way. However, when Cooley was given charge as plant manager, a "hands off" policy was initiated by his superiors.

The fact that the expectations of top management had changed enough to put a moratorium on random, troublesome outside stimuli from headquarters gave Cooley an opportunity to operate in a completely different style. One could raise the question, what might have happened if instead of hiring Cooley, top management had given Stewart the same kind of support and "free hand"? Could he have turned the plant around like Cooley did? Probably not. The ineffective cycle seemed to have been in a downward spiral far past the point where Stewart would have had a good opportunity to make significant change. But with the introduction of a new manager with whom the employees had no past experience, now-significant changes were possible.

While a new manager may be in a better position to initiate change in a situation which has been spiraling downward, he still does not have an easy task. Essentially, he has to break the ineffective cycle. There are at least two alternatives available to him. He can either fire the low performing personnel and hire people who he expects to perform well or respond to low performance with high expectations and trust.

The latter choice for the manager is difficult. In effect, the attempt is to change the expectations or behavior of his subordinates. It is especially difficult for a manager to have high expectations about people who have shown no indication that they deserve to be trusted. The key, then, is to change appropriately. This is where the concepts of behavior modification might be helpful.

### Behavior Modification

In the normal work environment, managers feel that either close supervision and pressure (task-oriented behavior) or consideration and trust (relationship-

oriented behavior) are the only ways to focus a subordinate on his task or change patterns of behavior. They use these methods even when they prove unsuccessful, because they are often unaware of better techniques.

At one time, managers were too structured, rigid and punishing. Now there seems to be a swing to the overly trusting, unstructured manager. Both these strategies when inappropriate have created problems. Another alternative is behavior modification,<sup>5</sup> which can provide a strategy for shifting leadership style appropriately to stimulate changes in maturity.

In order to illustrate the differences between these three strategies — task behavior, relationships behavior and behavior modifications — we can compare how a manager using each might handle a potential problem-worker.

Tony, a new employee right out of high school, is a very aggressive, competitive individual. During his first day on the job, he argues over tools with another young employee. Table I attempts to illustrate the possible reactions of a high task manager, a high relationships manager and a manager using behavior modification techniques.

Behavior modification (often referred to as operant conditioning or reinforcement theory) is based upon *deserved* behavior and not internal psychological feelings or attitudes.<sup>6</sup> Its basic premise is that *behavior is controlled by its immediate consequences*. Any behavior will be made stronger or weaker by what happens immediately after it occurs. If what happens is positive, it tends to increase the frequency of that behavior occurring again. Positive reinforcement is anything that is rewarding to the individual being reinforced.

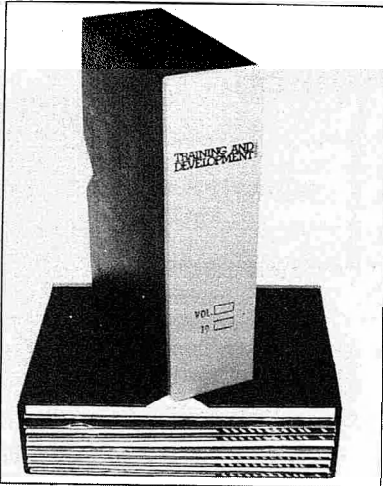
Reinforcement, therefore, depends on the individual. What is reinforcing to one person may not be reinforcing to another. Money might motivate some people to work harder, but to others money is not a high strength need; the challenge of the job might be the most rewarding incentive. Man-

**Table I.**  
**DIFFERENT APPROACHES USED**  
**IN DEALING WITH A DISRUPTIVE WORKER**

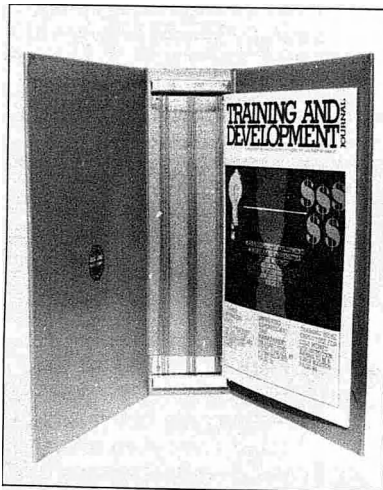
	HIGH TASK MANAGER	HIGH RELATIONSHIPS MANAGER	BEHAVIOR MODIFICATION MANAGER
Manager Reaction	"This worker is going to be a trouble-maker. This behavior must be stopped!"	"Oh dear, I hope I can get them interacting and happy."	"Feels Tony needs to learn to cope in positive ways to replace aggressive behavior!" Separates conflicting workers without hostility or comment.
Supervisor Subordinate Interaction	"Hey, you. Knock it off! We don't allow fighting around here," said with coldness or anger.	"How would you both like to give me a hand on a job over here."	Manager watches for any positive behavior he can immediately reinforce. Supervisor sets limits on some behavior and carefully ignores others.
Worker Reaction	Tony builds resentment and hostility. Next few days, behavior becomes more aggressive.	Tony finds he can get attention of supervisor by being disruptive because the supervisor wants to be "understanding." He causes trouble and watches supervisor's reaction. Supervisor pays more and more attention as his behavior gets worse. Disruptive behavior reinforced.	Tony finds the supervisor appreciates good things about him. Wants to gain his respect. Supervisor Strategy: <ol style="list-style-type: none"> <li>1. Watches for any occurrences of positive behavior to reinforce.</li> <li>2. Decides which new behaviors Tony needs to learn first.</li> <li>3. Plans strategy to get desired behavior.</li> <li>4. Attempts to better understand Tony in an effort to use incentives appropriate for his need structure.</li> <li>5. Uses the incentives to reinforce behavior Tony needs to learn.</li> <li>6. Continues to evaluate to make sure incentives are still appropriate since these tend to change with time.</li> </ol>
Outcome	Tony feels disliked by supervisor. Self-image deteriorates as he attempts to defend ego from assaults. Becomes more hostile and aggressive or withdrawn. Avoids supervisor and learning tasks.	Aggressiveness remains. Becomes more obnoxious as other workers withdraw. Creates incidents to get attention and assigned to those jobs he wants. Does not learn. No friends. Low self-image covered by bravado.	Outcome in two or three weeks. Tony's work and acceptance by other members of his work group continue to improve. Builds new self-image on basis of new behavior he has learned. Hostile and aggressive behavior toward other employees stops. Begins to have a sense of accomplishment. Inner needs and feelings start to change. Aggressiveness used in constructive ways. Has friends and becomes a positive rather than a disruptive influence on his work group.



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agers must look for unique differences in their people and recognize the dangers of generalizing.

In order for a desirable behavior to be obtained, the slightest positive behavior exhibited by the individual in that direction must be rewarded as soon as possible. This is called reinforcing positively successive approximations toward a goal.

For example, when an individual's performance is low, one cannot expect drastic changes overnight, regardless of changes in expectations or other incentives. Similar to the child learning some new behavior, we do not expect high levels of performance at the outset. So, as a parent or teacher, we would use *positive reinforcement* as the child's behavior approaches the desired level of performance. Therefore, the manager must be aware of any progress of his subordinate, so he is in a position to reinforce appropriately this change.

This is compatible with the concept of setting interim rather than final goals and then reinforcing appropriate progress toward the final goal as interim goals are accomplished. In this process, the role of a manager is not always setting goals for his followers. Instead, effectiveness may be increased by providing an environment where subordinates can play a role in setting their own goals.

Research indicates that commitment increases when a person is involved in his own goal setting. If an individual is involved, he will tend to engage in much more goal-directed activity before he becomes frustrated and gives up. On the other hand, if the boss sets the goal for him, he is apt to give up more easily because he perceives these as his boss's goals and not as his own. Goals should be set high enough so a person has to stretch to reach them but low enough so that they can be attained.

So often final goals are set and the person is judged only in terms of success in relation to this terminal goal. Suppose, in our example, the manager had expected Tony to become a "perfect" employee over-

night. Suppose after the first week Tony is better but still causes some problems. The result is usually the manager reprimanding him (punishment) even though he has shown improvement. If this reprimanding continues to occur, there is a high probability that Tony may stop trying. His behavior, rather than improving, may become worse.

An alternative for the manager is setting interim realistic goals which move in the direction of the final goals as they are attained. Then with a change in the desired direction, even though only moderate, positive reinforcement may be used rather than some form of punishment.

While positive reinforcement tends to be more effective in working with people, experiencing some unpleasant consequences or *negative reinforcement* can sometimes strengthen a particular behavior. For example, suppose a manager reprimands Al, one of his subordinates, for sloppy work, rather than giving him his usual "praise." If Al becomes just anxious enough, finds out what he did wrong, then does it right and gets his boss's praise, the unpleasantness of the reprimand becomes a negative "reinforcer."

In this case, the manager was not just trying to punish Al because he wanted to make him feel badly but was giving him negative feedback because he wanted him to do better. Al responded as he had hoped he would, giving the manager a chance to use positive reinforcement with him again.

A leader or manager has to be careful in using negative reinforcement or punishment because he does not always know what he is reinforcing in a person when he uses these methods. He might be reinforcing lying, manipulation or all kinds of undesirable behavior because the individuals involved may use these behaviors, rather than improved performance, to eliminate punishment or further negative reinforcement. Another possible reaction to punishment is that the individual may begin to use avoidance behaviors such as

attempting to eliminate communications and interactions between himself and the person who makes him feel threatened.

### Extinction

Another way to respond to behavior besides positive or negative reinforcement is to not reinforce it at all. This is called *extinction* because it tends to get rid of a behavior. For example, suppose a worker is disruptive to get the

attention of his supervisor. What would happen if his supervisor paid no attention to him? After engaging in this behavior on several occasions without accomplishing anything, he soon would be trying other behaviors.

People do not tend to continue doing things that do not provide positive reinforcement. This is even true sometimes when they are behaving well. Parents often

get into this situation when they tend to pay attention to their children only when they are behaving poorly. When children are behaving appropriately adults may pay little or no attention to them, which in a sense could put that behavior on extinction. If a child wants attention from his parents (it is rewarding to him), he may be willing to endure what the parent thinks is punishment for that attention. In the long run the parents might be reinforcing the very behavior they don't want and extinguishing more appropriate behavior.

### Psychotherapy Not Appropriate

Behavior modification seems like a useful tool for practitioners since it can be applied, to some extent, in most environments. Therefore, it has relevance for most people interested in accomplishing goals through others. This was not the case with psychotherapy. This process was based upon the assumption that to change behavior one had to first start with the feelings and attitudes within an individual.

The problem with psychotherapy from a practitioner's viewpoint is that it is too expensive and is appropriate for use only by trained professionals. This is true because the emphasis in psychotherapy is on analyzing the reasons underlying behavior which often requires extensive probing into the early experiences in the life of an individual. Behavior modification, on the other hand, is not as complex since it concentrates on observed behavior using goals or rewards outside the individual to modify behavior.

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### PART THREE: Planning and Implementing Change

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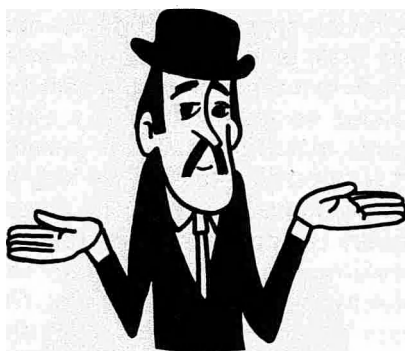


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In evaluating effectiveness, perhaps more than 90 percent of managers in organizations look at measures of output alone. Thus, the effectiveness of a business manager is often determined by net profits, the effectiveness of a college professor may be determined by the number of articles



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and books he has published, and the effectiveness of an athletic coach may be determined by his won-lost record.

Others feel that it is unrealistic to think only in terms of productivity or output in evaluating effectiveness. According to Rensis Likert,<sup>1</sup> another set of variables should be taken into consideration in determining effectiveness. These are *intervening variables* which reflect the current condition of the human resources in an organization and are represented in its skills, loyalty, commitment to objectives, motivations, communications, decision-making and capacity for effective interaction. These intervening variables are concerned with building and developing the organization and tend to be long-term considerations.

Managers are often promoted, however, on the basis of short-run output variables such as increased production and earnings, without concern for the long-run and organizational development. This creates a dilemma.

### Organizational Dilemma

One of the major problems in industry today is that there is a shortage of successful managers. Therefore, it is not uncommon for a manager to be promoted in six months or a year if he is a "producer."

Let's look at the example of Mr. X, a manager who realizes that the basis on which top management promotes is often short-run output, and therefore attempts to achieve high levels of productivity by over-emphasizing task accomplishment and placing extreme pressure on everyone, even when it is inappropriate.

The immediate or short-run effect of Mr. X's behavior will probably be increased productivity. Yet if his task-oriented style is inappropriate for those involved, and if it continues over a long period, the morale and climate of the organization will deteriorate. Some indications of deterioration resulting from these intervening variables may be turnover, absenteeism, increased accidents, scrap loss and numerous grievances. Not only the number of

grievances, but the nature of grievances is important. Are grievances really significant problems or do they reflect pent-up emotions due to anxieties and frustration? Are they settled at the complaint stage between the employee and supervisor or are they pushed up the hierarchy to be settled at higher levels or by arbitration?

The organizational dilemma is that in many instances a manager like Mr. X, who places pressure on everyone and produces in the short run, is promoted out of this situation before the disruptive aspects of the intervening variables catch up.

There tends to be a time lag between declining intervening variables and significant restriction of output by employees under such management climate. Employees tend to feel "things will get better." Thus, when Mr. X is promoted rapidly, he often stays "one step ahead of the wolf."

The real problem is faced by the next manager, Mr. Y. Although productivity records are high, he has inherited many problems. Merely the introduction of a new manager may be enough to collapse the slowly deteriorating intervening variables. A tremendous drop in morale and motivation leading almost immediately to significant decrease in output can occur. Change by its very nature is frightening; to a group whose intervening variables are declining, it can be devastating.

Regardless of Mr. Y's style, the present expectations of the followers may be so distorted, that much time and patience will be needed to close the now apparent "credibility gap" between the goals of the organization and the personal goals of the group. No matter how effective Mr. Y might be in the long run, his superiors, in reviewing a productivity drop, may give him only a few months to improve performance. But as Likert's studies indicate, rebuilding a group's intervening variables in a small organization may take one to three years, and in a large organization, may extend to seven years.

It should be made clear that the choice for a manager is not whe-

ther to concentrate on output or intervening variables but often a matter of how much emphasis to place on each. The decision is between short- and long-range goals. If the accepted goal is building and developing an organization for the future, then the manager should be evaluated on these terms and not entirely on his present productivity.

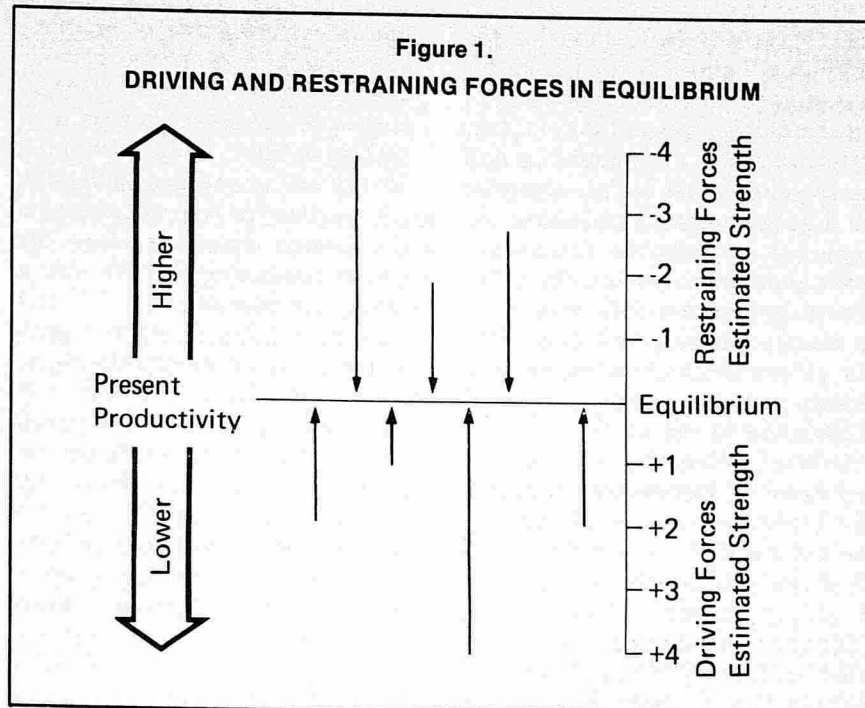
While intervening variables do not appear on balance sheets, sales reports or accounting ledgers, we feel that these long-term considerations can be just as important to an organization as short-term output variables. Therefore, although difficult to measure, intervening variables should not be overlooked in determining organizational effectiveness.

In summary, we feel that effectiveness is actually determined by whatever the manager and the organization decide are their goals and objectives, but should consider these factors: output variables, intervening variables, short-range goals and long-range goals.

### Force Field Analysis

Force field analysis, a technique for diagnosing situations developed by Kurt Lewin, may be useful in looking at the variables involved in determining effectiveness and in developing strategies for changing in particular the condition of the output or intervening variables.<sup>2</sup>

Lewin assumes that in any situation there are both driving and restraining forces which influence any change which may occur. *Driving forces* are those forces affecting a situation which are "pushing" in a particular direction; they tend to initiate a change and keep it going. In terms of improving productivity in a work group, pressure from a supervisor, incentive earnings and competition may be examples of driving forces. *Restraining forces* are forces acting to restrain or decrease the driving forces. Apathy, hostility and poor maintenance of equipment may be examples of restraining forces against increased production. Equilibrium is reached when the sum of the driving forces equals the sum of the restraining forces. In our example, equilibrium



represents the present level of productivity as shown in Figure 1.

This equilibrium or present level of productivity can be raised or lowered by changes in the relationship between the driving and restraining forces. For illustrations, let us look again at the dilemma of Mr. Y, the new manager who takes over a work group where productivity is high but Mr. X, his predecessor, drained the human resources (intervening variables). Mr. X had upset the equilibrium by increasing the driving forces (i.e., being autocratic and keeping continual pressure on his men) and thus achieving increases in output in the short run. By doing this, though, new restraining forces developed, such as increased hostility and antagonism, and at the time of his departure the restraining forces were beginning to increase and the results manifested themselves in turnover, absenteeism and other restraining forces which lowered productivity shortly after Mr. Y arrived. Now a new equilibrium at a significantly lowered productivity is faced by the new manager.

Now just assume that Mr. Y decides not to increase the driving forces, but to reduce the restraining forces. He may do this by taking time away from the usual production operation and engaging in problem-solving and training

and development. In the short run, output will tend to be lowered still further. However, if commitment to objectives and technical know-how of his group are increased in the long run, they may become new driving forces, and that, along with the elimination of the hostility and apathy which were restraining forces, will now tend to move the balance to a higher level of output.

A manager, in attempting to implement change, is often in a position where he must consider not only output but also intervening variables, not only short-term but also long-term goals, and a framework which is useful in diagnosing these interrelationships is available through force field analysis.

In developing a change strategy, another important aspect that must be taken into consideration is the process of change. Kurt Lewin, in his pioneer work in change, identified three phases of the change process.<sup>3</sup> These are unfreezing, changing and refreezing.

### Unfreezing

The aim of unfreezing is to motivate and make the individual or group ready to change. It is a "thawing out" process where the forces acting on an individual are rearranged so now he sees the need for change.

According to Edgar H. Schein, some elements that unfreezing situations seem to have in common



are: (1) the physical removal of the individual being changed from his accustomed routines, sources of information and social relationships; (2) the undermining and destruction of all social supports; (3) demeaning and humiliating experience to help the individual being changed to see his old self as unworthy and thus to be motivated to change; (4) the consistent linking of reward and willingness to change and of punishment with unwillingness to change.<sup>4</sup>

In brief, unfreezing is the breaking down of the mores, customs, and traditions of an individual — the old ways of doing things — so he is ready to accept new alternatives. In terms of force field analysis, unfreezing may occur when either the driving forces are increased or the restraining forces that are resisting change are reduced.

### Changing

Once the individual has become motivated to change, he is now ready to be provided with new patterns of behavior. This process is most likely to occur by one of two mechanisms: identification and internalization.<sup>5</sup>

*Identification* occurs when one or more models are provided in the environment from which an individual can learn new behavior patterns by identifying with them and trying to become like them. *Internalization* occurs when an individual is placed in a situation where new behaviors are demanded of him if he is to operate successfully in that situation. He learns these new behavior patterns not only because they are necessary to survive but as a result of new high strength needs induced by coping behavior.

*Internalization is a more common outcome in those influence settings where the direction of change is left more to the individual. The influence which occurs in programs such as Alcoholics Anonymous, in psychotherapy or counseling for hospitalized or incarcerated populations, in religious retreats, in human relations training of the kind pursued by the National Training Laboratories (1953),*

*and in certain kinds of progressive education programs is more likely to occur through internalization or, at least, to lead ultimately to more internalization.*<sup>6</sup>

Identification and internalization are not either/or courses of action and effective change is often the result of combining the two into a strategy for change.

Force or compliance is sometimes discussed as another mechanism for inducing change.<sup>7</sup> It occurs when an individual is forced to change by the direct manipulation of rewards and punishment by someone in a power position. In this case, behavior appears to have changed when the change agent is present, but often is dropped when supervision is removed. Thus rather than discussing force as a mechanism of changing, we would rather think of it as a tool for unfreezing.

### Refreezing

The process by which the newly-acquired behavior comes to be integrated as patterned behavior into the individual's personality and/or ongoing significant emotional relationships is referred to as *refreezing*. As Schein contends, if the new behavior has been internalized while being learned, "this has automatically facilitated refreezing because it has been fitted naturally into the individual's personality. If it has been learned through identification, it will persist only so long as the target's relationship with the original influence model persists unless new surrogate models are found or social support and reinforcement is obtained for expressions of the new attitudes."<sup>8</sup>

This highlights how important it is for an individual engaged in a change process to be in an environment which is continually reinforcing the desired change. The effect of many a training program has been short-lived when the person returns to an environment that does not reinforce the new patterns or, even worse, is hostile toward them.

What we are concerned about in refreezing is that the new behavior does not get extinguished over time. To insure this not happening, reinforcement (rewards and in-

centives) must be scheduled in an effective way. There seem to be two main reinforcement schedules: continuous and intermittent.<sup>9</sup> Continuous reinforcement means that the individual being changed is rewarded every time he engages in the desired new pattern. With intermittent reinforcement, on the other hand, not every desired response is reinforced. Reinforcement can be either completely random or scheduled according to a prescribed number of responses occurring or a particular interval of time elapsing before reinforcement is given.

With continuous reinforcement, the individual learns the new behavior quickly, but if his environment changes to one of nonreinforcement, extinction (elimination of the behavior) can be expected to take place relatively soon. With intermittent reinforcement, extinction is much slower because the individual has been conditioned to go for periods of time without any reinforcement. Thus for fast learning, a continuous reinforcement schedule should be used. But once the individual has learned the new pattern, a switch to intermittent reinforcement should insure a long lasting change.

### Change Process — Some Examples

To see the change process in operation, several examples should be cited.

A college basketball coach recruited for his team Bob Anderson, a 6'-4" center from a small town in a rural area. In his district, 6'-4" was good height for a center. This fact, combined with his deadly turn-around-jump shot, made Anderson the rage of his league and enabled him to average close to 30 points a game.

Recognizing that 6'-4" is small for a college center, the coach hoped that he could make Anderson a forward, moving him inside only when they were playing a double pivot. One of the things the coach was concerned about, however, was when Anderson would be used in the pivot, how he could get his jump shot off when he came up against other players ranging in height from 6'-8" to 7'. He felt that Anderson would have to learn to shoot a hook shot, which is much

harder to block, if he was going to have scoring potential against this kind of competition.

The approach that many coaches use to solve this problem would probably be as follows: The first day of practice when Anderson arrived, the coach would welcome him and then explain the problem to him as he had analyzed it. As a solution he would probably ask Anderson to start to work with the varsity center, Steve Cram, who was 6'-10" and had an excellent hook.

"Steve can help you start working on that new shot, Bob," the coach would say. Anderson's reaction to this interchange might be one of resentment and he would go over and work with Cram only because of the coach's position power. After all, he might think to himself, "Who does he think he is? I've been averaging close to 30 points a game for three years now and the first day I show up here the coach wants me to learn a new shot." So he may start to work with Cram reluctantly, concentrating on the

hook shot only when the coach is looking but taking his favorite jump shot when he wasn't being observed. Anderson is by no means unfrozen or ready to learn to shoot another way.

Let's look at another approach the coach could have used to solve this problem. Suppose on the first day of practice he sets up a scrimmage between the varsity and freshmen. Before he starts the scrimmage he gets big Steve Cram, the varsity center, aside and tells him, "Steve, we have this new freshman named Anderson who has real potential to be a find ball player. What I'd like you to do today though, is not to worry about scoring or rebounding, just make sure every time Anderson goes up for a shot you make him eat it. I want him to see that he will have to learn to shoot some other shots if he is to survive against guys like you."

So when the scrimmage starts, the first time Anderson gets the ball and turns around to shoot Cram leaps up and "stuffs the ball

right down his throat." Time after time this occurs. Soon Anderson starts to engage in some coping behavior, trying to fall away from the basket, shooting from the side of his head rather than the front, in an attempt to get his shot off.

After the scrimmage, Anderson comes off the court dejected. The coach says, "What's wrong, Bob?" He replies, "I don't know, Coach, I just can't seem to get my shot off against a man as big as Cram. What do you think I should do?"

"Well, Bob, why don't you go over and start working with Steve on a hook shot. I think you'll find it much harder to block. And with your shooting eye I don't think it will take long for you to learn."

How do you think Anderson feels about working with Cram now? He's enthusiastic and ready to learn. Having been placed in a situation where he learns for himself that he has a problem, Anderson is already in the process of unfreezing his past patterns of behavior. Now he's ready for identification. He has had an

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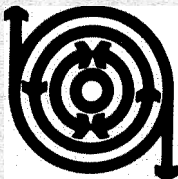
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opportunity to internalize his problem and is ready to work with Steve Cram.

So often the leader who has knowledge of an existing problem forgets that until the people involved recognize the problem as their own, it is going to be much more difficult to produce change in their behavior. Internalization and identification are not either/or alternatives but can be parts of developing specific change strategies appropriate to the situation.

### The Military Example

Another example of the change processes in operation can be seen in the military, particularly in the induction phase. There are probably few organizations that have entering their ranks people who are less motivated and committed to the organization than the recruits the military gets. Yet in a few short months, they are able to mold these men into a relatively effective combat team. This is not an accident. Let's look at some of the processes that help accomplish this.

The most dramatic and harsh aspects of the training are the unfreezing phase. All four elements that Schein claims unfreezing situations have in common are present. A specific example follows.

(1) The recruits are *physically removed from their accustomed routines, sources of information and social relationships* in the isolation of a place such as Parris Island.

*During this first week of training at Parris Island, the recruit is . . . hermetically sealed in a hostile environment, required to rise at 4:55 a.m., do exhausting exercises, attend classes on strange subjects, drill for hours in the hot sun, eat meals in silence and stand at rigid attention the rest of the time; he has no television, no radio, no candy, no coke, no beer, no telephone — and can write letters only during one hour of free time a day.*<sup>10</sup>

(2) *The undermining and destruction of social supports* is one of the DI's (Drill Instructor) tasks. "Using their voices and the threat

of extra PT (physical training), the DI . . . must shock the recruit out of the emotional stability of home, pool hall, street corner, girl friend or school."<sup>11</sup>

(3) *Demeaning and humiliating experiences* are commonplace during the first two weeks of the training as the DIs help the recruits see themselves as unworthy and thus motivated to change into what they want a Marine to be. "It's a total shock. . . . Carrying full seabags, 80 terrified privates are herded into their "barn," a barracks floor with 40 double-decker bunks. Sixteen hours a day, for two weeks, they will do nothing right."<sup>12</sup>

(4) Throughout the training there is *consistent linking of reward with willingness to change and punishment with unwillingness to change.*

*Rebels or laggards are sent to the Motivation Platoon to get "squared away." A day at Motivation combines constant harassment and PT (physical training), ending the day with the infiltration course. This hot, 225-yard ordeal of crawling, jumping and screaming through ditches and obstacles is climaxed by the recruits dragging two 30-pound ammo boxes 60 yards in mud and water. If he falters he starts again. At the end, the privates are lined up and asked if they are ready to go back to their home platoons . . . almost all go back for good.*<sup>13</sup>

While the recruits go through a severe unfreezing process, they quickly move to the changing phase, first identifying with the DI and then emulating informal leaders, as they develop. "Toward the end of the third week a break occurs. What one DI calls 'that five percent — the slow, fat, dumb or difficult' have been dropped. The remaining recruits have emerged from their first-week vacuum with one passionate desire — to stay with their platoon at all costs."<sup>14</sup>

Internalization takes place when the recruits through their forced interactions develop different high strength needs. "Fear of the DI gives way to respect, and survival evolves into achievement toward

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the end of training. "I learned I had more guts than I imagined" is a typical comment.<sup>15</sup>

Since the group tends to stay together throughout the entire program, it serves as a positive reinforcer which can help refreeze the new behavior.

### Impact of Change on Total System

The focus in these three articles has been on the management of human resources and as a result we have spent little time on how technical change can have an impact on the total system. And yet, the importance of combining the social and technical into a unified social systems concept is stressed by Robert Guest.

*On his part the social scientist often makes the error of concentrating on human motivation and group behavior without fully accounting for the technical environment which circumscribes, even determines, the roles which the actors play. Motivation, group structure, interaction pro-*

*cesses, authority — none of these abstractions of behavior, take place in a technological vacuum.*<sup>16</sup>

A dramatic example of the consequences of introducing technical change and ignoring its consequences on the social system is the case of the introduction of the steel axe to a group of Australian Aborigines.<sup>17</sup>

This tribe remained considerably isolated, both geographically and socially, from the influence of Western cultures. In fact, their only contact was an Anglican mission established in the adjacent territory.

The polished stone axe was a traditionally basic part of the tribe's technology. Used by men, women and children, the stone axe was vital to the subsistence economy. But more than that, it was actually a key to the smooth running of the social system; it defined interpersonal relationships and was a symbol of masculinity and male superiority. "Only an adult

male could make and own a stone axe; a woman or a child had to ask his permission to obtain one."<sup>18</sup>

The Anglican mission, in an effort to help improve the situation of the Aborigines, introduced the steel axe, a product of European technology. It was given indiscriminately to men, women and children. Because the tool was more efficient than the stone axe, it was readily accepted but it produced severe repercussions unforeseen by the missionaries or the tribe. As Stephan R. Cain reports:

*The adult male was unable to make the steel axe and no longer had to make the stone axe. Consequently, his exclusive ax-making ability was no longer a necessary or desirable skill, and his status as sole possessor and dispenser of a vital element of technology was lost. The most drastic overall result was that traditional values, beliefs, and attitudes were unintentionally undermined.*<sup>19</sup>

This example illustrates that an

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organization is an "open social system," that is, all aspects of an organization may have an impact on other parts or the organization itself. Thus a proposed change in one part of an organization must be carefully assessed in terms of its likely impact on the rest of the organization.

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