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MAIN CRITICAL FACTORS TO
ORGANIZATIONAL CHANGE: a Brazilian Case

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ORGANIZATIONAL CHANGE: a Brazilian Case

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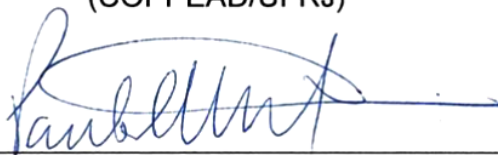
MAIN CRITICAL FACTORS TO ORGANIZATIONAL CHANGE: a Brazilian case

Master's dissertation presented to the Instituto Coppead de Administração, Universidade Federal do Rio de Janeiro, as part of the mandatory requirements in order to obtain the degree of Master in Business Administration (M.Sc.).

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RESUMO

Este estudo visa ampliar a compreensão da mudança organizacional e os principais fatores críticos de mudança. Um único estudo de caso foi conduzido em uma grande empresa com operações no Brasil por meio de vinte e uma entrevistas em profundidade. Uma perspectiva qualitativa foi aplicada para o escrutínio dos dados coletados. Principais fatores críticos, como comprometimento, confiança e cultura organizacional são fundamentais para a credibilidade da iniciativa de mudança. Esses fatores representam peças de um quebra-cabeças que, quando reunidas de maneira construtiva, traçam um caminho para a implementação bem-sucedida de uma iniciativa de mudança. Por um lado, as externalidades, como a crise econômica e política do país, constituem obstáculos para a construção da credibilidade da iniciativa de mudança. Por outro lado, uma desaceleração da economia pode representar um mecanismo de retenção. Em resumo, a Companhia está em um círculo vicioso. É prisioneiro de um *loop* negativo que causa um efeito destrutivo no processo de mudança, e não lhes permite pensar fora da caixa e explorar alternativas criativas para enfrentar os desafios da empresa. Este estudo contribui para a literatura de mudança organizacional e profissionais do mercado, mostrando a importância da credibilidade das iniciativas de mudança a fim de alcançar a sua implementação bem sucedida. Este estudo também apoia a forte relação entre os principais fatores críticos para a mudança. Finalmente, a Companhia está presa em um *loop* negativo que sufoca as sucessivas tentativas de implementar com sucesso as iniciativas de mudança.

Palavras-chave: Mudança Organizacional, Engajamento, Comprometimento, Confiança, Cultura Organizacional.

ABSTRACT

This study aims to enhance the understanding of organizational change and main critical factors to change. A single case study was conducted in a large company with operations in Brazil by means of twenty-one in-depth interviews. A qualitative perspective was applied to scrutinize the data collected. Main critical factors, such as commitment, trust, and organizational culture are key to change initiative credibility. Those factors represent pieces of a puzzle that, when put together in a constructive way, draw a path to successful implementation of a change initiative. On one hand, externalities, such as country economic and political crisis pose as obstacles to build change initiative credibility. On the other hand, an economy downturn may represent a retention mechanism. In brief, the Company is in a vicious circle. It is prisoner of a negative loop that causes a destructive effect in the change process, and doesn't allow them to think out of the box and explore creative alternatives to face the company challenges. This study contributes to organizational change literature and practitioners by showing the importance of credibility in change initiatives to achieve their successful implementation. This study also supports the strong relationship among main critical factors to change. Finally, the Company is locked in a negative loop that stifles the successive attempts to successfully implement the change initiatives.

Key words: Organizational Change, Engagement, Commitment, Trust, Organizational Culture.

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1. INTRODUCTION

Any living system is always in a state of some change, such as growth or decline. However, all systems are homeostatic, they always tend toward some kind of equilibrium (Schein, 2002). For instance, Schein (2002) defines a “system” as an individual, or a group, or an entire organization. In addition to that, the author understands that any given system is usually composed by a number of subsystems. Schein (2002) reinforces Lewin’s (1952) stages of the change process when he mentions that the first stage of the process is to alter the force field: unfreezing (Figure 1). On top of that, the author states, “Before we can unfreeze the system, we must first identify, with respect to our change goal, what the relevant forces are that are acting on *the target system*” (SCHEIN, 2002, p. 35). Schein (2002) argues that the “force-field analysis” may reveal that the unit being changed is composed of a number of interconnected subsystems that should be analyzed individually. In other words, the author highlights that the same forces may not be applied across all subsystems.

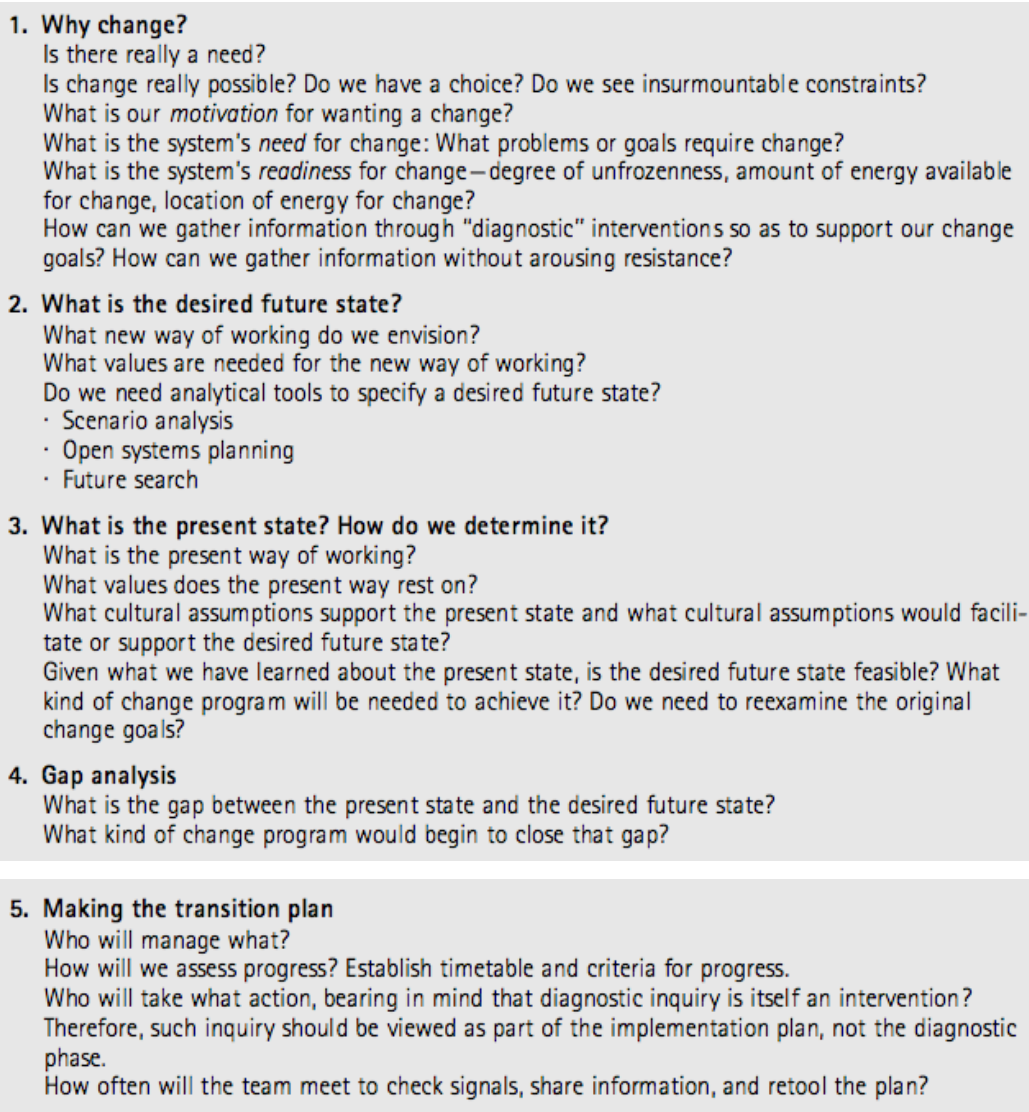
Figure 1. Stages of the Change Process

Stage 1. Unfreezing: Creating the motivation to change
Disconfirmation
Creation of survival anxiety or guilt
Creation of psychological safety to overcome learning anxiety
Stage 2. Changing: Learning new concepts, new meanings, and new standards
Imitation of and identification with role models
Scanning for solutions and trial-and-error learning
Stage 3. Refreezing: Internalizing new concepts, meanings, and standards
Incorporating into self-concept and identity
Incorporating into ongoing relationships and groups

Source: Schein (2002, p. 36).

To begin with, some questions must be answered in order to take the first step into the change management process: (1) why change; (2) what is the desired future state; (3) what is the present state and how do we determine it; (4) what is the gap; and (5) how to make the transition plan. A more extensive list of those questions is suggested in figure 2.

Figure 2. A Map of the Change Management Process



Source: From Schein (2002, p. 40), adapted from Beckhard and Harris (1977).

All things considered, Schein (2002) defends that change is a perpetual process. In fact, "Once into the change process, the change agent finds himself or herself working simultaneously on all the stages, reconceptualizing what is going on as new data surface, discovering areas that are not unfrozen, and so on." (SCHEIN, 2002, p. 41). Therefore, change agents should be encouraged to ask again those fundamental questions listed above. After all, in order to understand a specific system, you should try to change it (Lewin, 1952).

1.1 Problem Statement

As mentioned before, “change is relentless and continuous, and has become inevitable in almost every sphere of business” (Chiloane-Tsoka, 2013, p. 15). Chiloane-Tsoka (2013) understands that organizational change has become one of the most important aspects in organizations in order to guarantee their survival in such an increasingly dynamic business environment. Likewise, Mangundjaya (2015) defends that organizations need to change according to the demands of the environment. However, Etschmaier (2010) states that not every organizational change program is successful. In fact, the author shows, in his 2010 study, that more than 50% organizational change did not succeed.

By the same token, Kotter (2007) believes that few of corporate change efforts have been successful. But, also, few have been utter failures. The author states that most change initiatives “fall somewhere in between, with a distinct tilt toward the lower end of the scale” (KOTTER, 2007, p. 2). Lastly, Kotter (2007) states that even successful change efforts are messy and full of surprises. He understands that a vision of the change process can reduce the error rate, and few errors can make a difference between success and failure. In addition to that, Mangundjaya (2015) argues that change won't be successful if the employees do not support it and commit to it. In the literature (for example, Neubert and Cady, 2001; Foster 2010; Zangaro, 2001; Michaelis *et al.*, 2009; Meyer *et al.*, 2007; Cunningham, 2006), it is possible to observe several critical factors, such as commitment to change that is key to a change program success. Those factors should be discussed, explored and understood in seeking organizational change success.

1.2 Purpose of the Study

This study explores some of the organizational change driving forces and the main critical factors to change. It is understood that those critical factors detailed in Chapter 2, such as communication, trust, leadership, organizational culture, feedback and commitment are key to identify the issues that should be given more attention and effort during the change process. Moreover, by mapping and comprehending those issues, change agents should have more knowledge to take action and go through the stages of the change process as efficiently as possible.

Research Question

How understanding the change management process, the organizational change driving forces and the main critical factors to change can help change agents achieve success in the implementation of change initiatives?

1.3 Relevance of the Study

Each and every day organizations face different challenges. Changes in consumer behavior, shifts in political and economic context, new regulations, and breakthrough technologies are some of the market movements that have the power to shake an organization or even turn it upside down (Junginger, 2008). They may represent an opportunity, but also a threat to organizations. “This is the paradox of the organization: it needs stability to function well, but needs change to survive” (JUNGINGER, 2008, p. 26). From that standpoint, management may believe that these changes affect mostly corporate performance in terms of financial efficiency and monetary gains and losses. However, there is a lot more into change that impacts the organization as a whole.

As a matter of fact, the concept, organizational change, implies an attempt or series of attempts to modify an organization's structure, goals, technology or work tasks (Carnall, 1986). It is possible to say that most changes in a company are able to impact the employees' motivation and put their commitment to the test. For instance, researchers have brought to attention the strong relationship between change and trust (Morgan and Zeffane, 2003) and how it affects the psychological contract between employee and employer. The psychological contract is anchored in the employee and employer's unwritten obligations based on promises made to each other (Van Der Smissen, Schalk and Freese, 2013).

Research says that a transformation process requires the aggressive cooperation of many individuals. “Without motivation, people won't help, and the effort goes nowhere” (KOTTER, 2007, p. 2). With this in mind, once the change initiative takes place, a powerful guiding coalition should be formed. More important, this group must have enough power to lead the change effort (Kotter, 2007). However, an important issue to bear in mind is that many organizational leaders lack a clear understanding of

the necessary steps leading to successful change implementation (Heracleous, 2000; Bernerth *et al.*, 2007).

Kotter (2007) states that change process goes through a series of phases that, when considered as a whole, usually require a considerable length of time. A change process has several stages that are described in many different ways in research. From the first stages of planning to implementation, the leadership role is appointed as determinant to success. Leaders must provide reinforcement to ensure that the desired changes take hold without backsliding (Garvin and Roberto, 2005). The authors emphasize that effective change leaders provide opportunities for employees to practice desired behaviors repeatedly, while personally modeling new ways of working and providing coaching and support. Based on these assumptions, managing people's expectations appears to be a breakthrough task in the search to succeed in change management projects.

Several studies focus on ways HR professionals participate in the process of change (Alfes, Truss and Gill, 2010; Kim and Ryu, 2011; Molineux, 2013; Morgan and Zeffane, 2003; Stace and Dunphy, 1991; Long and Ismail, 2011; Long, Ismail and Amin, 2013). Long, Ismail and Amin (2013) argue that there is a relationship between HR competencies and the role of the change agent. The authors define as competencies of HR practitioners: business knowledge, culture management, relationship skills, and human resources development skills. Long, Ismail and Amin (2013) also suggest that these competencies should determine HR roles that facilitate the selection and implementation of change that fit the unique characteristics of an organization. "The challenge to human resource (HR) practitioners is to create a work environment in which employees accept rather than resist change" (IVERSON, 1996, p. 123).

Researchers have presented several theories on how to manage people in change circumstances (Kotter, 2007; Garvin and Roberto, 2005; Meyerson, 2001; Kim and Mauborgne, 2003; Kegan and Lahey, 2001). A well-known one is the theory of tipping points (Kim and Mauborgne, 2003) with its roots in epidemiology. The theory suggests that in any organization, once the beliefs and energies of a critical mass of people are engaged, conversion to a new idea will spread like an epidemic, bringing about fundamental change very quickly. The authors present four steps to the tipping point:

break through the cognitive hurdle, sidestep the resource hurdle, jump the motivational hurdle, and knock over the political hurdle. The cognitive hurdle calls a lot of attention because it makes reference to find ways to communicate. Whatever the case may be, communication is, undoubtedly, an issue of great importance in most personnel interactions (Nelissen and Selm, 2008).

In theory, the organization is affected by the Brazilian crisis. In addition to prior organization's problems, the country crisis may aggravate the company problems. In turn, it creates a scenario of uncertainty and instability. Brazil lives a crisis without precedents, with daily surprises with a constant state of lack of control. This scenario increases the difficulty to forecast, control and even evaluate the crisis development and the extension of the crisis effects on the company performance. Even through the company draws different scenarios for the future; it is really hard to predict a scenario that is going to be close to the reality. It ends up being a constant crystal ball.

All things considered, organizational change appears to be a widely discussed subject in literature. In addition to that, several critical factors to change can be identified. For this reason, this research will explore some of these critical factors in literature, and in a specific context of a case study.

1.4 Delimitations of the Study

This section aims to determine the characteristics that limit the scope and define the boundaries of this research. This study focuses on a case of one specific company going through a change process. The corporate change initiative began a couple of years ago and is still not fully implemented. This study explores selected critical factors to change in order to identify possible reasons why the change initiative is still not entirely successful. Furthermore, organizational change is a widely researched topic in literature. In this study, the focus was on the subjects presented on the literature review (see Chapter 2). In addition to that, the company is very large with over 13 thousand employees. For this reason, it is unpractical to analyze all areas in the research timeframe. Therefore, only two areas in the city of Rio de Janeiro are studied, creating space for further data collection and analysis.

1.5 Study Structure

In order to guide the readers through this study and help in the findings comprehension, following are the highlights of each part of this present work. This work is structured in five parts, as follows:

Chapter 1 – The study introduction presents the first insights to organizational change. It includes the problem statement presenting the issues that will be explored in the case study; the purpose of the study identifying what this research aims to achieve; the relevance of the study for both scholars and practitioners; the study limitations that can promote insights for future research; and, lastly, presents details of how this work was organized.

Chapter 2 – This chapter is dedicated to the literature that supports this work. It explores the theoretical frameworks on organizational change and change management that, in turn, underpin this research results analysis.

Chapter 3 – Research methodology, which includes the type of research, introduces the company studied through the research context, universe, sample and selection of subjects, data collection, presents the interview scripts, data processing and analysis, and comments regarding the limitations of the method adopted.

Chapter 4 – The empirical results from the interviews are presented in order to promote greater clarity and understanding of the conclusions. These results are also compared and related to theories and models previously discussed in chapter 2.

Chapter 5 – This chapter concludes the paper with a discussion, final considerations and suggestions for future research.

2. LITERATURE REVIEW

2.1 Introduction

In order to understand how organizational change affects human behavior it is important to scrutinize the process of change. In fact, it is possible to observe that one of the reasons why the majority of change initiatives are not successful (Beer and Nohria, 2000) is that too many managers don't realize transformation is a process, not an event (Kotter, 2007). To begin with, change refers to a difference in a state of affairs at different points in time. Therefore, the very first step into change is to define the goal: what the organization wants to achieve. Without this vision, a transformation effort can easily dissolve into a list of confusing and incompatible projects that can take the organization in the wrong direction or nowhere. (Kotter, 2007) After all, "if you don't know where you're going, you might not get there" (BERRA, 2002, p. 53).

For this reason, goals should take into account the identifiable ways in which they will impact the organization. In other words, some considerations should be made in an effort to establish an alignment between the organization and its goals. For example, organizational structure, behavior patterns, compensation, and processes within the company are some of the key points that can either enhance the change or function as an obstacle. Attention to these fall points should take place as an attempt to reinforce the proposed change. On the other hand, there may be forces against change, even after the implementation attempt. In particular, a change in the organization may reorganize the work and have consequences for employees in their role and tasks (Caldwell, Herold and Fedor, 2004). For this reason, they will probably need to adapt to new circumstances and different demands.

All in all, it is possible to observe several issues that can be investigated regarding a change process within an organization. For instance, communication, commitment, trust, culture and psychological contract are some of them. Therefore, in order to discuss organizational change, it is important to first understand some concepts that will be explored in this literature review. Firstly, it is crucial to conceptualize organizational change. Secondly, scan the most common forces that drive organizations to change. Thirdly, look into management tools that have the potential to assist organizations walk through the process of change. Then, explore the main critical factors to change. Next, go deep into what actually resistance to change means and how to deal with it. Finally, discuss the means by which HR can support an organization

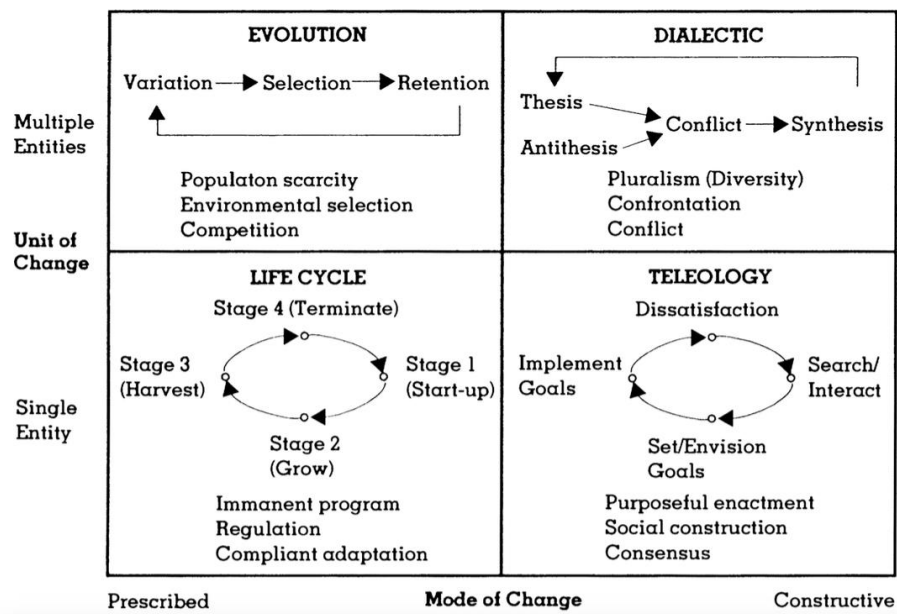
during times of change and make a difference as a change agent in such a dynamic environment.

2.2 Conceptualizing Organizational Change

Organizational change is a widely researched topic among scholars (Jansson, 2013). However, not only researchers have interest in this topic. Organizational change is also a concern for practitioners, as over 70 percent of organizational change efforts fail (Cinite, Duxbury and Higgins, 2009; Beer and Nohria, 2000; Burke, 2011). In order to discuss this topic, it is important to first understand the concept of change. According to Acuña and Fernández (1995), change presupposes an existing initial state that has to be modified in order to reach a new state. By the same token, change is described as a movement away from a present state toward a future state (George and Jones, 1996; Kanter, Stein and Jick, 1992; Barnett and Carroll, 1995). Meanwhile, Dawson (1994) believes that change in an organization refers to any alteration in activities or tasks. Finally, Gilgeous (1997) states that change is generally a response to some significant threat or opportunity arising outside of the organization.

Van de Ven and Poole, in their 1995 study, explain the processes of development and change in organizations with four types of theories: life cycle theory – regulated change (Cameron and Whetten, 1983), teleological theory – planned change (March and Simon, 1958), dialectical theory – cognitive change (Benson, 1977), and evolutionary theory – competitive change (Hanna and Freeman, 1977). These four process theories of organizational development and change are illustrated in figure 3. In their 1995 study, it is possible to explicitly identify that organizational change often takes place in a sequence of stages building a process framework. Barnett and Carroll (1995) also state that process can be part of the conceptualization of organizational change, together with content. The authors describe process as how the change occurs, and content as what actually changes in the organization.

Figure 3. Process Theories of Organizational Development and Change



Note: Arrows on lines represent likely sequences among events, not causation between events.

Source: Van de Ven and Poole (1995).

Kanter, *et al.* (1992) argue that the models of organizational change are usually divided into three parts. For instance, there are the models of unfreeze, change, and freeze (Lewin, 1947); the current state, the transition state, and the future state (Beckhard and Harris, 1977); dissatisfaction, process, and modeling (Beer, 1980); separation of tradition and crises, strategic decisions and the first movements, and action and institutionalization (Kanter, 1983); awareness, mobilization, and empowerment (Tichy and Devanna, 1986); and energizing, vision, and *possibilizare* (Nadler and Tushman, 1989).

On one hand, organizational change models can be seen with universality or “the commonly applicable”. On the other hand, it can be defined with a particularity perspective or “the locally applicable” (Flyvbjerg, 1998). Rachid, *et al.* (2003) argue that the change process is unique in each situation and organization. In accordance to that, Jansson (2013) published a theoretical paper with a relevant critical analysis on extensive existing change literature. In this study the author challenges some taken-for-granted practices related to organizational change and suggests that the organizational literature overlooks the meaning of context and particularity. After all, “differences in the nature of the organization, the nature of the business, the work culture and values,

management and leadership style, also behavior and attitude of the employees” play a significant role throughout the organizational change process (RASHID, SAMBASIVAN AND RAHMAN, 2004, p. 161).

From that standpoint, Jansson (2013) draws a parallel between the traditional and critical views of organizational change based on strategy-as-practice literature (Vaara and Whittington, 2012), which focuses on practices – dimensions of activities within a socially constructed context; praxis – intellectual dimension of human action; and practitioners – dimension of identity. First, the traditional view sees organizational change practices as universal in nature (Kotter, 2007; Martin, Metcalfe and Harris, 2009; Miles, 2010), resistance is related to planned change (Cameron, 2008; Danisman, 2010; Oreg, Vakola and Armekanis, 2011), and practitioners act upon their hierarchy groups (Cinite, Duxbury and Higgins, 2009; Clark and Soulsby, 2007; Rouleau and Balogun, 2011). By contrast, the critical view sees organizational change as particular within the context (Buchanan *et al.*, 2005; Graetz and Smith, 2008; Whittle, Suhomlinova and Mueller, 2010), resistance is related to human action and power (Erkama, 2010; Thomas and Hardy, 2011; Vaara and Tienari, 2011), and practitioners act upon emotional, contextual and identity factors (Battilana, 2011; Nag, Corley and Gioia, 2007; Schwarz, Watson and Callan, 2011).

Moreover, Acuña and Fernández (1995) understand organizational change process as an organizational innovation. The authors also highlight the strong relationship between the concepts of organizational change with organizational learning. For instance, the concept of organizational innovation consists in incorporating a new set of resources or do things in a different way (Dávila, 1992). There are different types of organizational change and several different ways to categorize them. Acuña and Fernández (1995) make this distinction based on organizational changes’ radicalness and complexity. Sims, Fineman and Gabriel (1993), on the other hand, differentiate organizational changes in first order – changes in the system – and second order – change of the system. Nadler and Tushman (1990), in turn, differentiate organizational changes in strategic and incremental, and also in reactive and anticipatory.

Furthermore, it is possible to observe three broad perspectives of organizational change in literature: creation of new organizations and organizational forms (Hannan and

Freeman, 1977; Freeman and Hannan, 1983; McKelvey, 1982); designed changes in strategy and structure of individuals organizations in response to the environment (Thompson, 1967; Lawrence and Lorsch, 1967; Pfeffer and Salancik, 1978; Meyer and Rowan, 1977; DiMaggio and Powell, 1983; Edwards, 1979; Burawoy, 1979); and change in response to endogenous processes that are not necessarily in line with organizational leaders' desires (March and Olsen, 1976; March, 1982; Weick, 1976).

2.3 Organizational Change Driving Forces

Pettigrew (1985) states that changes within an organization take place in response to business and economic events and to processes of managerial perception, choice, and actions where managers see events taking place that indicate the need for change.

In terms of defining change drivers, Whelan-Berry, Gordon and Hinings (2003) refer to them as events, activities, or behaviors that facilitate the implementation of change. However, there are several other definitions for change drivers in the literature. For instance, they are defined as change accelerators and tactics (Jick, 1995), catalysts (Whelan, 1997), and action levers (Porras and Hoffer, 1996). Meanwhile, Whelan-Berry and Sommerville (2010) make a list of what they consider as change drivers and analyze their correlation with each step in the organization change process. This list contains seven change drivers that are: accepted change vision, leader's change related actions, change related communication, change related training, change related employee participation, aligned human resources practices, and aligned organization structure and control processes. In their 2010 study, the authors highlight that these drivers may vary in different organizational settings and types of change. Moreover, they argue that the effect of drivers varies based on the characteristics or the nature and setting of the change initiative.

Furthermore, internal and external factors can trigger the need for change (Barnett and Carroll, 1995). Regarding internal factors, some theories relate the need for organizational change to life cycle or development metaphor (Greiner, 1972; Child and Kieser, 1981; Cafferata, 1982; Kimberly and Miles, 1980). In other words, organizational growth would foster change. Meanwhile, there are some theories that relate the need for change to age and size. Hanna and Freeman (1984) agree that time

turns organizations increasingly inert. The authors also state that large organizations are less likely to change due to bureaucratic structure. By contrast, Kimberly (1976) and Aldrich and Auster (1986) believe that large organizations are more prone to change due to greater access to resources. With regard to external factors, several researchers (Miner, Amburgey and Stearns, 1990; Singh, Tucker and Meinhard, 1991; Halliday, Powell and Granfors, 1993; Delacroix and Swaminathan, 1991; Miller and Chen, 1994) envision environments filled with opportunities, constraints, and examples of successful practices, among others. Therefore, more research on the topic should be made for further theoretical development (Barnett and Carroll, 1995).

Hannan and Freeman (1984) studied the term structural inertia. The authors argue that individual organizations are subject to strong inertial forces. This scenario makes it difficult to achieve success in the attempts to make radical changes in strategy and structure when facing environmental threats. The authors understand that organizations with strong inertial forces respond relatively slowly to threats and opportunities in the environment. In their 1984 study, they highlight the concern with the timing of changes and with a dynamic context. In particular, the three following issues must be taken into consideration: the temporal pattern of changes in key environments – characteristics of a typical change; the speed of learning mechanisms – time to evaluate information; and the responsiveness of the structure to designed changes – time to reorganize the organization (Hannan and Freeman, 1984).

The meaning of time is also discussed in organizational change literature (Gomes da Silva and Wetzel, 2007). For instance, organizations generate norms and information that influence the way in which individuals select their temporal references (Blount and Janicik, 2001). Meanwhile, the notions of time vary from culture to culture in terms of perspective, orientation of values, flow of life, judgment of duration and meaning attributed to temporal terms and concepts (Block, Buggie and Matsui, 1996). Moreover, time can be seen at the same time as a scarce resource and as the main unit for measuring value and payment to individuals (Hassard, 2001). Finally, regarding management in organizations, the changes that have taken place since the last decades of the 20th century have required a reconfiguration of the notion of time (Goddard, 2001).

Additionally, awareness of problems and perception of improvement opportunities in organizations are basic conditions for the beginning of the organizational change process and learning (Senge, 1990; Garvin, 1994; Argyris, 1970; Schein, 1988; Beer, Eisenstat and Spector, 1990). However, attempts at organizational change often take unexpected turns and lead to transformations other than those intended (Merton, 1936). Organizational analysts question if there is any regular pattern in the way managers decide to change (Barnett and Carroll, 1995). As a matter of fact, change sometimes may occur unintentionally as a by-product of other decisions and actions within the organization (March, 1982).

2.4 Change Management

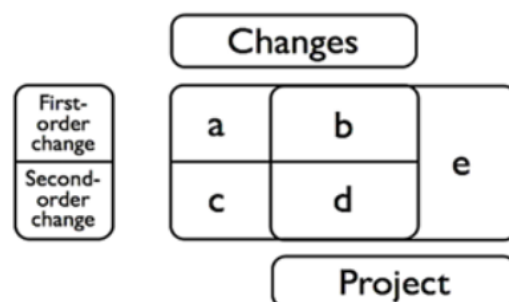
The literature presents two main approaches to change management: planned and emergent (Bamford and Forrester, 2003). Lewin (1951) introduced planned change that influenced the theory and practice of change management for over 50 years (Cummings and Huse, 1989; Bullock and Batten, 1985; Garvin, 1994; Schein, 1985). On top of that, Bamford and Forrester (2003) argue that the planned approach is based on the assumption that “everyone within the organization agrees to work in one direction with no disagreement” (BAMFORD AND FORRESTER, 2003, p. 547). However, they defend the idea that differences of opinion on important matters will always exist within any group of individuals. For this reason, the assumption of the planned approach may not always be applicable. Other researchers also question planned change defending the concept of an emergent approach to organizational change (Dawson, 1994; Wilson, 1992; Genus, 1998; Hartley, Bennington and Binns, 1997; Senior, 1997). Dawson (1994) claims that, within the emergent approach, organizational change is seen to be less dependent on detailed plans and projections than on reaching an actual understanding of the complexity of the issues involved and identifying the range of possible options. “A major development of emergent change is an emphasis on “bottom-up” action rather than “top-down” control in commencing and implementing organizational change.” (BAMFORD AND FORRESTER, 2003, p. 548).

Whelan-Berry and Sommerville (2010) understand that the change process is “foreseeable and map-able, even though it is complex and multi-level” (WHELAN-BERRY AND SOMMERVILLE, 2010, p. 176). In their 2010 study, they use the

change process steps that they consider most frequently found in the literature: developing a clear, compelling vision (Kiel, 1994; Schein, 2000; Cummings and Worley, 2004); moving the change vision to the group level (Harvey and Brown, 1996); individual employees' adoption of change (Cameron and Quinn, 1999; Morgan and Brightman, 2001); sustaining the momentum of the change implementation (Kotter, 2007); and institutionalizing the change (Nadler and Tushman, 1990; Judson, 1991).

From a different perspective, Pádár, Petaki and Sebestyén (2011) develop a comparative analysis of project management and change management. Théhorel (2007), for instance, understands that matching change management to project management has become a new challenge for organizations. By the same token, “in the literature the differences between changes, processes, programmes and projects are not clearly defined and therefore also change management is not related appropriately to process, project and programme management” (Gareis, 2010). Gareis and Huemann (2008) believes that there is still a lack of scientific research that examines these two fields simultaneously. To begin with, it is possible to find several definitions for project in literature: set of activities achieved by a set of people (Graham, 1985); venture characterized by special conditions (Cleland and Gareis, 2006); set of coordinated activities (British Standards Institution, 2002); and a temporary endeavor undertaken to create a unique product, service, or result (Project Management Institute, 2008). Also, Pádár, Petaki and Sebestyén (2011) identified the overlapping domains of change management and project management illustrated in Figure 4. According to the authors, examples for the domains “a”, “b”, “c” and “d” are respectively job rotating, change in organizational structure, tsunami, and mergers and acquisitions. Finally, domain “e” would be projects without change.

Figure 4. Domains of Change and Projects



Source: Pádár, Petaki and Sebestyén (2011).

The following table is an adaptation of Pádár, Petaki and Sebestyén (2011) conclusion indicating the differences and similarities when comparing the role definitions of the key stakeholders both in project and change management. The table also shows the connection and complementarity of the two fields of study.

Table 1. Key Stakeholders

Project Management	Change Management
Sponsor	Sponsor
Corporate or programme management	Initiating sponsorship
Project manager	Agent
Project management team	Agent
Project board	Sustaining sponsor and agent
Team manager	Agent
Customer/user	Advocate
Project champion	Advocate

Source: Table by the author adapted from Pádár, Petaki and Sebestyén (2011).

Consequently, there are change management tools and theories in both project and change management literature (Dodd and Sundheim, 2011; Ruggles, 2009; Rad and Levin, 2006). For instance, the ADKAR model (Prosci, 2004) is normally used in both. Developed by the Change Management Learning Center in U.S.A., it consists of five elements: Awareness, Desire, Knowledge, Ability, and Reinforcement. A relevant contribution of this model is that it can “successfully measure the change management competencies of an “Individual” that lead the change within an organization” (KIANI AND SHAH, 2014, p. 79). Change management requires a certain range of managerial competencies (Sharma, 2007). For example, Havelock (1995) refers to the change agent as a solution giver, catalyst and process helper. Moreover, recognition by management of the need for change; the openness of management about its difficulties, and their confidence in the management scientists; the participation of management in gathering data and choosing solutions; the efforts of management scientists to reinforce the new behavior of management; the measurability of results; and the involvement of top management, are some of the many forces that may affect the success of change (Zand and Sorensen, 1975).

2.5 Main Organizational Change Critical Factors

The literature shows different perspectives for organizational change. On one hand, some authors claim that managers may see change as a threat because leaving things as they are is more certain than the possible outcome derived from change (Greve, 1998; Fox-Wolfgramm, Boal and Hunt, 1998). On the other hand, other authors claim that pro-active, open-minded managers would embrace change willingly because they see change as opportunities to create value for the organization (Freiberg and Freiberg, 1997; Katz and Kahn, 1978). Aside from that, middle managers play an important role in the implementation of strategic change (Barton and Ambrosini, 2013). In fact, “the blame for unsuccessful organizational change must lie with those who are responsible for implementing it” (HOAG, RITSCHARD AND COOPER, 2002, p. 7). Regardless of what the manager’s beliefs are, some factors are critical for the organizational change to be successful or fail. The main critical factors are addressed below.

2.5.1 Communication

Literature shows that communication is widely recognized as key contributor to organizational survival and growth (Wanberg and Banas, 2000; Schweiger and DeNisi, 1991; Bordia *et al.*, 2004). As a matter of fact, in the growth process, organizations have to cope with challenges that foster change. Moreover, uncertainty about change consequences and unforeseen side effects create resistance from employees (Christensen, 2014). For instance, the lack of information and communication with managers could generate rumors and gossip that lead to anxiety associated with change. Meanwhile, effective communication about the changes and consequences has the power to reduce this anxiety (Argyris and Schön, 1996). However, real communication is not just data transfer. “We need to show people something to shatter the anxiety, to appease their anger, to be credible in a very deep respect and give them confidence in the vision” (PETRESCU, 2011, p. 81-82). Finally, Spike and Lesser (1995) state that communication is the key to successful implementation of change process, as it is a tool for announcing, explaining, or preparing people for change. On top of that, communication prepares the employees for positive and negative effects of the impending change.

In order to understand how communication should take place, it is important to first understand what is organizational communication. Researchers have developed different concepts of organizational communication. Tukiainen (2001) identified that organizational communication has four dimensions: personnel's use of communication system; the management's conduct and methods of communication; face-to-face communication; and the efficiency of communication process. Meanwhile, Johnson (1992) identified five dimensions: relationships, entities, contexts, configuration, and temporal stability. Lastly, Goldhaber (1999) identified that organizational communication takes place within complex open systems; entails all features of a message; and involves people, including attitudes and feelings. Apart from that, American Management Association (2015) has developed a list of rules for effective communication. Some of the rules are: clarify ideas, take the context into account, communicate nuances, develop empathy, ask questions, communicate now and in the future, and listen actively.

With this in mind, it is important to take into consideration the fact that people communicate in many different ways. Non-verbal behaviors, such as tone of voice, facial expressions and body attitude may speak more than words. From that standpoint, Petrescu (2011) argues that agreement between what is said and body language is required for good communication. In addition to that, Nelson *et al.* (2007) understand that information may be interpreted in different ways depending on the channel with which it is delivered. It means that is very important to choose the appropriate communication channel. For instance, there are informal channels (small groups networks, social gatherings, etc.) and formal channels (newsletters, annual reports, etc.). In turn, Fisher (1993) believes that informal channels are effective in transmitting information, fast and usually reliable. Lewis (1999) concludes, in his study, that leaders using channels rich in cues such as face-to-face interactions are more influential throughout the change process. Moreover, Law (2009) finds that story telling can help facilitate change. All in all, Pascale and Sternin (2005) argue that effective communication influences the degree to which leaders manage change. Meanwhile, Self and Schraeder (2009) state that effective dissemination of information guarantee that employees have clarity and understanding of the nature of change and are educated about the need for change.

Furthermore, processes of organizational change are intimately related to communication processes (Wanberg and Banas, 2000; Schweiger and DeNisi, 1991; Bordia *et al.*, 2004). Allen *et al.* (2007) noted that reduction of the feeling of job insecurity among employees is one of the major objectives of communication during change. In addition to that, perceived cynicism is one of the possible negative consequences of the failure to provide sufficient information about change (Wanous, Reichers and Austin, 2000; Stanley, Meyer and Topolnytsky, 2005). Likewise, poor communication surrounding change has the potential to create widespread rumors (DiFonzo, Bordia and Rosnow, 1994), and also encourage negative outcomes, for example, high employee turnover and absenteeism (Johnson *et al.*, 1996). In turn, Galpin (1996) defends that the rationale for change, the consequences of not changing, and how the organization will appear after the changes must be communicated clearly. Meanwhile, Johnson *et al.* (1996) show that providing information can help reduce anxiety and uncertainty. In fact, this condition is essential for creating openness toward change initiatives (Stanley, Meyer and Topolnytsky, 2005; Carney, 2000; Wanberg and Banas, 2000). Lastly, “Information is crucial in shaping employees’ expectations and providing the basis for developing attitudes (positive and negative) toward change” (Portoghese *et al.*, 2012).

2.5.2 Commitment

Literature presents different ways to commit to something or someone. Organizational commitment, role commitment, team commitment, strategy commitment and change commitment are some of them (Turner-Parish, Cadwallader, and Busch, 2008; Meyer *et al.*, 2007; Ford, Weissbein, and Plamondon, 2003; Herscovitch and Meyer, 2002; Noble and Mokwa, 1999; Becker, 1992). For instance, Barton and Ambrosini (2013) assert that in order to implement change in strategy, for example, some kind of organizational adaptation is often required. In fact, change in plans, policies, and procedures are essential for the achievement of new goals. With this in mind, Noble and Mokwa (1999) define strategy commitment as when managers perceive and uphold the goals and objectives of a strategy. While Meyer *et al.* (2007) discuss the challenge to ensure that employees engage in strategically supportive behaviors. Even though

those concepts are all connected, this session will focus on commitment in a scenario of organizational change.

Several authors suggested that organizational commitment plays an important role in employee acceptance to change (Lau and Woodman, 1995; Iverson, 1996; Cordery *et al.*, 1993; Darwish, 2000). Furthermore, it is possible to observe that literature presents two different ways to conceptualize commitment to change: one-dimensional, a general feeling (Conway and Monks, 2008; Herold *et al.*, 2008; Coetsee, 1999; Armenakis and Bedeian, 1999; Conner, 1992); and multidimensional (Parish, Cadwallader and Busch, 2008; Chen and Wahng, 2007; Herscovitch and Meyer, 2002). For instance, Herscovitch and Meyer (2002) developed a model of commitment to organizational change initiatives that has the potential to guide such a systemic complex investigation (Meyer *et al.*, 2007). Mangundjaya (2015) states that the concept of commitment to change by Herscovitch and Meyer (2002) was derived from the concept of organizational commitment (Meyer and Allen, 1991) in the specific context of an organization undergoing organizational change. The authors, in their 2002 study, define change commitment as a force (mind-set) that binds an individual to a course of action, which is considered necessary for successful change initiative implementation. According to the authors, this mind-set can be reflected in three dimensions: affective commitment, continuance commitment to change and normative commitment to change. Likewise, Parish, Cadwallader and Busch (2008) believes that individuals can feel bound to support a change initiative because they want to, have to and/or ought to.

On one hand, the impact of commitment to change has been researched focusing on several desired outcomes. For example, innovation implementation (Michaelis, Stegmaier and Sonntag, 2009), behavioral support for change (Meyer *et al.*, 2007), improved performance (Parish, Cadwallader and Busch, 2008) and coping behaviors (Cunningham, 2006). On the other hand, Battistelli *et al.* (2014) focused their study on the role of the individual's appraisal of the change itself on shaping commitment to change. The authors, in their 2014 study, demonstrated hypotheses that show a negative relationship between concerns about change (i.e. content, benefits and mastery aspects) and affective, continuance and normative commitment to change. By the same token, Coch and French (1948) state that organizational change challenges the 'way things are

done in here' and, as a result, individuals experience uncertainty and start feeling different types of fear about the potential failure in coping with the new situation.

Meanwhile, Mathews and Shepherd (2002) understand organizational commitment as a multidimensional concept that is often interpreted in different ways. According to the authors, "Committed employees have a strong belief in and acceptance of the organization's goals and values, show a willingness to exert considerable effort on behalf of the organization, and have a strong desire to maintain membership with the organization" (MATHEWS AND SHEPHERD, 2002, p. 369). On top of that, Zangaro (2001, p. 14) corroborates that "a person who is committed to an organization should then be dedicated and have a strong belief in the organization's goals and values". Neubert and Cady (2001) believe that committed employees get involved and take personal responsibility for the successful implementation of a project; they demonstrate enthusiasm. Lastly, Ford, Ford and D'Amelio (2008) understand that resistance, which will be further discussed in this literature review, may in some cases reflect a higher level of commitment than acceptance to change, because some resistance is thoughtful.

According to Foster (2010), commitment to change plays a central role in gathering support for planned organizational change initiatives. In turn, Mangundjaya (2015) argues that change won't be successful if the employees do not support it, or it can be said that there must be commitment from the employees. Furthermore, Mangundjaya (2015) explores the correlation between commitment to change and organizational trust, and also identified several studies that present positive effects of trust on commitment to change and/or organizational change (Kaneshiro, 2008; Nikandrou, Papalexandris and Bourantas, 2000; Kalyal, Saha and Kumar, 2008; Darrough, 2006). The author, in his 2015 study, concludes "organizational trust can develop a positive attitude and behavior of employees toward organizational change, which in return, will develop commitment to change" (MANGUNDJAYA, 2015, p. 70). Finally, organizational trust was identified as an important critical factor for organizational change and, therefore, will be discussed in the following session.

2.5.3 Trust

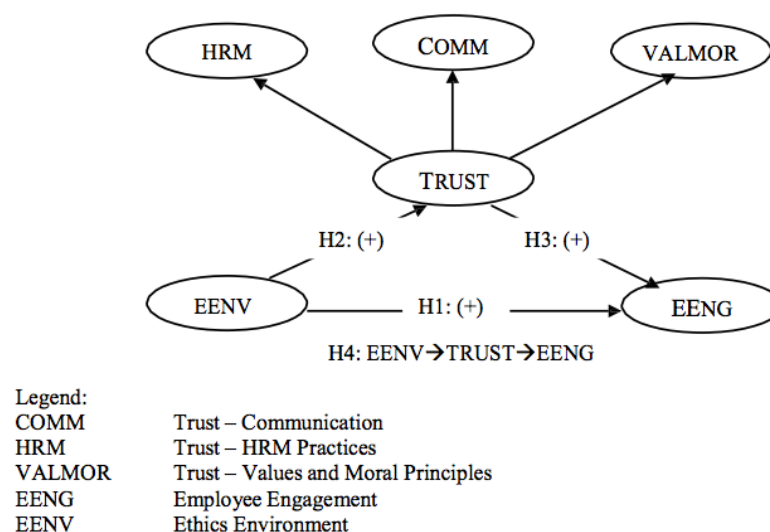
Research presents several definitions for trust. First, Mayer, Davis and Shoorman (1995, p. 712) defined trust as “the willingness of a party to be vulnerable to the actions of another party based on the expectation that the other will perform a particular action important to the trust or, irrespective of the ability to monitor or control that other party”. In turn, Cohen and Dienhart (2013, p. 1) define “trust [as] a form of strategic behavior or rational economic decision making in situations that involve risk and vulnerability”. Moreover, if we take this concept to the business environment, researcher argues, “Without trust, business as we know it is impossible” (AUDI, 2008, p. 97). It brings us to what is called organizational trust. Cummings and Bromiley (1996, p. 303) understand organizational trust “as an individual’s belief that others (individual or group) will make a good faith effort to keep commitments, be honest, and not take advantage of another”. According to McKnight and Chervany (2000), organizational trust is generally defined as the level of confidence that one individual has in another’s competence and his or her willingness to act in a fair, ethical, and predictable manner. Lastly, Kim and Mauborgne (1998) defend that organizational trust is reflected by the degree to which employees trust their organization and its leaders.

Furthermore, Schaubroeck, Peng and Hannah (2013) describe the difference between cognition-based trust and affect-based trust. For instance, cognition-based trust refers to confidence in another’s competence, reliability, and dependability in the domains that are relevant to one’s work relationship with him or her. Meanwhile affect-based trust refers to an emotional attachment to the other party that reflects confidence that each party is concerned about the other’s personal welfare. The authors, in their 2013 study, argue that “trust is seen to reduce individual’s uncertainty in relationships and thus to enhance the quality of social exchanges in ways that better enable workers to acquire information, support, and other resources” (p. 1149). Likewise, other researchers understand that trust significantly reduces the uncertainty in negotiations and consequently improves the cooperation among partners (Dirks and Ferrin, 2002; Zaheer, McEvily and Perrone, 1998; Bromiley and Commings, 1995). Conversely, it is important to recognize that trust has a dark side, and distrust can be both functional and rational in the face of untrustworthy conduct (Bachmann, Gillespie and Priem, 2015; Lewicki, McAllister and Bies, 1998; Skinner, Dietz and Weible, 2014).

In addition to that, Zucker (1986) discerns three different sources of trust: process-based trust (based on concrete past experience), characteristic-based trust (personal characteristics), and institutional-based trust (traditions, professions, certifications, licenses, etc.). In accordance to the author, the significance of institutional-based trust is increasing because the other sources of trust needs to be backed by stable institutions. Nevertheless, Bachmann (2001) studied how people operating in strong institutional environments may chose trust as a mechanism of coordination, while people operating under weak institutional environments may chose power. After all, “when the institutional environment is more uncertain, confusing and turbulent, other perspectives are needed to supplement the institutional trust perspective” (FUGLSANG AND JAGD, 2015, p. 24).

Meanwhile, Hough, Green and Plumlee (2015) did an empirical research effort to combine measures of Organizational Trust – Communication, Organizational Trust – Values and Moral Principles, Organizational Trust – Human Resource Management Practices, Employee Engagement and Ethical Environment. The theoretical model is presented below in figure 5. The authors suggest a strong connection between these concepts. After all, “trust begins where prediction ends” (LEWIS AND WEIGART, 1985, p. 966).

Figure 5. Theoretical Model with Hypotheses



Source: Hough, Green and Plumlee (2015, p. 48).

On top of that, “management research interest from the early 1980s has increasingly focused on system stability under conditions of uncertainty” (MORGAN AND ZEFFANE, 2003, p. 57). Morgan and Zeffane (2003) believe that this instrumentalist interest in trust has emerged from growing competitive pressures on organizations under conditions of globalization, de-regulation and higher consumer expectations. The authors, in their 2003 study, defend that building trust enables organizations to cope with operational flexibility and constant change.

Moreover, research says that mutual trust is best achieved through empowerment, consultation and participation; also consistently presents trust as an essential feature of change (Holoviak, 1999; Marshall, 1999; Cashman, 1998; Barrier, 1998; Khan, 1997; Andrews, 1994). “In general, trust is considered an essential interpersonal component in managing people” (MORGAN AND ZEFFANE, 2003, p. 58). From that standpoint, Zhang *et al.* (2008) explore middle management trust in organizations. The authors, in their 2008 study, state that middle managers are in a pivotal position in organizations, since they are responsible for several tasks including facilitating change. Therefore, “middle managers’ trust in the organization would be an important requisite for a well-functioning and effective organization.” (ZHANG *et al.*, 2008, p. 112). With this in mind, the role of leadership in organizational change will be explored in the following session.

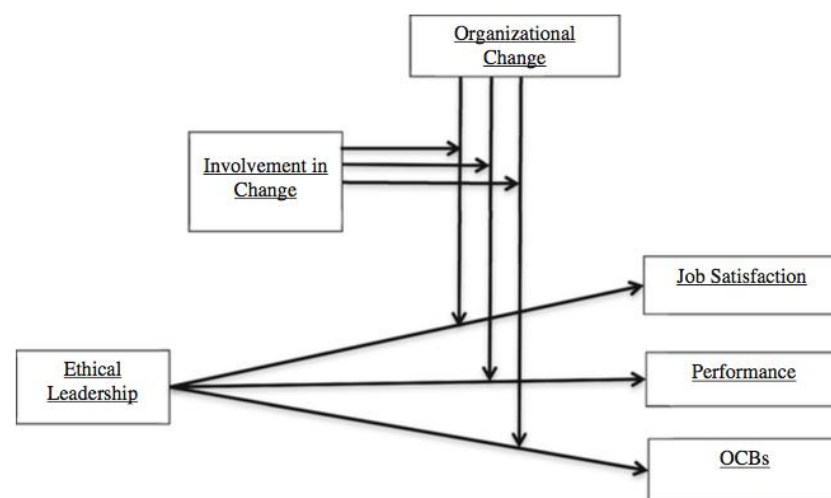
2.5.4 Leadership

Since employees tend to believe their leaders are organizational agents (Shanock and Eisenberger, 2006), the way leaders treat their employees tends to influence how employees view the organization (Shin *et al.* 2015). For this reason, the way authorities, such as work-unit leaders, treat employees has the potential to be critical in shaping employees’ behaviors and attitudes toward the organization specially under uncertain situations like organizational change (Karp and Helgo, 2008; Herold *et al.*, 2008; Lind and Van den Bos, 2002). Likewise, Gilley, McMillan and Gilley (2009) argue that leaders and managers are responsible for change strategy, implementation, and monitoring. Whelan-Berry, Gordon and Hinings (2003) say that leaders play a key role in implementing and supporting change. Viney and Rivers (2007) understand that in daily work life, effective leaders influence and lead workers toward innovative

improvements and change. Porras and Robertson (1992) defend that employees require leader's guidance regarding critical issues associated with change. Lastly, Li (2005) states that employees depend on the integrity of management during uncertain times.

Meanwhile, Sharif and Scandura (2014) explore the role of ethical leadership during change. The authors believe that "leaders who are ethical, in times of change may be more credible in the eyes of their subordinates inducing positive subordinate attitudes and behaviors" (p. 185). For this reason, Sharif and Scandura (2014) understand that change creates challenges for organizations, such as unpopular and difficult decisions that leaders need to implement. This scenario may influence employee's behaviors. But, employees tend to react in a positive way to the decision-outcomes when they feel that their manager is moral (Sharif and Scandura, 2014). The authors, in their 2013 study, propose a moderation model of involvement in change and organizational change in relation to ethical leadership that is presented below in figure 6.

Figure 6. Moderation Model

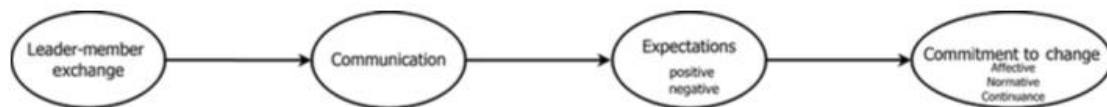


Note: OCBs refers to Organizational Citizenship Behaviors.
Source: Sharif and Scandura (2014, p. 186).

Moreover, according to Portoghese *et al.* (2012, p. 583) "It may be stated that if the organization is the context of change and employees are the engine of change, then leaders, managers and supervisors are drivers". The authors, in their 2011 study, tested a model of change-related expectations and commitment to change (illustrated in figure 7) that considers the theory of leader-member exchange (LMX). According to Van

Dam, Oreg and Schyns (2008), the quality of the relationship the leaders establish with their employees may influence the effect of leadership during the period of change. “The nature of these relationships builds an environment of reciprocity between the leader and employee” (PORTOGHESE *et al.* 2012, p. 584). Therefore, employees with more quality in LMX relationships present more readiness to cope with change initiatives.

Figure 7. Change Related Expectations and Commitment to Change



Source: Portoghese *et al.* (2012, p. 585).

Additionally, Wren and Dulewicz (2005) proposed that leadership behaviors and competences have significant relationship with success in organizational transformation. The authors, in their 2005 study, found that leadership dimensions such as, empowering followers, engaging communication and managing resources are most strongly related to successful change. Furthermore, competent leadership at the top is presented as a distinguishing factor between unsuccessful and successful organizational change (Kotter and Heskett, 1992). Likewise, Maxwell (1996) believes that a leader must encourage change and growth, lead by example in order to show the way to change. Lastly, “Leadership is the key success factor in reducing barriers, nurturing staff in an environment conducive to change and producing positive change in all types of organizations” (Mehta, Maheshwari and Sharma, 2014, p. 6).

A different aspect of the leadership role in a changing environment is presented in Van der Voet, Groeneveld and Kuipers (2014) study. The authors explore the leadership of planned and emergent change. As By (2005) once said, organizational change can come about in a planned or an emergent manner. As a matter of fact, the author understands emergent change process as an open-ended, often bottom-up, process of adaptation. While “Planned change is directed and initiated by change leaders” (VAN DER VOET, GROENEVELD AND KUIPERS, 2014, p. 174). Therefore, the change leadership role is more prominent in a planned approach to change. However, change leadership is also

necessary during emergent change processes. Rather than act as a 'hero', (Stewart and Kringas, 2003; Higgs and Rowland, 2010) or a 'prime mover', emergent change processes demand a 'sense maker' who, in turn, guides change (Weick and Quinn, 1999). All things considered, Mehta, Maheshwari and Sharma (2014) argue that the situation determines who emerges as a leader and which style of leadership one has to adopt since the approach to leadership is situational.

With this in mind, Cohen and Eimicke (1995) state that effective leadership is all about influencing employees' behavior in a specific direction. Meanwhile, Adebayo (2005, p. 112) says that "leaders influence the attitude and behavior of followers in significant ways, while followers' perception of their leaders affects personal and organizational outcomes". All in all, Adebayo (2005) examines the interaction of perceived workplace fairness and transformational leadership behavior on work motivation distinguishing transformational and transactional leadership processes (Burns, 1978). On one hand, the transformational leader creates a dynamic organizational vision that frequently needs change in cultural values to reflect greater innovations (Pawar and Eastman, 1997). On the other hand, the transactional leader disciplines or rewards the follower based on the follower's performance and effort (Bass, 1998). Finally, Adebayo (2005) argues that leaders are expected to perform using each style in some degree. From that standpoint, is important to explore the transformational leadership style in a change environment. Podsakoff, Mackenzie and Bommer (1996) determined six behaviors that characterize the transformational leader: articulate a vision, expect high performance, stimulate intellect, foster collaboration, give individualized consideration, and provide an appropriate model. After all, "the most critical issue in managing change is essentially people's issues as it is the people who bring about the changes" (Mehta, Maheshwari and Sharma, 2014, p. 4). Finally, Higgs and Rowland (2005) suggested a strong relationship between change success, leader behaviors and organizational culture. Speaking of that, organizational culture will be next discussed in this literature review.

2.5.5 Organizational Culture

First of all, culture consists of a combination of artifacts, values and beliefs, and underlying assumptions shared by organizational members (Schein, 1992; Gordon and

DiTomaso, 1992; Schwartz and Davis, 1981). The following table summarizes these three levels of culture.

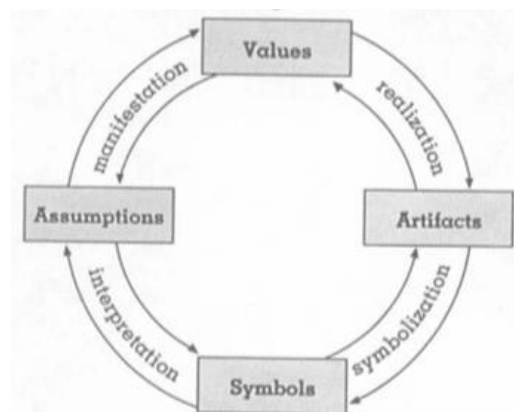
Table 2. The Three Levels of Culture

Artifacts	<ul style="list-style-type: none"> ▪ Visible and feelable structures and processes ▪ Observed Behavior
Espoused Beliefs and Values	<ul style="list-style-type: none"> ▪ Ideals, goals, values, aspirations ▪ Ideologies ▪ Rationalizations
Basic Underlying Assumptions	<ul style="list-style-type: none"> ▪ Unconscious, taken-from-granted beliefs and values

Source: Adapted from Schein (2010, p. 24).

On one hand, Parker and Lorenzini (1993) reinforce Schein's three levels of culture. The authors, in their 1993 study, draw a parallel of the culture levels with a plant, where the leaves and flowers represent the behaviors (easily observable dimension); the roots represent the intrinsic values of the organization's culture, "they give a sense of grounding to people's actions, and help to feed the visible parts at the same time" (PARKER AND LORENZINI, 1993, p. 34); and the weed's environment (soil, air, rain and sun) represents the core assumptions of organization's members, "they are the building blocks that drive all values and behaviors" (PARKER AND LORENZINI, 1993, p. 34). On the other hand, Hatch (1993) suggests that there are gaps in Schein's model regarding the appreciation of organizational culture as symbols and processes. The author, in his 1993 study, proposes a new model that articulates the processes of manifestation, realization, symbolization and interpretation. This new model is called cultural dynamics and its framework is shown in figure 8.

Figure 8. The Cultural Dynamics Model



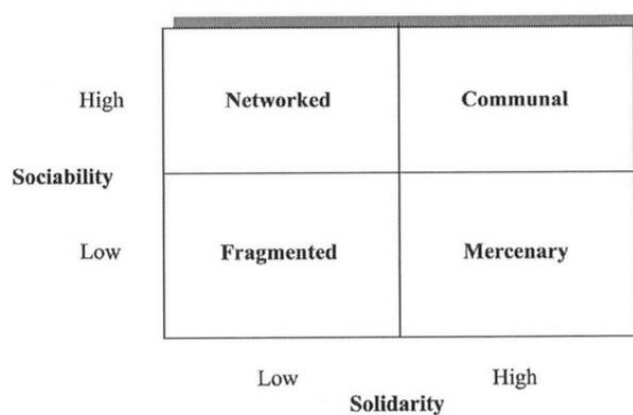
Source: Hatch (1993, p. 660).

In addition to that, Hampton-Farmer (2015) defends that values, assumptions and practices fuel organizational practices. The author states that organizational members adhere to norms that reflect the values. He also says that these norms, produced in a social context, become expected and influence organizational members' interaction and "the outcome is a process that is followed regardless of the consequences or rewards" (HAMPTON-FARMER, 2015, p. 133). Corporate culture is an "ordering characteristic that is reflected in the employees' attributes and understanding, policies and practices implemented, and is frequently described as a deep, less conscious set of meanings about the context of work in organization" (SARAN, SERVIERE AND KALLINY, 2009, p. 12). Moreover, Hofstede *et al.* (1990) assert that culture exists at various levels, involves beliefs and behaviors, and manifests in a wide range of organizational life features. By the same token, organizational culture refers to a series of practices, assumptions, beliefs, and values that guide and shape members' behaviors and attitudes in the organization (Kotter and Heskett, 1992). Furthermore, Schein (2010) understands that social and organizational situations derived from culture create powerful forces. Actually, these forces are considered powerful because they operate outside organizational members' awareness. In fact, "culture is indeed a powerful set of forces that determine human behavior" (AIMAN-SMITH, 2004, p. 1). Lastly, Hilal, Wetzel and Ferreira (2009) state that culture strongly influences the employees' reaction to change in an organization. Therefore, "the identification of the organizational values and practices is a key strategy for cultural management" (HILAL, WETZEL AND FERREIRA, 2009, p. 1).

Researchers explore different relationships of corporate culture with other organizational elements such as: strategy (Schwartz and Davis, 1981; Choe, 1993); performance (Denison and Mishra, 1995; Kotter and Heskett, 1992; Peters and Watersman, 1982); market orientation (Despande and Farley, 1999); industry (Hofstede *et al.* 1990; Christensen and Gordon, 1999); and cultural change (Silvester and Anderson, 1999; Ogbonna and Harris, 1998). Meanwhile, few authors suggest that organizational culture plays an important role in organizational change (Pool, 2000; Silvester and Anderson, 1999; Ahmed, 1998; Lorenzo, 1998). For instance, Chiloane-Tsoka (2013) and Rachid, Sambasivan and Rahman (2003) explored the influence of

corporate culture on organizational change. While Chiloane-Tsoka (2013) studied the first national bank of Namibia, Rachid, Sambasivan and Rahman (2003) studied 258 companies listed in the Federations of Malaysian Manufacturing directory. Regardless the different research contexts, both studies arrived to similar conclusions. Both findings showed that there is a relationship between corporate culture and organizational change. They also found that different types of organizational culture have different levels of perception toward organizational change. “This means that certain types of organizational culture could not accept change, while other types of culture could facilitate the acceptability of change” (RACHID, SAMBASIVAN AND RAHMAN, 2003, p. 1). For instance, Goffee and Jones (1998) categorize organizational culture into four main types (Figure 9) based on two dimensions: sociability and solidarity. On one hand, sociability is the friendliness in relationships between people in an organization. On the other hand, solidarity is the ability to pursue shared goals efficiently and effectively for the larger good of the organization. The authors argue that people in high-sociability and/or high-solidarity organizations are more prone to accept change. The four types of organizational culture are: communal (typical of new, small, fast-growing companies), fragmented (rudderless and ungovernable), networked (social gatherings outside the workplace), and mercenary (focused on strategy and winning in the marketplace).

Figure 9. Corporate Culture Framework

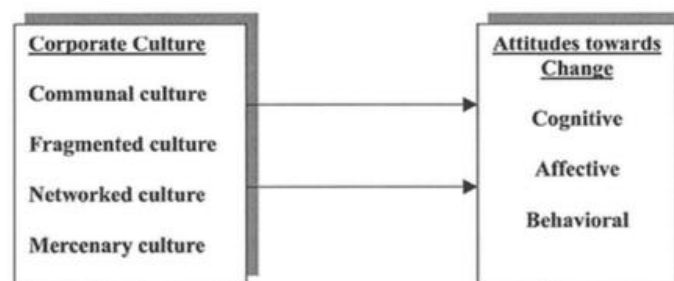


Source: By Rachid, Sambasivan and Rahman (2003, p. 165) adapted from Goffee and Jones (1998).

On top of that, Rachid, Sambasivan and Rahman (2003) developed a theoretical model in order to provide a comprehensive approach in understanding the attitudes toward

organizational change. The authors correlate, in this 2003 model, the types of corporate culture from Goffee and Jones (1998) study and the types of attitudes toward change from Dunham *et al.* (1989). The types of corporate culture are: communal culture (typical new, small, fast-growing companies); fragmented culture (dysfunctional, rudderless and ungovernable); networked culture (“water-cooler” conversations, social gatherings outside workplace); and mercenary culture (focused on strategy and winning in the marketplace, clear priorities). While the types of attitudes toward change are: cognitive (information and beliefs), affective (feelings and emotions), and behavioral (intentions and behaviors). This parallel is illustrated in figure 10.

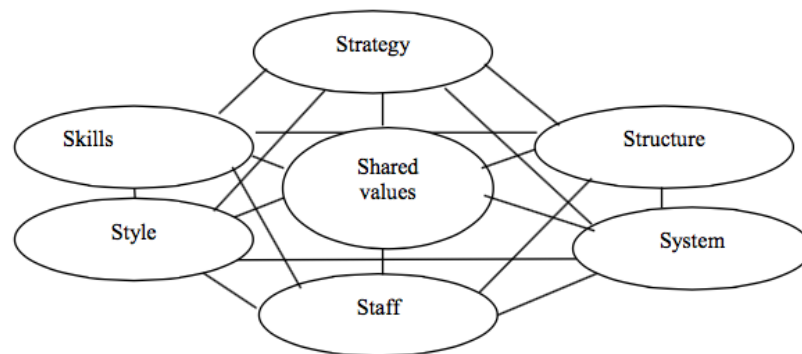
Figure 10. Theoretical Model



Source: Rachid, Sambasivan and Rahman (2003, p. 167).

Finally, Lynch (2000) presented in his study the McKinsey’s model of seven interdependent elements (Figure 11). The author suggests that any modification in one of the seven elements will impact on the others. Therefore, all elements should be aligned in order to succeed in the change management process. It is possible to observe that the element ‘shared values’ (a substantial part of organization culture, as discussed above) is in the center of McKinsey’s model. From that standpoint, it reinforces close relationship of culture and organizational change.

Figure 11. McKinsey 7-S Model



Source: Lynch (2000, p. 68).

2.5.6 Feedback

Kurt Lewin says that re-education is a “process in which changes of knowledge and beliefs, changes of values and standards, changes of emotional attachments and needs, and changes of everyday conduct occur not piecemeal and independently of each other, but within the framework of individual’s total life in the group” (LEWIN, 1945, p. 55). The author, in his 1945 study, compares the process of re-education with the process of a change in culture. He also states that a person going through the re-education process acquires the system of values which later will govern the individual’s thinking and conduct. On top of that, Schein (1996) argues that organizations change as members learn, and learning affects the way they change. Moreover, Schein (1985) understands that when members in an organization repeatedly adapt to new situations, they remain in a state of readiness and start to expect change. All in all, Bandura, Adams and Beyer (1977) concluded that individuals engaged in learning adapt faster to change and also become change agents. Therefore, learning organizations, organizations where members value education and training, are more likely to adapt quickly and embrace change (Hampton-Farmer, 2015).

With this in mind, Kritek (2015) defends that “providing feedback is an essential part of training”. In addition to that, Touron and Hertzog (2014) explored the influence of performance in strategic-skill acquisition tasks. The authors, in their 2014 study, found that performance feedback appears to be critical to the development of an accurate mental model of strategy-shift tasks. As a matter of fact, the authors highlight that “it

has been demonstrated that feedback benefits performance in various task domains” (TOURON AND HERTZOG, 2014, p. 334). From that standpoint, Shute (2008) provides a list of guidelines to enhance learning. According to the author, feedback should promote a specific learning goal, may prevent or correct errors and misconceptions, and should be given in response to a problem or task. By the same token, Hattie and Timperley (2007) argue that feedback should focus on task, self-regulation and process in order to be effective and impact on learning and achievement.

Moreover, Ford, Ford and D’Amelio (2008) argue that change agents can use resistance, which will be further discussed in this literature review, as feedback on recipient engagement “by listening keenly to comments, complaints, and criticisms for cues to adjust the pace, scope, or sequencing of change and/or/ its implementation” (FORD, FORD And D’AMELIO, 2008, p. 369). In turn, Hysong, Best and Pugh (2006) determined four components of feedback interventions that were usual in high performance scenarios: lack of punitiveness, individualization, timeless and customizability. Likewise, Kritek (2015, p. 559) suggests several qualities of effective feedback: specific, focused on behaviors, timely, honest, balanced, linked to learner’s goals, nonjudgmental, and identified as “feedback”.

In contrast, Anderson *et al.* (1995) argue that feedback may not improve long-term retention even when fostering initial learning. Aside from that, Hays, Kornell and Bjork (2010) show that since learners who skipped offered feedback occasionally performed more accurately and saved time, feedback can once in a while not be necessary and also costly. However, “real transformation takes time” (KOTTER, 2007, p. 7). According to Kotter (2007), short-term wins give a feedback of the renewal process and boost the change credibility. The author also state that the commitment to create short-term wins foster a high urgency level, relevant for the change effort. Therefore, “Without short-term wins, too many people give up or actively join the ranks of those people who have been resisting change” (KOTTER, 2007, p. 7).

2.6 Resistance to Change

Lewin’s pioneering study of group dynamics suggests how change works (Dent and Goldberg, 1999). The author introduces the concept of resistance to change when he

mentions, “the conditions of group life and the forces which bring about change or which resist to change should be investigated. The term ‘dynamics’ refers to those forces” (LEWIN, 1945, p. 130). The author argues that some difference in the forces – a weakening of the barriers or a strengthening of the driving forces – was necessary in order to produce the unfreezing that triggers a change. Lewin states “Change and constancy are relative concepts; group life is never without change, merely differences in the amount and type of change exist” (LEWIN, 1947, p. 13), and “the practical tasks of social management, as well as the scientific task of understanding the dynamics of group life, requires insight into the desire for and resistance to specific change” (LEWIN, 1947, p. 14). Finally, Lewin understands resistance to change as a systems’ phenomenon, not a psychological one (Dent and Goldberg, 1999).

Several researchers suggest a definition for the term ‘resistance to change’. Zaltman and Duncan (1977) say, “We define resistance here as any conduct that serves to maintain the status quo in the face of pressure to alter the status quo” (ZALTMAN AND DUNCAN, 1977, p. 63). Coghlan (1993) understands resistance as “a label generally applied by managers and consultants to the perceived behavior of organization members who seem unwilling to accept or help implement an organizational change” (COGHLAN, 1993, p. 10). Brown and Harvey (2005) understand resistance to change as a “reaction to the methods used in implementing a change rather than as inherent human characteristic” (BROWN AND HARVEY, 2005, p. 171). In contrast, according to Chiloane-Tsoka (2013), resistance to change refers to a natural response to anything that threatens peoples comfort zone in a significant way.

Meanwhile, Michalak (2010) refers to resistance as “an inevitable consequence of organizational change initiatives, and listed among the most crucial inertial forces against any transformation” (MICHALAK, 2010, p. 26). Kotter and Schlesinger (2008) and Saran, Serviere and Kalliny (2009) support the idea that people have a low tolerance for change due to fear of the unknown. In turn, Agócs (1997) discusses what she calls institutionalized resistance to organizational change. The author, in her 1997 study, defines institutionalized resistance as a pattern of organizational behavior that decision makers in organizations employ to actively refuse to implement, deny, repress, reject or even dismantle change initiatives and proposals. Aside from that, Agócs (1997) highlights that disagreement, debate and criticism do not take part on resistance.

Instead, “rigorous critique intended to produce better understanding and solutions is a valuable contribution to analysis and action toward change in organizations” (AGÓCS, 1997, p. 918). Meanwhile, Nevis (1987) states that the first step to deal with resistance is to consider it as a self-regulating and healthy manifestation, which must be taken seriously and respected by managers.

Furthermore, Watson (1969) describes resistance as “all forces that contribute to stability in personality or in social systems” (WATSON, 1969, p. 488). The author, in his 1969 study, lists nine sources of resistance that are related to personality: homeostasis; habit; primacy; selective perception and retention; dependence; illusion of impotence; superego; self-distrust; and insecurity and regression. In addition to that, Kotter and Schlesinger (1979) list common sources of resistance to change that appear to exist in both the personality and the environment. Among them are, different assessments of what change is necessary; misunderstanding and lack of trust; low tolerance to change; and parochial self-interest. By the same token, Tichy (1983) defends that organizations and individuals resist changing for different reasons. Inertia, sunk cost, scarce resources, threats to the power base of old dominant coalitions, values and beliefs, conformity to norms, and inability to perceive alternatives are reasons for organizations’ resistance to change. Habit and inertia, fear of the unknown, absence of the skills needed after change, and fear of losing power are reasons for individuals’ resistance to change (TICHY, 1983, pp. 344-360). In fact, Lawrence (1954) argues that change has both a social and technical dimension. The author also points that there are two main sources of resistance to change: staff specialist does not pay attention to social aspects and does not recognize employees’ knowledge. Lastly, Powell and Posner (1978) list several forces of resistance to change in both individual and organizational levels (Table 3).

Table 3. Forces of Resistance to Change

Individual Forces
• Fear of the unknown
• Feelings of failure and frustration, low levels of aspiration
• Threat of change in social relations
• Threat of change to status
• Threat of change to pride in proficiency at existing job

<ul style="list-style-type: none"> • Homeostasis, habit, primacy of early coping experiences, selective perception and retention, parents' value systems, superego
Group and Organizational Forces
<ul style="list-style-type: none"> • Group-enforced production ceilings
<ul style="list-style-type: none"> • Change process: nature of change not made clear, different people seeing different meanings, pressure to make change, change made on personal rather than impersonal grounds, institutions in group ignored, strong forces for and against
<ul style="list-style-type: none"> • Opposition to particular change objectives, actual inability to change, desire to preserve existing satisfactions, problems in the client-change agent relationship, too much time spent in diagnosing need for change
<ul style="list-style-type: none"> • Alienation of expert planners from "planned for"
<ul style="list-style-type: none"> • Systems norms, need for systemic and cultural coherence, vested interests, sacrosanct activities, rejection of outsiders

Source: Powell and Posner (1978, p. 31).

From that standpoint, Agócs (1997) suggests a typology of forms of resistance that describes the hierarchy of stages from the point of view of change advocates who deal with resistance. The sequence is: "(1) denial of the legitimacy of the case for change, (2) refusal to recognize responsibility to address the change issue, (3) refusal to implement a change initiative that has been adopted by the organization, and (4) the reversal or dismantling of a change initiative once implementation has begun" (AGÓCS, 1997, p. 920). By the same token, some researchers understand that resistance behaviors exist across a spectrum: from being passively uncooperative to engaging in physically destructive behavior (Marakas and Hornik, 1996); from lack of cooperation to sabotage (Carnall, 1986); from apathy to aggressive resistance (Coetsee, 1999). The taxonomy proposed by Coetsee (1999) has four levels of resistance behaviors: apathy (lack of interest, distance, and inaction); passive resistance (withdrawal, persistence of former behavior, excuses, and delay tactics); active resistance (forming coalitions, voicing opposite points of view, and asking others to intervene); and aggressive resistance (sabotage, strikes, infighting, boycotts, and making threats). All things considered, Lapointe and Rivard (2005) explored the resistance to information technology implementation. The authors, in their 2005 study, suggest a multi-level approach with a longitudinal perspective because they believe the temporal scope plays an important role on group resistance to change. It means that as time passes, resistance to change may evolve in favor or not of the proposed change.

Nevertheless, Dent and Goldberg (1999) examine the history of the term 'resistance to change'. The authors argue that, in their five management books sample (Aldag and Stearns, 1991; Dubrin and Ireland, 1993; Griffin, 1993; Kreitner, 1992; Schermerhorn, 1989), resistance is treated as a psychological concept. In other words, resistance or support of change is seen as within the individual. Dent and Goldberg (1999) make a parallel between those books and find that there is great similarity in the descriptions of strategies to overcome resistance to change and the causes for it. Most of the books present an idea that "employees can be manipulated, both by withholding information so they will not worry prematurely and by implying future benefits such as promotions or raises if they go along with the change" (DENT AND GOLDBERG, 1999, p. 28).

Looking through a different perspective, researchers challenge the idea that there is necessarily resistance to change and that managers must overcome it. These authors bring to readers' attention a possible bias of change agents (Dent and Goldberg, 1999; Powell and Posner, 1978; Coghlan, 1993; Beer, Eisenstat and Spector, 1990; Kanter, Stein and Jick, 1992). Some state, "most change programs do not work because they are guided by a theory of change that is fundamentally flawed" (BEER, EISENSTAT AND SPECTOR, 1990, p.159), and others argue, "The belief in inherent resistance to change is the fundamental flaw of these change efforts" (DENT AND GOLDBERG, 1999, p. 27). Likewise, Powell and Posner (1978) talk about a self-fulfilling prophecy. It means that if change agents expect employees to resist to change, these expectations are apt to generate exactly what is expected. In the same way, Lovallo and Kahneman (2003) believe that decision makers have a bias toward optimism, and Kanter, Stein and Jick (1992) state that if change agents embrace a change process expecting resistance, they are likely to find it. For instance, Ford, Ford and D'Amelio (2008) state, "change agent optimism may be genuine and not intended to be either deceptive or misleading. As a result of their optimism, agents may oversell the positive and undersell the negative" (FORD, FORD AND D'AMELIO, 2008, p. 367). Lastly, Coghlan (1993) mentions, "As managers propagate and build systems to maintain these defensive routines, the propensity to resist to change is increased" (COGHLAN, 1993, p. 11). The author also lists seven 'resistance to change' characteristics (Table 4) that he believes summarize the literature.

Table 4. Resistance to Change Characteristics

(1)	Resistance is a natural phenomenon; it is an essential element in understanding any change process.
(2)	Resistance to change has its origins in both the personality and the individual's interaction with the environment.
(3)	Resistance is not passive, but is rather a dynamic energy.
(4)	Resistance has both a cognitive and an emotional element.
(5)	There are differing degrees of acceptance of change and resistance to it – from enthusiastic acceptance and co-operation through passive resignation, indifference, apathy, passive resistance to active and open opposition.
(6)	Resistance is viewed generally from the perspective of those promoting change and there is need to understand resistance from the defenders' position.
(7)	Resistance should be taken seriously, by being listened to, understood and acted on; it is an occasion for the change agents to look again at the change project and review omissions or errors and modify it in the light of feedback.

Source: Adapted from Coghlan (1993, p. 11).

With this in mind, for Rogers (in Kirschenbaum and Henderson, 1990, p. 135) there are three necessary conditions to initiate a constructive change: congruence (genuineness, realness); unconditional positive regard (acceptance, caring, prizing); and empathic understanding (quality of presence and listening). Moreover, Coghlan (1993) presents a person-centered approach to deal with resistance to change. This approach “places great emphasis on setting facilitative climate whereby the client experiences non-judgmental listening and empathy” from the change agent (COGHAN, 1993, p. 12). The author argues that the change may be seen from a narrow perspective or misunderstood. In other words, the client may interpret change in self-destructive terms, which may be true or a distortion. In addition to that, researchers present prescriptions to deal with resistance to change: resist, create allies, make the case for change, make effective use of existing resources, mobilize politically, build new parallel organizations (Agócs, 1997); broaden staff interests, use understandable terms, take a new look at resistance, develop new job definitions, revise the role of the administrator (Lawrence, 1954); provide opportunities for participation, pick the right time to engage overcoming strategies, two-way communication, don't impose change, make changes nonthreatening and consistent with employees' self-image (Flower, 1962).

Finally, Dent and Goldberg (1999) suggest that the idea of resistance has become a received truth, accepted without question. From that standpoint, the authors argue that

a received truth, that doesn't represent reality, causes frustrations in managers due to their change-effort failures. The authors also state that the strategies usually suggested for overcoming resistance to change are offered regardless of the change intended. However, they believe that making changes effectively in organizations require targeted, specific action. For example, if the change causes loss of status to some employees, the responsible field must develop specific strategies to deal with this specific issue. "Labeling these difficult problems as resistance to change only impedes the change efforts" (DENT AND GOLDBERG, 1999, p. 40). It is possible to say that, in general, the current literature suggests that more attention should be given to the complexity of individual responses to change (Oreg, 2006; Lines, 2005; Herscovitch and Meyer, 2002; Piderit, 2000; Dent and Goldberg, 1999).

2.6.1 Organizational Justice

Several researchers suggest that resistance may be the result of broken agreements and perceived injustice (Kotter and Schlesinger, 1979; O'Toole, 1995; Caruth, Middlebrook and Rachel, 1985). On one hand, Cobb, Folger and Wooten (1995) mention that people develop attitudes and behaviors associated with successful change when they see themselves as being or having been treated fairly. On the other hand, Folger and Skarlicki (1999) argue that people report resentment, a sense of being done to, and a desire for retribution when they experience injustice or betrayal. In turn, Shapiro and Kirkman (1999) understand that feelings of injustice can result in negative behaviors such as less cooperation, lower productivity, lower work quality or even stealing. On top of that, some researchers believe that in extreme cases, people may engage in more aggressive or violent behaviors such as engage in sabotage, seek revenge or retaliation (Tripp and Bies, 1997; Benisom, 1994; Robinson and Bennett, 1997), with the belief that those actions balance a perceived injustice and therefore are justifiable (Ford, Ford and D'Amelio, 2008). All in all, Saruhan (2014) defend that fair treatment is important to people and is a major determinant in their reactions to decisions.

Moreover, Kilbourne, O'Leary-Kelly and Williams (1996) and Cobb, Folger and Wooten (1995) identified, in their studies, the importance of organizational justice through the process of change. First, Kilbourne, O'Leary-Kelly and Williams (1996)

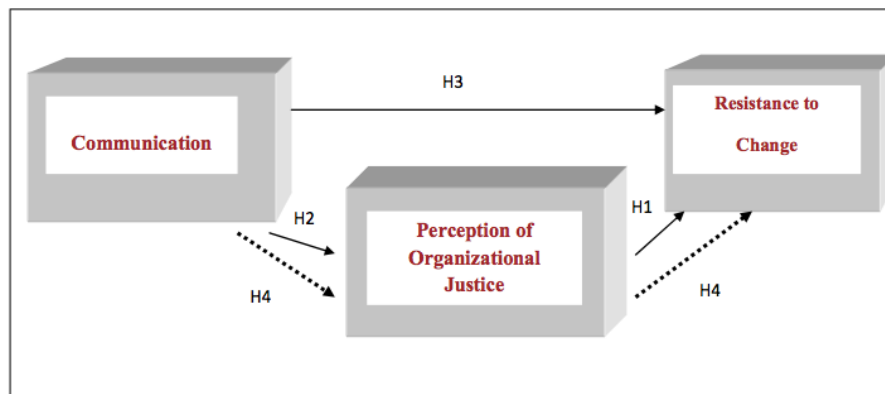
conclude that participation in decision making and the amount of information shared by employees contribute to employee perception of organizational justice. Second, Cobb, Folger and Wooten (1995) conclude that positive perception of justice during the change process results in willingness to accept change, trust and commitment. In other words, employees are likely to develop attitudes and behaviors conducive to successful implementation of change when they perceive that they are being treated fairly. Employees are also more prone to develop positive behaviors toward change, such as organizational support (Wayne *et al.*, 2002), organizational citizenship (Moorman, 1991), and organizational commitment (Bernerth *et al.*, 2007). Meanwhile, Foster (2010) analyzes the relationships between justice, commitment and resistance. In contrast with the majority of literature on the subjects, the author, in his 2010 study, finds that justice or commitment is not significantly related to resistance to change. Therefore, Foster (2010) argues that conventional perspectives of resistance to change do not help change implementation efforts.

However, Saruhan (2014) indicates that several change efforts fail because change agents underestimate the relevance of predicting and understanding employee reactions along the process of organizational change. By the same token, Konovsky and Folger (1991) argue that employees are more likely to adjust to change efforts when they believe that their organizations are fair. For instance, Saruhan (2014) suggests the main antecedents of change reaction and perception of justice is among them. The author argues that it is common to relocate organizational resources during the change process and that the way resources are distributed in the workplace impacts the perception of organizational justice. When resources are fairly distributed and not focused on a group or individual specific interests, the organization's effectiveness is higher (Deutsch, 1985) and employees will behave more favorably and open to organizational changes (Cobb, Folger and Wooten, 1995; Daly and Geyer, 1994; Tyler and Lind, 1992).

Furthermore, Saruhan (2014) breaks down the concept of perception of organizational justice into distributive (fairness in compensation, rewards and responsibilities distribution), procedural (fairness in organizational policies and procedures), and interactional justice (fairness and quality of treatment received by people during procedures implementation). According to Colquitt *et al.* (2001), interactional justice consists of two different constructs: interpersonal justice (social interaction) and

informational justice (explanations about reasons for procedures usage and outcomes distribution). The author's first hypothesis, in her 2014 study is that "Perception of organizational justice will be negatively related to employee's resistance to change" (SARUHAN, 2014, p. 148). The author's research model also shows a relationship of perception of justice and resistance to change with communication, as already mentioned in this literature review. Her theoretical framework is represented in figure 12.

Figure 12. Research Model



Source: Saruhan (2014, p. 150).

In summary, accurate communication spread in the organization improves employee's perception of justice. Thus, "perception of justice in organizations will establish trustworthiness toward management that creates less resistance to organizational change process" (SARUHAN, 2014, p. 150). In fact, justice is also a fundamental issue in the relationship between management and employees (Fryxell and Gordon, 1989). In addition to that, Georgalis *et al.* (2015) explore the role of employee perception of justice during the change process. The authors analyze justice as a mediator between Leader-Member Exchange (LMX), participation and information with resistance to change. For instance, LMX represents the social exchange between an employee and his/her supervisor. Georgalis *et al.* (2015) conclude that "procedural and informational justice mediated the relationship between participation and resistance, while all three perceptions of justice (procedural, interpersonal and informational) mediated the relationship between information and resistance change" (GEORGALIS *et al.*, 2015, p. 109). Finally, acceptance of change, satisfaction with change, openness to change and

cooperation with change usually achieve higher levels when there is a sense of justice (Ford, Ford and D'Amelio, 2008; Piderit, 2000; Dent and Goldberg, 1999).

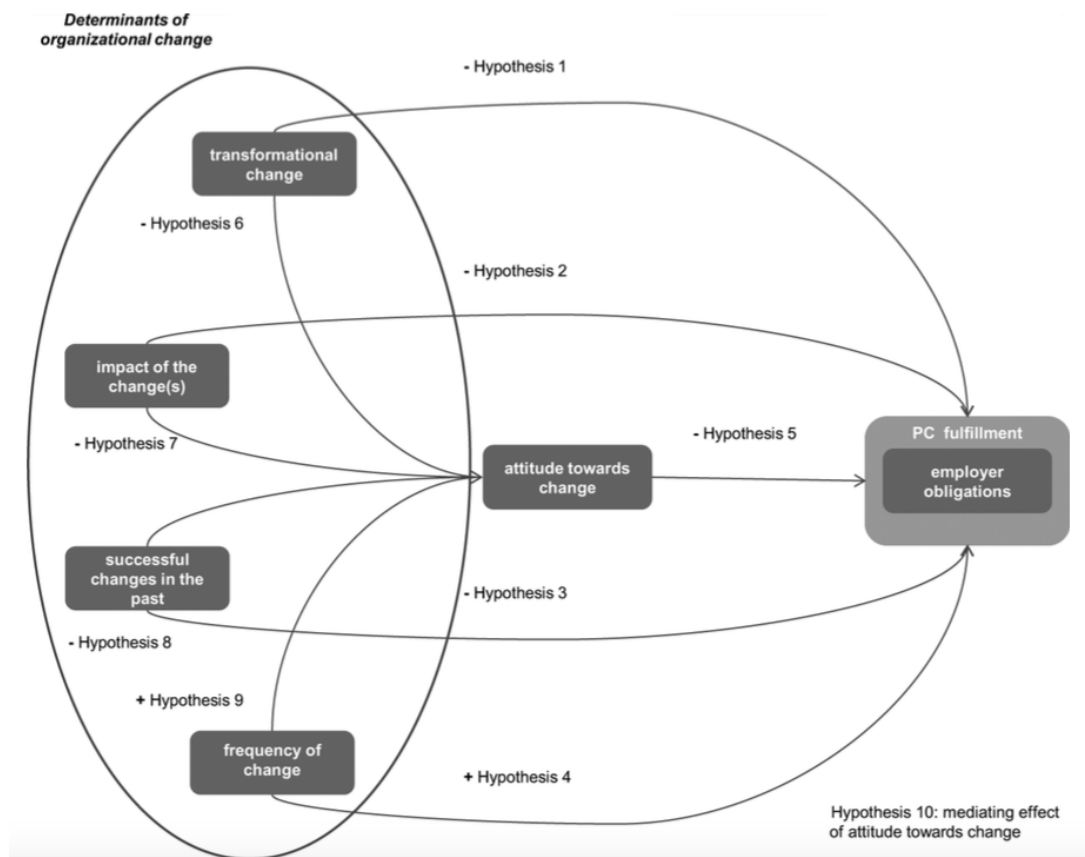
2.6.2 Psychological Contract

The psychological contract consists in “The individual’s beliefs about mutual obligations, in the context of the relationship between employer and employee” (ROUSSEAU, 1990, p. 391). Research shows two main ways of studying psychological contract: content-oriented approach and evaluations-oriented approach (Van Der Smissen, Schalk and Freese, 2013). On one hand, content-oriented approach assesses specific terms of the contract (Guest, 2004). On the other hand, evaluations-oriented approach measures the degree of contract fulfillment (Morrison and Robinson, 1997). According to Van Der Smissen, Schalk and Freese (2013), psychological fulfillment is a more relevant indicator for the employment relationship quality, due to its relationship with employee performance, job satisfaction and organizational citizenship behaviors.

Several researchers notice a strong correlation between violation of psychological contracts and organizational change (Freese, 2007; Freese, Schalk and Croon, 2008; Ford, Ford and D'Amelio, 2008; Pate, Martin and Staines, 2000; Turnley and Feldman, 1998; Ghoshal and Bartlett, 2000; Beaumont and Harris, 2002). For instance, Ford, Ford and D'Amelio (2008) suggest that there is a higher probability of having broken and replaced agreements in cases of transformational change. In turn, Freese, Schalk and Croon (2008) conclude that not only there is an increase in violation of psychological contracts in times of organizational transformations, but also that organizational change impacts the perceived organizational unwritten obligations fulfillment. Similarly, researchers find that outsourcing, downsizing and other similar programs generate perceptions in employees that the organization is not being able to fulfill its unwritten obligations to employees (Ghoshal and Barlett, 2000; Beaumont and Harris, 2002). Finally, Van Der Smissen, Schalk and Freese (2013) explore how change influences the perceived fulfillment of obligations. The authors develop a conceptual model with several hypotheses. In summary, it shows determinants of organizational change (type of change, impact of the change, change history, and frequency of change) influencing the employees' attitudes toward change, which in

turn, influences the psychological contract fulfillment (employer obligations). The conceptual model framework is represented in figure 13.

Figure 13. Conceptual Model and Hypotheses



Source: Van Der Smissen, Schalk and Freese (2013, p. 1078).

Furthermore, Ford, Ford and D'Amelio (2008) conclude that change agents are less likely to encounter resistance when they put an effort to restore trust and repair damaged relationships both during and before change than agents who do not. As a matter of fact, "victims of broken agreements are willing to reconcile and repair relationships if the offender offers a sincere, formal, and timely apology that clearly admits personal culpability" (FORD, FORD AND D'AMELIO, 2008, p. 365). In addition to that, one reason change agents may label recipient actions as resistance is because they feel the actions constitute a failure by recipients to honor and fulfill their psychological contract (Morrison and Robinson, 1997). All in all, whenever organization change agents knowingly or unknowingly fail to honor an expected pattern of cooperation or a

promise, there is a breach of expectations in the psychological contract (Rousseau, 1989; Axelrod, 1984; Morrison and Robinson, 1997).

Meanwhile, Tomprou, Nikolaou and Vakola (2012) explore the antecedents of psychological contract breach and violation. The authors make a reference to Morrison and Robinson's (1997) two main conditions to provoke the contract violation. The conditions are renegeing, when the employing organization's agent(s) consciously breaks a promise; and incongruence, when the two parties have divergent understandings about the promise. The authors highlight that renegeing and incongruence can only lead to contract violation if the 'focal person' is vigilant to the psychological contract terms fulfillment. In order to achieve high levels of vigilance, there are three conditions that must be given attention to: uncertainty, trust and perceived cost of discovering the unmet promise (Tomprou, Nikolaou and Vakola, 2012). With this in mind, the authors assume that "past experiences of organizational change may create uncertainty, causing employees to become more vigilant about the fulfillment of their psychological contract" (TOMPROU, NIKOLAOU AND VAKOLA, 2012, p. 388). By the same token, Wanous, Reichers and Austin (2000) and Bouckennooghe and Devos (2007) mention the importance of the change history. For instance, change history refers to "the extent to which an employee perceives that past changes were successful" (VAN DER SMISSEN, SCHALK AND FREESE, 2013, p. 1073). Lastly, Davenport (1999) mentions an emotional or intellectual bond linking the individual to the organization. The author contends that such bond enables commitment and a discretionary effort with the organization.

All things considered, Odagiu (2013) argues that management must demonstrate its support to the employees and respect to psychological contract when major change occurs. After all, communication, compensation, rewards, career opportunities, job security, social atmosphere in the workplace, and HR practices are some of the unwritten obligations that are challenged during times of change (Pate, Martin and Staines, 2000; Turnley and Feldman, 1998). In brief, these expected unwritten obligations must be fulfilled in order not to violate the psychological contracts, especially when trust and credibility are weak.

2.7 Human Resources as a Change Agent

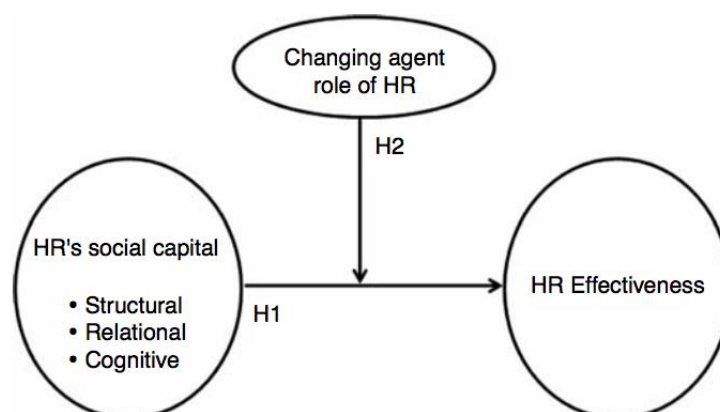
The aspect of organizational change, which is of interest here, is the role of the human resources (HR) function in managing change programs, which is situated within debates around organizational change agency in general (Alfes, Truss and Gill, 2010). Several researchers suggest an increasingly important feature of HR's contribution is in the management of change (Burke, Church and Waclawski, 1993; Burke, 1997; Ulrich, 1997; Hope-Hailey, 2001; Ogilvie and Stork, 2003; Antila, 2006). Ulrich (1997) defends that HR departments should become “an agent of continuous transformation” and build the organization's capacity for change, as well as be strategic partners, administrative experts and employee champions. However, several theorists agree that the HR role of change maker is, in general, constrained and reactive (Storey, 1992; Siegal *et al.*, 1996; Hope-Hailey *et al.*, 1997; Ogilvie and Stork, 2003; Antila, 2006; Kibicek, 2006).

While Dooreward and Benschop (2002) suggest that HR's contribution should be viewed from a process-relational perspective sensitive to emotional sub-routines of organizational change process, Alfes, Truss and Gill (2010) explore two different typologies to manage change: process-oriented view and content-oriented perspective. On one hand, process-oriented view analyzes the different stages of a change initiative (Hayes, 2006). According to Hayes (2006), recognizing change as a process with feedback loops and critical stages is crucial for effective change management. The author also suggests six key steps for the change process: recognition of the need for change; start of the change process; diagnosis; preparing and planning for implementation; implementation; and review. On the other hand, content-oriented perspective focuses on seven different domains of human resource management practice in order to support change (Thornhill *et al.*, 2000). Those domains are: cultural change, recruiting, performance management, human resource development, reward management program, management of employee relations and downsizing. All things considered, “both typologies give valuable insights into the tasks which the HR function might accomplish during a change process” (ALFES, TRUSS AND GILL, 2010, p. 114).

Furthermore, Kim and Ryu (2011) argue that when HR professionals maintain a trust-based relationship with managers of other departments, the HR departments are likely

to function better because there are more opportunities for the HR managers to create a strong HR climate. From that standpoint, the authors conclude that social capital of HR departments can positively affect their effectiveness. Moreover, the positive impact of the HR department's social capital on its effectiveness is stronger when the department is involved in the organizational change initiatives. For instance, "social capital refers to the assets embedded in the relationships between individuals, groups, and organizations" (KIM AND RYU, 2011, p. 1638). On top of that, researchers state that social capital facilitates information flow, enhances social influence, and creates a sense of solidarity within the organization (Adler and Kwon, 2002; Nahapiet and Ghoshal, 1998; Sandefur and Laumann, 1998). In turn, there are the three benefits of social capital by Sandefur and Laumann (1998) and the three dimensions of social capital by Nahapiet and Ghoshal (1998). While the benefits are: distinctiveness (degree in which HR's capture the employee's attention); consistency (reliable implementation of HR practices in different contexts and moments in time); and consensus (agreeableness of the message among organizational members); the dimensions are: structural embeddedness (impersonal patterns of connections within a firm); relational embeddedness (personal relationships among employees historically developed); and cognitive dimension (shared mental models and common languages). Kim and Ryu (2011) draw a conceptual model that correlate HR's social capital, HR Effectiveness and the change agent role of HR (Figure 14).

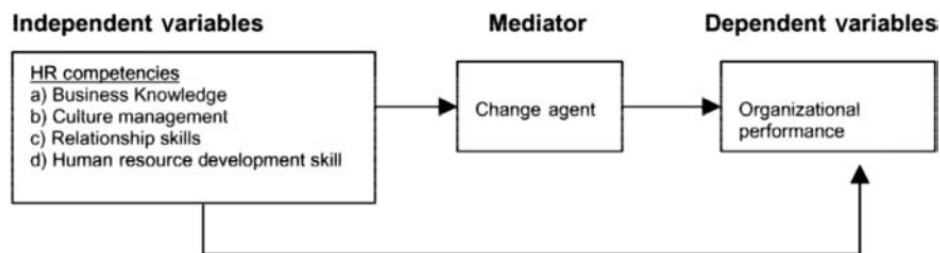
Figure 14. A Conceptual Model



Source: Kim and Ryu (2011, p. 1639).

Similarly, Long, Ismail and Amin (2013) argue that all HR competencies are related to the change agent; that the role of change agent is related to organizational performance; and that the role of change agent mediates the relationship between HR competencies and organizational performance. The authors' research conceptual framework that summarizes these hypotheses is presented in figure 15.

Figure 15. Research Conceptual Framework



Source: Long, Ismail and Amin (2013, p. 2025).

Moreover, Molineux (2013) argues that it is more likely to be successful when a systematic approach to strategic human resource management (SHRM) is used to facilitate the change. Likewise, Barney and Wright (1998) understand that sustainable competitive advantage stems from HR systems more than from single HR practices. HR systems take advantage of “the potential for complementarities or synergies among such practices and, at the same time, facilitate the implementation of the firm’s competitive strategy” (RODRÍGUEZ AND VENTURA, 2003, p. 1206). In turn, Caldwell (2001) highlights that the changes need to occur across all aspects of HR. In addition to that, Rowden (2002) contends that HR practices shape employees’ behavior and experiences. Therefore, the careful design of HR practices is key in building commitment to support the organization’s business strategy. It also becomes means for cultures to be created and sustained.

From that standpoint, Long and Ismail (2011) present the Brockbank and Ulrich (2003) model for HR competency. The model shows five domain factors related to HR professionals’ competencies that make a difference in the firm’s performance: strategic contribution, personal credibility, HR delivery, business knowledge, and HR technology. First of all, strategic contribution is related to the involvement of HR in strategic decision-making. As a matter of fact, Bae and Lawler (2000) suggest that

organizational performance would improve when HR professionals have a strong influence on strategic decision-making process. Second of all, personal credibility is related to HR professionals' social skills. It should function with the purpose of developing trust and respect with employees as mentioned in section 2.5.3 of this literature review. In turn, HR delivery is related to effective HR programs and practices, which for instance, can be strategic and technical. While business knowledge is related to business-related capabilities, HR technology is related to automation of HR processes. The authors believe that "by absorbing the latest technology, HR can project a forward-looking image that will help it earn the respect of skeptical colleagues" and concentrate more HR professionals' efforts in HR strategy and employees' well being (LONG AND ISMAIL, 2011, p. 1059).

All things considered, Long and Ismail (2011) add to Brockbank and Ulrich (2003) model the competency in internal consultation for HR professional. The authors state "As an internal consultant, HR professionals have a real chance to enhance their professional standing by using their expertise to make a valuable contribution to the functioning of other departments, solving problems and delivering enhanced performance" (LONG AND ISMAIL, 2011, p. 1059). By the same token, Green (2008) contends that consulting skills is a combination of behavioral and diagnostic skills that enable professionals to support managers in developing solutions for business performance problems. Lastly, Scott (2008) lists internal consultants skills: (a) awareness of internal politics; (b) 'self-selling'; (c) facilitator or coach; (d) excellent communication skills; and (e) knowledge in project management.

Furthermore, Stace and Dunphy (1991) argue that contingent rather than universalist solutions are required in developing strategic organizational change and human resource strategies. The authors understand that 'soft' and 'hard' approaches are "parts of a broader set of contingent choices available to managers, change agents and organizational stakeholders as they implement business strategies designed to maximize corporate performance" (STACE AND DUNPHY, 1991, p. 282). Firstly, the authors create a typology of change strategies and conditions for their use (Figure 16). Secondly, they develop a matrix correlating a scale of change with style of change management to describe the HR strategies for organizational change (Figure 17).

Finally, the authors establish a relationship between performance, change and HR strategies (Figure 18).

Figure 16. A Typology of Change Strategies and Conditions for Their Use

	<i>Incremental change strategies</i>	<i>Transformative change strategies</i>
<i>Collaborative/ consultative modes</i>	<p>1 Participative evolution Use when organization is in fit but needs minor adjustment, or is out of fit but time is available and key interest groups favour change.</p>	<p>2. Charismatic change strategies Use when organization is out of fit, there is little time for extensive participation but there is support for radical change within the organization.</p>
<i>Directive/ coercive modes</i>	<p>3. Forced evolution Use when organization is in fit but needs minor adjustment, or is out of fit but time is available, but key interest groups oppose change.</p>	<p>4. Dictatorial transformation Use when organization is out of fit, there is no time for extensive participation and no support within the organization for radical change, but radical change is vital to organizational survival and fulfilment of basic mission.</p>

Source: Stace and Dunphy (1991, p. 267).

Figure 17. Human Resource Strategies and Organizational Change

Style of Change management	Scale of Change			
	<i>Fine Tuning</i>	<i>Incremental Adjustment</i>	<i>Modular Trans-formation</i>	<i>Corporate Trans-formation</i>
<i>Collaborative</i>				
<i>Consultative</i>	Paternalistic HR strategies	Developmental HR strategies		
<i>Directive</i>		Task-Focused HR strategies		Turnaround HR strategies
<i>Coercive</i>				

Source: Stace and Dunphy (1991, p. 277).

Figure 18. The Relationship Between Performance, Change and Human Resource Strategies

		Scale of Change			
		<i>Fine Tuning</i>	<i>Incremental Adjustment</i>	<i>Modular Transformation</i>	<i>Corporate Transformation</i>
Style of Change management	<i>Collaborative</i>				
	<i>Consultative</i>	Lower performers	Maintaining fit - medium to high performers		
	<i>Directive</i>				Regaining fit by corporate turnaround
	<i>Coercive</i>				

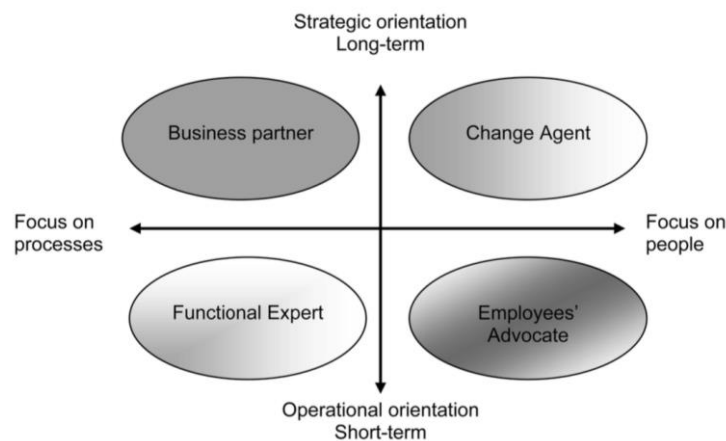
Source: Stace and Dunphy (1991, p. 281).

Meanwhile, Schein (2010) explores the connection between the human resource function in the organization and organizational development (OD). The author states that, while OD has always been more innovation oriented; HR is usually expected to be conservative and stable. As discussed in sections 2.2, 2.5.2 and 2.5.4, innovation has a lot to do with organizational change. To begin with, Schein (2010) lists five global forces that he believes push OD and HR functions to evolve: sophisticated technology that leads to creation of subcultures; IT evolution that fosters innovation; reduced distance between countries; cultural diversity; and social responsibility and business ethics. The author, then, presents a historical evolution of the HR role: champion of the employee (employee spokes-person); expert administration (good knowledge in relevant systems and procedures to manage pay and benefits system); partner in strategy (participation in the strategy and planning process); and the professional HR manager (change agents and process consultants). All in all, the author argues, “The OD role is integrated into the job of the HR executive, which implies that the senior HR manager fulfills all four roles” (SCHEIN, 2010, p. 9).

From that standpoint, Boldizzoni and Quaratino (2011) explore the shift in the HR manager role; from administrative roles to “roles focused on valuing human capital and supporting organizational change, or as a business partner and change agent”

(BOLDIZZONI AND QUARATINO, 2011, p. 41). According to the authors, Human Resource Management (HRM) has two main roles: support the top management in defining the corporate strategy, and set up all the processes and tools necessary to put the strategy into action. For instance, Ulrich (1998) defends that the HRM functions should be able to cover different roles, sometimes even contradictory ones. The author's HRM roles matrix (Figure 19) outlines: business partner (align the contribution of human resources with the company's business strategy); functional expert (design and manage efficient and effective HRM systems); employee advocate (monitor personnel satisfaction); and change agent (generate flexibility and adaptability among the personnel). The two main variables that differentiate these roles are strategic/long term or operative/short term; and managing processes or people (Boldizzoni and Quaratino, 2011).

Figure 19. The HRM Roles



Source: By Boldizzoni and Quaratino (2011, p. 28) adapted from Ulrich (1998).

By the same token, Losey (1999) contends that there is an emerging group of HR professionals who see the opportunity to turn human capital strategy into long-term competitive advantage. Moreover, Caldwell (2001, 2002) observes a growing role for HR professionals as change agents with four different profiles: champions, adapters, consultants, and synergists. For instance, champions are responsible for strategic HR-led change; adapters are mid-level HR professionals who build support for change within business units; consultants are those who use specialist expertise to implement a discrete change project; and synergists, who integrate and deliver complex large scale change projects across the whole organization (Alfes, Truss and Gill, 2010). Finally,

Long, Ismail and Amin (2013) argue that HR practitioners, “as change agents, are responsible for easing the impact of changes in their organization” and when they are unable to function as change agents “they will inevitably create a barrier against them becoming a well-integrated strategic partner” (LONG, ISMAIL AND AMIN, 2013, p. 2019).

2.8 Summary

Chapter 2 went from conceptualizing organizational change to how HR can behave as a change agent. The main critical factors of change management were discussed in a way to understand what to expect during times of change. Several researchers develop research frameworks describing bonds between critical factors to change (Saruhan, 2014; Lynch, 2000; Portoghese *et al.*, 2012; Sharif and Scandura, 2014; Hough, Green and Plumlee, 2015). For instance, in item 2.5.3, Hough, Green and Plumlee (2015) framework shows trust as a central variable between employee engagement and ethics environment with a strong relationship with HRM, communication and moral principles. Another example is presented in item 2.6.1, where Saruhan (2014) shows that perception of justice is key to the relationship between communication and resistance to change.

From that standpoint, it is possible to observe that all critical factors are links of a chain. Communication, commitment, trust, leadership, organizational culture and feedback appear to have a very strong connection. Therefore, change-agent actions must take these connections into consideration while planning a change initiative. So much that, when a change agent takes action over communication, for example, it may impact on employee trust, which may impact on employee commitment to change that, in turn, can generate resistance to the proposed change (Saruhan, 2014; Lynch, 2000; Portoghese *et al.*, 2012; Sharif and Scandura, 2014; Hough, Green and Plumlee, 2015). All things considered, in order to manage change in an effective way, the change agent must put an effort into forecasting all the possible impacts among the main critical factors to change. After all, these critical factors should be understood together, as parts of a whole. With this in mind, errors can be minimized along the change process and, as a result, booster the probability of change initiative success.

3. METHOD

This chapter aims to present the method used in the proposed study, revealing the chosen sample, the data collection methods and analysis, as well as the limitations of the study.

3.1 Research Type

In terms of method, qualitative research was developed to enable researchers in the social sciences to study social and cultural phenomena, opposing the assumption of a unique research model for all sciences, based on the study model of the natural sciences. According to Vergara (2006), the different types of research can be defined by two basic criteria: the research purpose and its means.

On one hand, regarding the purpose, a research can be exploratory: performed in areas of little systematized knowledge, thus does not involve assumptions in its early stages, but during the research they may naturally arise; descriptive: exposes features clear and well delineated of given population or phenomenon, encompasses standard techniques and well structured collection of data; explanatory: its main objective is to make the actions studied in an easy to understand data, justifying and explaining their main reasons; methodological: associated to paths, shapes, ways and procedures used to achieve a particular purpose; applied: based on a need to solve problems that already exist in practice; interventional: not satisfied only in the explanation that is being studied, but wants to interfere in any way in reality, day-to-day of their research object.

In connection with the means of investigation, a research can be from field: based on the experience that is being applied in research and carried out exactly where the studied phenomena are observed; in laboratory: held in a certain and limited location; documental: through analysis of documents found in public or private institutions or people holding the custody of such documents; bibliography: based on material published in books, newspapers, magazines, websites, and are available to the general public; and experimental: empirical research in which the researcher manipulates and controls independent variables and observes the results of these manipulations.

Furthermore, Creswell (2003) suggests the association of qualitative approach to

constructivist perspective, that is, to multiple meanings of individual experiences, meanings constructed socially and historically, with the intention to develop a theory or pattern. The author advocates a few reasons for choosing qualitative research: the first occurs when the research question usually begins with "how" or "what" in an attempt to describe a situation or event, unlike quantitative research, which aims compare groups and variables. The second comes when the topic needs to be explored, because the variables are not easily identifiable and available theories on the subject have to be developed. Finally, the third appears to individuals that are focus of the work and are analyzed in their natural environments.

In addition to that, according to Guba and Lincoln (1994) qualitative research is characterized by considering the reality across multiple constructions in a process in which the research subject and the researcher are of interactivity and also by the dialectical principle, which seeks to rebuild and redefine meanings through social interactions. For instance, Denzin and Lincoln (1994) states that qualitative research may even be related to a bricolage, in which pieces are put together or near enabling solutions to a problem through concrete situations.

All in all, the importance of research methods in scientific production is clear, in their various forms, such as technical, scientific, analytical and synthetic instruments that contribute to the construction of knowledge and learning. Finally, the choice of qualitative research for this study was given by the fact that human, political and social factors are current themes and present need for development. The main purpose of this work is to analyze the perception of individuals facing a situation experienced by them on a daily basis, so that these various interpretations become the variables for theoretical analysis.

3.2 Universe, sample and interviewee selection

The definition of research universe is what determines the set of elements (for example, company and people) that holds the characteristics explored in the research (Vergara, 2006). The sample is a part of the universe and it is chosen based on a specific criteria. Finally, the research subjects are the people that will provide the data to be analyzed.

This case study explores the scenario of change in the HR management model of a specific organization in a context of national crisis and uncertainty. The company is a service provider in telecommunications field. The HR department used to work divided into sub-products such as recruitment and selection, and training and development. For about two years, the HR department has been putting an effort to change the management model from HR sub-products to a consulting approach. Areas of Excellence and HR Consultants compose model. While the Areas of Excellence have the responsibility of developing policies and fulfilling traditional HR demands, the HR Consultants are responsible for delivering business solutions related to people in their specific client areas. The HR Consultants are commonly referred as Business Partners. This study aims to identify the critical factors of change that may be posing obstacles to the full and successful implementation of this proposed HR management model in the company studied, also taking into account the very specific uncertain political and economic country environment.

The interviewee selection was based on the organizational structure mapping and conversations with the HR Director responsible for the HR Business Partners. Two client areas were selected based on their size and relevance in the organization. The chosen areas are Strategy and Business Transformation and Operations. Strategy and Business Transformation is a recently created area composed by HR, Communication, Brand and Digital. The list of the selected interviewees is presented below.

Table 5. Interviewee Characteristics

Interviewee	Gender	Hierarchical Level
I.01	Female	Manager
I.02	Female	Specialist
I.03	Female	Specialist
I.04	Male	Specialist
I.05	Female	Specialist
I.06	Male	Director
I.07	Male	Specialist
I.08	Female	Director
I.09	Male	Supervisor
I.10	Female	Analyst
I.11	Female	Specialist
I.12	Female	Supervisor
I.13	Female	Manager
I.14	Male	Specialist

I.15	Male	Manager
I.16	Male	Manager
I.17	Female	Consultant
I.18	Female	Specialist
I.19	Female	Analyst
I.20	Female	Specialist
I.21	Male	Director

Source: By the author based on data collection.

3.3 Data Collection

Data collection was performed by 21 in-depth interviews, individual, semi-structured and in-person interviews using a script previously established. Semi-structured interviews are often preceded by observation, informal and unstructured interviewing in order to allow the researchers to develop a keen understanding of the topic of interest necessary for developing relevant and meaningful semi-structured questions (Cohen and Crabtree, 2006). The interviews lasted an average of one hour and twenty minutes. 20 interviews were recorded with the consent of each respondent and then transcribed by the researcher. One interview was not recorded because the respondent did not feel comfortable to be recorded. Few notes were taken during this specific interview in order to add the information provided to the analysis. Since semi-structured interviews often contain open-ended questions and discussions may diverge from the interview guide, it is generally best to tape-record interviews and later transcript these tapes for analysis (Cohen and Crabtree, 2006). The interview script (Appendix A) served as a guide and suffered minor changes in the course of each interview, according to the content that emerged during the interaction. Interviews were conducted in the city of Rio de Janeiro during first semester of 2016. The interviews were previously scheduled based on the availability of the interviewees.

It is important to highlight that in order to keep the emerging character of qualitative research (Creswell, 2003), the questions asked during the interview were wide open, allowing the respondents to discourse on the subject and talk freely about what they think and feel. According to Rocha-Coutinho (2006), oral narrative is a tool that has been widely used in research and is presented as an important resource to make people talk about their lives. Through stories you can check more broadly how respondents perceive the world, how and to what they attribute value, and the particular significance

attributed to their actions and their place in the world. Interviews narratives allow not only facts, but also feelings to be seen by the researcher.

3.4 Data Analysis

The interviews transcripts were analyzed based on Alvesson and Sköldbberg (2000) reflexive methodology perspective. Dooley and Levinsohn (2001) common characteristics in discourses, such as coherence and cohesion, were also taken into considerations during the analysis.

For instance, Alvesson and Sköldbberg (2000) understand that what primarily determines the value of qualitative research is the awareness of the various interpretive dimensions at several different levels, and the ability to handle this reflexivity. The authors argue that “Good qualitative research is not a technical project; it is an intellectual one” (ALVESSON AND SKÖLDBERG, 2000, p. 288). Their ‘intellectualization of method’ in qualitative research is function of four elements of interpretation: interaction with empirical material, interpretation, critical interpretation and reflection on text production and language use.

Firstly, interaction with empirical material accounts in interviews, observation of situations and other empirical materials. Secondly, interpretation focuses on underlying meanings, the role of the researcher and research subjects in producing interpretations (a broadly hermeneutic view). Thirdly, critical interpretation focuses on ideology, power and social reproduction, the need for the researcher to seek to see structure and report ‘minority’ interpretations in any situation/scenario under study. Disputing taken-for-granted ‘realities’. Lastly, reflection on text production and language use focus on claims to authority, selectivity of the voices represented in the text. A continual concern about the coherence of the text and interpretations produced, questions of the role of the researcher as author, language as discourse, among others.

3.5 Limitations of the Method

Among the main limitations of this study, are:

1. Brazil is going through a wide economic and political crisis. On top of that, the company industry is going through a rough time with symptoms of change in the industry business model. These issues may influence employee's motivation and organizational climate. Therefore, create potential bias in the employee answers.
2. The case study method explored the environment of only one company in Brazil of a specific core business, telecommunications. More companies could be studied in order to generate comparisons between two different organizational cultures, industries, and business contexts.
3. The focus of the data collection was on the main critical factors to change found in literature. Other critical factors may be influencing the company change program performance in a lower degree.
4. Additional sources of data could be collected in the studied company, such as a survey (quantitative analysis) in a mixed method in order to compare the results and expand the findings.
5. The study analyzed the implementation of a new Human Resource (HR) management model. Within this change process context, only two of the several subareas of HR business partners were studied. Hence, generalizations may not be applied in absolute terms.
6. The studied company has had three CEO replacements in the past five years. On top of that, the top leader management profile may influence on the way employees perceive the company's future prospects. This scenario may reflect an image of instability that has the potential to create employee mistrust and influence on acceptability of change programs in a negative way.

4. RESULTS

This chapter presents an analysis of the collected data from 21 in-depth interviews. First, the company history, through the respondents' eyes, is briefly introduced. Then, the analysis of the results revealed relevant categories for discussion. Passages from

literature review and interviews' transcripts are quoted in order to establish connections between theories with practice.

4.1 The Company

Company X studied is a service provider with telecommunications as its core business. The organization is a large company with operations in Brazil. It presents an extensive history of shifts in management models and leadership styles, mostly because of top management high turnover.

In the past seven years, five different official presidents and few interims led the company. Each of them brought their ideas, aspirations, and style. That, in turn, developed into projects that led the company to different paths, in different ways. The presidents' short cycles presented key characteristics based not only on their profile but also on the company's performance needs at the time.

“You can notice that these past seven years, each cycle had a specific characteristic due to the leader who was leading the organization at the time.” (I.06)

Table 6. Key President Characteristics

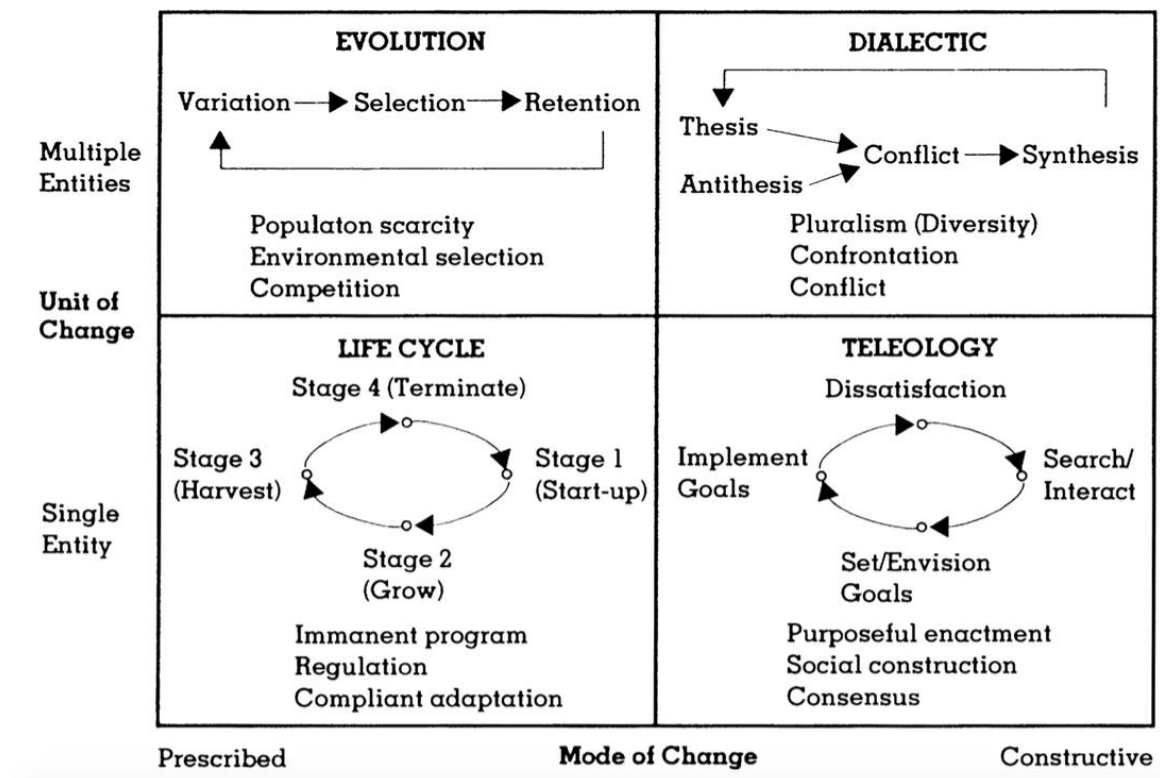
President (chronological order)	Key Characteristics
1 st	Salesman, seductive, market oriented
2 nd	Management oriented, decentralized decision power
3 rd	Technological development, centralizer, authority
4 th	Finance oriented, approachable, humble
5 th	Legal focus

Source: By the author based on data collection.

Those very short cycles of one year to one year and a half created a general sense of discontinuity among the employees.

Van de Ven and Poole, in their 1995 study mentioned in section 2.2, explain the processes of development and change in organizations with four types of theories: life cycle theory, teleological theory, dialectical theory, and evolutionary theory.

Figure 20. Process Theories of Organizational Development and Change



Source: Van de Ven and Poole (1995).

According to the above framework, it is possible to understand teleology as the planned change process promoted by the company stockholders. However, as in the present study, the cycles were discontinued during the goals' implementation, the change process tended not to be constructive. Consequently, empowering the perception of discontinuity.

4.2 Categories of Analysis

Throughout the interviews' transcription, eleven elements were identified as the main subjects of discussion. Therefore, these topics guided the analysis presented in this section.

4.2.1 Context

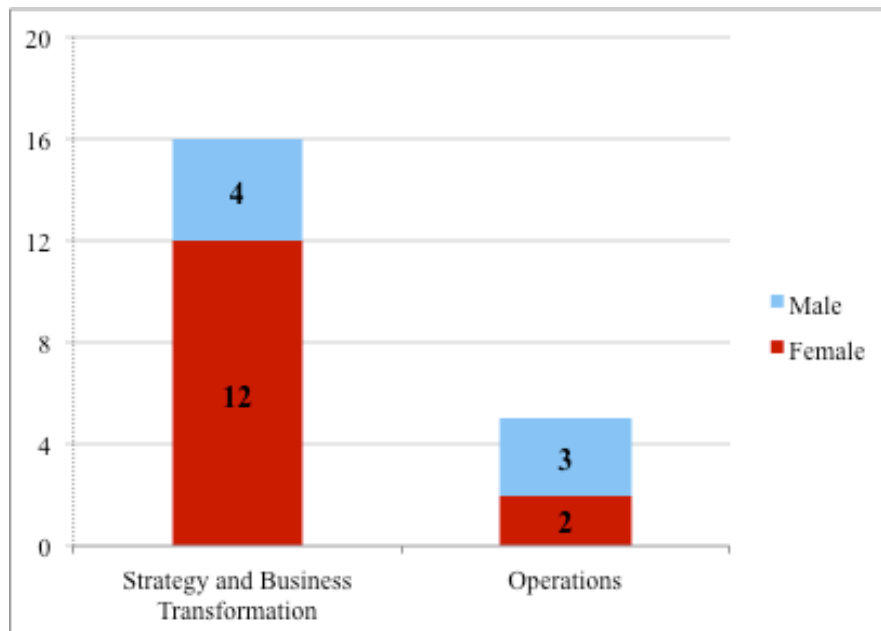
The 21 respondents are from two different areas: Strategy and Business Transformation, and Operations. In addition to that, 50% of the respondents moved

from one area to another during their career paths in the organization. For this reason, they are able to have different perspectives of the company history and on going organizational life.

“I was in a very technical area with almost 70 employees. Then, I moved to smaller area, with 20 employees. Now I am with a different team that has only 5 employees, much closer to the company’s strategy.” (1.07)

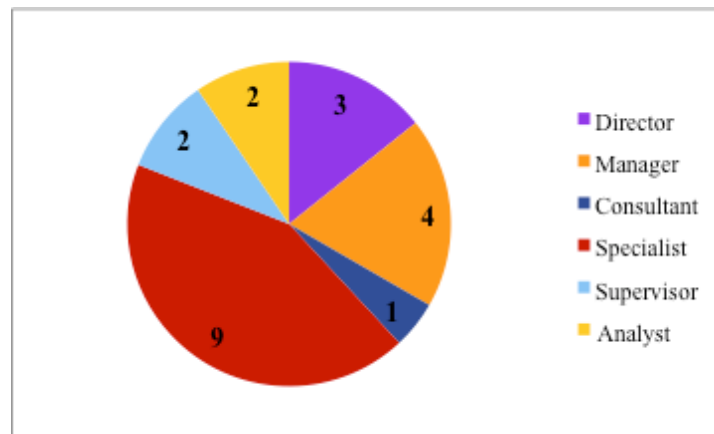
The respondents also have different hierarchical levels as presented in the graphs below. Hence, the data collected contains different points of view regarding levels of decision- making power.

Figure 21. Respondents' Demographics - Gender by Area



Source: By the author based on data collection.

Figure 22. Respondents' Demographics - Hierarchical Level



Source: By the author based on data collection.

It was possible to observe in the respondents' speech that people who have a successful career path, who are satisfied with their professional lives, tend to have a more optimistic view of the company. While people who believe they have been not treated fairly, or who have witnessed what they perceive as organizational injustice, have a more pessimistic view of the company's present and future performance.

"I like it here, I had a career growth in the company that was pretty cool. [...] The policies are not clear, so if you have good experiences in the company, you think it is a good area. If you didn't have good experiences, you think that it's the area's fault, and not necessarily it's because your performance wasn't good enough. Some people feel frustrated." (I.17)

"There are several managers that hire friends and even family. You realize that there is no reason for that person to be there. What does that person do? [...] They implemented the process designed by me and they didn't give me the certification. Maybe if I were someone's friend, I would have my certification. As I just did my job, I didn't get the certification." (I.12)

For instance, according to Saruhan (2014), perception of justice is key to the relationship between communication and resistance to change. The author breaks down the concept of perception of organizational justice into distributive (fairness in compensation, rewards and responsibilities distribution), procedural (fairness in organizational policies and procedures), and interactional justice (fairness and quality of treatment received by people during procedures implementation). With this in mind, the feeling on injustice described by the company's employees may present itself as an obstacle to the change processes that the organization is going through.

4.2.2 Communication

Communication is, undoubtedly, an issue of great importance in most personnel interactions (Nelissen and Selm, 2008). In this regard, the company's intranet is a widely cited communication channel by the respondents. *Interativa*, as they call it, is presented as the most commonly used communication channel in the organization.

“*Interativa* is a tool that has a lot of grip in the company.” (I.09)

“The intranet is well accessed. People search for information there.” (I.14)

“I consider that we have a very interesting communication area, very robust. We have the intranet that we call *Interativa*, where we publish the main news.” (I.19)

Nevertheless, Nelson *et al.* (2007) understand that information may be interpreted in different ways depending on the channel with which it is delivered. It means that is very important to choose the appropriate communication channel. Even though *Interativa* is identified as a broadly used communication tool in the company, apparently, it is not effective for communication of changes in the organization.

“There is no corporate communication of change. Communication should give support and work together with HR, but it's cold and subtle.” (I.08)

“When you read something, you don't have any expectation that it will happen. We had the tag line *Simples Assim* for years, which became an inside joke.” (I.04)

In fact, most respondents state that sometimes things do not happen as officially communicated, and they tend to occur without communication.

“Sometimes even the executives are surprised. I have had changes in my area that I learned by the organizational chart. [...] I talk to the team about some change and then things turn back. [...] Saying all the time that the structure is in transition does not help either. I have to know the right moment to approach my team or if I should just wait. But if I wait, I'll wait forever, because it never ends. If I talk whenever a change occurs, I'll talk all the time. So, to know what is the best time to approach is very complicated.” (I.01)

Meanwhile, literature indicates that communication is the key to successful implementation of change process, as it is a tool for announcing, explaining, or preparing people for change (Spike and Lesser, 1995). However, in this company there

seems to be no orientation to leaders on how they should communicate with their teams.

“Each leader conveys the message in a different way. We don’t have a standardized way, which would ensure alignment in the best possible way.” (I.01)

“The source of information that we had of what was happening in the company was from *Internal Communication Area* only, standard for all employees, and the information that used to come from our hierarchy was incomplete.” (I.07)

From that standpoint, the lack of information and communication of managers with their teams could generate rumors and gossip that lead to anxiety associated with change (Christensen, 2014). Likewise, according to DiFonzo, Bordia and Rosnow (1994), poor communication surrounding change has the potential to create widespread rumors.

“As people don’t have information from their leaders, rumors end up being created and the *corridor radio* spread throughout the company.” (I.09)

“People get to know things in the corridor. There is no communication.” (I.20)

In contrast, in face of the very short change cycles in the studied organization, respondents understand that there is a downside on having access to information.

“When these rumors are negative, you often end up discouraged. When it is a positive rumor, you end up getting too euphoric. You have this humor oscillation according to the news and directions. It is not always positive to have access to information. Areas with less access to information often maintain a more balanced level of stimulus. I think that it might be more positive than, in fact, suffer these very strong mood fluctuations.” (I.07)

In brief, “Information is crucial in shaping employees’ expectations and providing the basis for developing attitudes (positive and negative) toward change” (Portoghese *et al.*, 2012).

4.2.3 Trust

According to Tomprou, Nikolaou and Vakola (2012), the high frequency of change creates a lack of credibility of any change effort in the close future, “past experiences of organizational change may create uncertainty, causing employees to become more

vigilant about the fulfillment of their psychological contract” (p. 388). In this case study, the sense of disbelief is a constant variable in the respondents’ speech.

“We go to a motivational meeting with the president, and a month later he leaves, three times in a row. Then you start to get a little unbelieving.” (I.03)

“As the third president promised a lot of things and left, people felt a little betrayed. We had a disruption before with the second president, who came with a three-year project and left after one year and a half. I believe people feel a little resentful and tired. Like, again! I no longer believe.” (I.02)

Although the main reason for this mistrust in the organization is appointed as the top management turnover, there is also an extensive loss of credibility in the organizational processes.

“Credibility is: say that you will pay the supplier within 30 days and pay. For a long time we made cash flow with suppliers’ money. This undermines internal and external relationships completely. It became culture; it became a common thing.” (I.04)

In addition to that, Morgan and Zeffane (2003) defend that building trust enables organizations to cope with operational flexibility and constant change. For instance, “middle managers’ trust in the organization would be an important requisite for a well-functioning and effective organization.” (ZHANG *et al.*, 2008, p. 112). Nonetheless, there’s a perception that the company’s leaders are tired.

“The leaders have a cost-cutting message and a quality message. But the leaders don’t think people are really engaged. I think they are also tired.” (I.02)

Furthermore, Kotter and Schlesinger (1979) state that lack of trust is a common source of resistance to change. By the same token, Coetsee (1999) proposed taxonomy has four levels of resistance behaviors: apathy, passive resistance, active resistance and aggressive resistance. The respondents perceive only the first two: apathy (lack of interest, distance, and inaction), and passive resistance (withdrawal, persistence of former behavior, excuses, and delay tactics). Both behaviors are perceived in the company as a herd effect. A negative feedback loop is set in motion where biases flow into a policy. (Kahneman, 2011).

“When cycles have one year, one year and a half, you go in one direction

and you quickly change and change again, there comes a time that the human being enters in a herd effect. Enough, I am tired. I'll wait for the herd to go, I will not put my energy and my soul to be in the forefront of this transformation because soon enough everything will change again. We hear that a lot here, soon it will change again." (I.06)

Moreover, "when the institutional environment is more uncertain, confusing and turbulent, other perspectives are needed to supplement the institutional trust perspective" (FUGLSANG AND JAGD, 2015, p. 24). Notably, the studied company is facing uncertainty. Some of the reasons are the high top management turnover, market crisis, and country's economic and political instability. According to Bachmann (2001), people operating in strong institutional environments may choose trust as a mechanism of coordination, while people operating under weak institutional environments may choose power. For instance, this case study reveals power as an important mechanism of coordination. In fact, power in this company is strongly related to leadership job positions/ promotions as presented in the following section.

4.2.4 Leadership

Most respondents agree that the company studied is very hierarchized. Despite the large size of the organization, respondents believe there are more leaders than necessary. Nevertheless, there is an understanding that the large amount of leaders is due to the fact that job position is a synonymous of power.

"There are too many chiefs and not enough Indians. The company could be leaner." (I.01)

"Leaders many times say: I really need this guy to be a consultant or a manager, for him to have more empowerment. For example, this building has 830 people. From these 830 people, 360 are executives." (I.05)

"Many regional directors, in my opinion, should no longer exist." (I.06)

From that standpoint, respondents describe situations where leaders are synonymous of authority. Evidently, the way authorities, such as work-unit leaders, treat employees has the potential to be critical in shaping employees' behaviors and attitudes toward the organization specially under uncertain situations like organizational change (Karp and Helgo, 2008; Herold *et al.*, 2008; Lind and Van den Bos, 2002). Notwithstanding, strong comparisons such as with military system and dictatorship took place throughout

the interviews to illustrate the relationship between the leaders and the rest of the employees.

“There is a very strange mind-set here. People believe they work for their bosses. I do not work for my boss. My boss and I work for the company, each of us in our role. Sometimes it seems that we have a military system. Where any colonel is everyone’s colonel, where any captain is everyone’s captain. You have to salute them all. I’ve even seen a research where the conclusions were adapted to match the outcome expected by the director *colonel* and expressed by him *prior* to the research.” (I.04)

“I usually say that here it is almost like a dictatorship. You have to involve bosses to make things happen.” (I.06)

Meanwhile, Porras and Robertson (1992) defend that employees require leader’s guidance regarding critical issues associated with change. According to Portoghese *et al.* (2012, p. 583) “It may be stated that if the organization is the context of change and employees are the engine of change, then leaders, managers and supervisors are drivers”. However, respondents have different opinions on what is the company leader’s role.

“A lot of people spoke about leadership at the meeting, about leaders not sharing information with their teams, not being close, not engaging, and not motivating. Then a HR person said, *but the manager is no baby sitter*. Yes, but the manager is a manager. No wonder he is a manager of people. He’s not a guy who is just there to make the process flow. He is there to take care of people, to develop and to help people grow.” (I.02)

In fact, there is no standard leadership profile in the organization.

“I believe that the relationship with the manager varies a lot from manager to manager. It’s not a standard thing such as the company leader’s profile. I’ve had many managers here with quite different leadership styles.” (I.03)

This lack of definition of how the company leader must be supports employees’ perception of the promotion process to executive positions. They perceived it as based on relationships. On top that, respondents believe that people are frequently promoted to leadership positions without being ready for the job.

“Part of the manager’s role is to have professional maturity. People become managers here even though they are not ready. They are technically very good but not good enough in team management, for example. People get promoted due to political reasons.” (I.01)

“I think the leadership here is extremely childish. They have an accountability discourse, but do not practice accountability.” (I.04)

“Most of the internal executive selection process, for example, is relational.” (I.05)

As a matter of fact, the company is perceived as highly relational. Respondents mention that they can get things done faster if they know the right people in the organization.

“100% relational, the company works on the basis of the relationship. [...] It’s in the DNA. The company was born relational and we had eight years with a leader that was strongly relational. It reverberated.” (I.05)

Relationships are described as the strongest key to open doors in this company and are a relevant component of the company’s culture to be discussed in the following section.

4.2.5 Organizational Culture

On one hand, based on Goffee and Jones (1998) types of corporate culture mentioned in section 2.5.5, this company’s culture can be considered as networked due to its highly relational context. On the other hand, the company studied has a history of several mergers and acquisitions, high top management turnover, large size in number of employees and operations sites. Therefore, even though the company is highly relational, there is a lot more into its culture.

For instance, when respondents were asked to say the first word that comes to their mind when they think about the company, the majority of the answers contain words that relate to change.

“Since I came to work here, I see the company in constant metamorphosis.” (I.07)

“The company is in constant transformation. Not only now, it has always been like this. I believe that it always will be, it is the way things are here.” (I.01)

Consequently, when things change all the time, everything is overdue. Employees of different hierarchical levels are so focused on getting things done before it changes again that there is no true sense of urgency, i.e. everything is considered urgent. When a plan changes in such a huge company, in such high speed, alignment with all the

business areas becomes a challenge. This scenario may promote conflicting goals among different areas.

“The company’s culture is currently based on rush, on the need to be noticed as important or essential to the company, on *keep moving* no matter the results. The company’s culture is like the hamster on the wheel. It is an inexplicable sense of urgency. There is a huge lack of focus and a direction for quite hermetic goals, goals that work only for you. We have paradoxes and extremely conflicting goals. The company’s goals are not linked the company’s strategies. They are linked only to the company’s bonus targets.” (I.04)

In turn, the company has been facing an industry crisis for years. Although the company has had different presidents with different plans and aspirations, the financial focus has always been a constant issue. Several downsizings were made, almost every year for seven years. Therefore, most respondents perceive cost reduction as one of the company’s values.

“People that are valued in the company are those who can indeed have initiatives focused on cost reduction ideas.” (I.07)

“Employee motivation is totally aside. The concern now is financial, financial, financial.” (I.03)

Furthermore, Hilal, Wetzel and Ferreira (2009) state that culture strongly influences the employees’ reaction to change in an organization. For example, “the identification of the organizational values and practices is a key strategy for cultural management” (HILAL, WETZEL AND FERREIRA, 2009, p. 1). However, there is no alignment regarding the organizational values and practices. In general, respondents understand that the company doesn’t have a shared culture. It has a fragmented culture, where employees have different views of the company.

“People that are in the company do not share a common culture, have no clear focus, and no clear strategy.” (I.18)

“Recently, I took part in a culture-change project, which is still theoretically running. The project was sponsored by the president that just left. So what now? Will this continue? Today I do not have a word to define the company’s culture, because I think we are a little lost. I think we are in need to rebuild the company’s culture.” (I.03)

Even though there was an on going project to build a new culture, it was still very centralized and did not have the opportunity to spread throughout the company. Such a

big change project takes time. It is a process, not an event. It is a learning process. As mentioned in section 2.5.6, feedback is an important part of a learning process and will be discussed next.

4.2.6 Feedback

Feedback on organizational change, as mentioned in section 2.5.6, is related to communication during the process of change, the process status. According to Kotter (2007), short-term wins give a feedback of the renewal process and boost the change credibility. The author also states that the commitment to create short-term wins fosters a high urgency level, relevant to the change effort. Therefore, “Without short-term wins, too many people give up or actively join the ranks of those people who have been resisting change” (KOTTER, 2007, p. 7). In this case scenario, short-term wins were not identified in the speech of any interviewee. One of the possible reasons why this company did not use this type of communication is that organizational transformation objectives are constantly changed. New change processes arise in high speed making no room for short-term wins communication.

4.2.7 Employee Commitment and Engagement

Undoubtedly, the company studied has a history of constant change. According to Coch and French (1948), organizational change challenges the ‘way things are done’ and, as a result, individuals experience uncertainty and begin feeling different types of fear of the potential failure in coping with a new situation. Consequently, the company’s frequent changes influence employee commitment and engagement. For instance, while commitment refers to employee’s satisfaction as well as identification with the organization, employee engagement goes a step further, and involves the employee making discretionary efforts towards attainment of organizational goals (Porter *et al.*, 1974). Hence, employee engagement has the potential to drive organizational commitment.

Nevertheless, according to the data collected in the interviews, the company’s unstable scenario influences employee commitment and engagement in different ways. Although, there is a group of people who sees mostly the downside of constant change

(please refer to section 4.2.3) fostering disengagement, there is another group of people who are engaged with the belief that the company will improve its performance and turn things around.

“The company has been in a complicated situation for many years. By the end of 2014 the company was beginning to regain some pride but has been suffering recurrent upheavals. But, at the same time, many people say that the company has a very strong feature to overcome problems, and reinvent itself. Even in a difficult situation as the current one, you realize that people still have a desire to seize the moment and rescue the company that they always either liked to work for or thought they liked.” (I.04)

“Resilience and ability to adapt became a matter of survival. Know how to adapt to the constant changes has become a rule here, be capable to accomplish impossible missions.” (I.06)

According to Mathews and Shepherd (2002), “Committed employees have a strong belief in and acceptance of the organization’s goals and values, show a willingness to exert considerable effort on behalf of the organization, and have a strong desire to maintain membership with the organization” (p. 369). In brief, change won’t be successful if the employees do not support it, or it can be said that there must be commitment from the employees (Mangundjaya, 2015).

4.2.8 Human Resources as a Change Agent

On one hand, Ulrich (1997) defends that HR departments should become “an agent of continuous transformation” and build the organization’s capacity for change, as well as be strategic partners, administrative experts and employee champions. On the other hand several theorists agree that the HR role of change maker is, in general, constrained and reactive (Storey, 1992; Siegal *et al.*, 1996; Hope-Hailey *et al.*, 1997; Ogilvie and Stork, 2003; Antila, 2006; Kibicek, 2006). Likewise, in the studied company, there is a common perception that RH has a reactive role in the organization.

“The role of human resources should be a little different than it is. They are much more passive, reactive, than pro active.” (I.01)

In turn, HR professionals feel that they need to be crisis managers on a daily basis. The high change rate takes their primary focus from supporting top management in defining the corporate strategy, and setting up all the processes and tools necessary to put the

strategy into action.

“I usually say to my team that, in practice, our role is crisis management. We need to have sensitivity to understand the setting and adjust policies to the new scenario. Managing the crisis is to try to make the organization feel as little as possible these abrupt changes. To some extent, HR has become a crisis manager and, obviously, also has to play a financial role due to many downsizings we’ve had in recent years.” (I.06)

Furthermore, when HR professionals maintain a trust-based relationship with managers of other departments, the HR departments are likely to function better because there are more opportunities for the HR managers to create a strong HR climate. However, the respondents believe the company’s HR has no social capital and influence on the decision-making process.

“HR has no power of influence on transformation decisions. Currently in the company, I don’t think HR has that power. If the directors decide to change a structure, they will have HR only as a partner to operationalize the new structure. But I do not see HR understanding what the ideal structure should be in order to make suggestions to the directors.” (I.04)

“The head of HR is not a person who presents himself as very accessible. He shows that has knowledge, but does not seem to be a people’s person.” (I.01)

4.2.9 Country Crisis

Brazilian political instability and economic crisis creates a scenario of uncertainty and instability. This scenario increases the difficulty to forecast, control and even evaluate the crisis development and the extension of the crisis effects on the company performance. However, respondents understand that the company crisis encompasses the country crisis.

“In fact, the country crisis does not really impact anything. I think, with or without it, perhaps today we would be in the same situation.” (I.04)

“With or without country crisis, the company would in the same situation. This is an old story.” (I.05)

“I think the country crisis had little impact because lately the company has always been in crisis. So, even when the country was in a very good situation, we became used to continuous change and hard times. So for us, it is not something new.” (I.07)

Even though the Brazilian crisis has the power to aggravate the company’s problems,

respondents understand that there is an unintended upside to the country crisis with its higher unemployment levels: it became a retention mechanism for the organization, reducing voluntary turnover.

“Somehow the country crisis is comfortable for the company, because it ends up retaining people who don’t have anywhere else to go.” (I.01)

“I’m sure that if we were in this scenario and there was no country crisis, the employees’ nonconformity would be different. For better or for worse, each one wants to keep their job. As we are not in a booming market, no one is looking for new jobs very much. Maybe, if the market were warmer, the employees’ behavior would be different. If I thought about changing jobs because I’m unhappy at work, I would reconsider, because the company I would go to might be in a worse situation than the one I am now.” (I.03)

Moreover, the country scenario increases the difficulty to forecast, control and even evaluate the crisis development and its effects on the company performance. Even though the company considers different scenarios for the future; it is really hard to predict a scenario that is going to be close to reality. It ends up being a constant crystal ball. By the same token, respondent makes a parallel between the company and the country.

“I usually say that company is like our country. It is hard to change the culture of the country. Everyone complains, complains, complains, but nobody does anything. People don’t think that they are part of a whole. Everything that happens in the country can be related to the company’s scenario. We have no continuity at all. In the country, a new government takes office and doesn’t continue what the previous one did because it is not in their interest. It is self-interest, is not in the interest of the people. Here, too, I have my doubts: Changes are introduced because people need to show off and have to prove they are effective? Or are changes really necessary and relevant?” (I.02)

4.2.10 Worst Problem

When questioned about the worst problem they are facing in the organization, every respondent answered that there is a lack of continuity and direction. In fact, “If you don't know where you're going, you might not get there” (BERRA, 2002, p. 53).

“When you have a leader who sells his idea, which we believe, and that has a purpose, leadership changes. When we are beginning to take one direction, things change again. What will be the next direction? What will be the profile of the new president? We cannot have a medium-term plan. Our plan

nowadays is always very short term.” (I.03)

“I think the biggest difficulty is the continuity of things.” (I.02)

“There are constant changes. There is a lack of stability. The biggest problem with this company today is continuity. Because we had several presidents with several strategic plans. Each one with its virtues and problems.” (I.06)

“The problem is that the direction, which we must bet on, changes a lot. We get a little lost. When we start understanding where we are going, it has already changed.” (I.01)

The respondents also believe there is a lack of governance; in accordance with what was reported in section 4.2.3 regarding credibility loss and, in section 4.2.9 regarding a focus on self-interest affecting the decision-making process.

“Lack of governance. Our area is extremely affected by lack of governance. We completely lose control over what reaches the final consumer, and we are responsible for the final message. In fact, the company works for itself not for consumers. Internal interests prevail.” (I.04)

5. CONCLUSIONS

5.1 Brief Summary

This study explores some of the organizational change driving forces and the main critical factors to change. It is understood that those critical factors detailed in Chapter

2, such as communication, commitment, trust, leadership and organizational culture are key to identify the issues that should be given special attention during the change process. Moreover, by mapping those issues and understanding their implications, change agents would have a better knowledge of the context and company specificities. This would enable the design of a feasible action plan, would foster the credibility and direction of the change process and would increase the probability of employee engagement and, consequently, of achieving tangible positive results.

In this case study the focus is on identifying the main critical factors to successfully implement change initiatives. The scenario encountered is one of discontinuity and high uncertainty. Not just one change initiative, but several disruptive change processes were initiated and abandoned midway for, approximately, the last seven years. As a result, a sense of disbelief and disengagement has taken root in the company. The majority of the respondents verbalize this perception. However, participants state that a significant group of employees believe in the future success of the organization: They have a sense of belonging, and are emotionally and affectively committed to the company. Nevertheless, this moment of deconstruction, in the middle of a country crisis, may represent an opportunity for the company's performance turnaround.

5.2 Main Findings and Conclusions

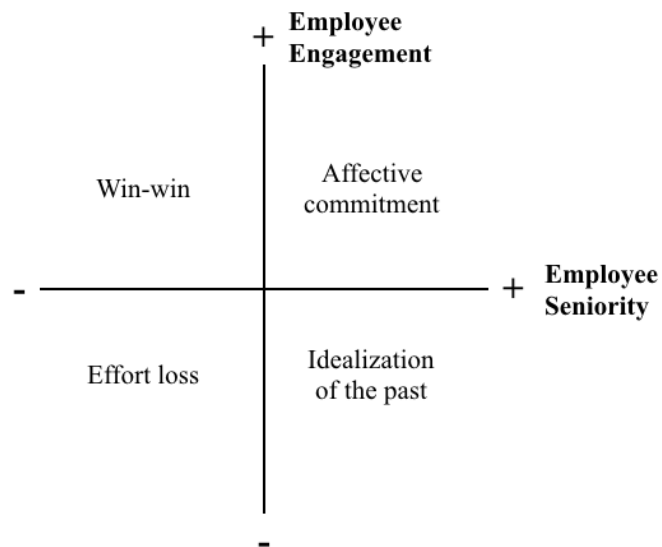
This study has both theoretical and practical significance that relate to how individuals in organizations react to change. For instance, Herscovitch and Meyer (2002), Piderit (2000), and Judge *et al.* (1999), noted that it is necessary to have a better understanding of organizational change from the individual-level perspective. By examining the relationships between resistance, justice, and commitment to change, this study contributes to both theory development and practitioners with a deeper understanding of individuals' reaction to change. In addition to that, studying commitment alongside resistance to change also offered insights into the nature of each of these constructs. Commitment to change as presented by Herscovitch and Meyer (2002), allows understanding of how an individual is committed to change (i.e., affective, continuance, normative).

Results show different interpretations of the company's scenario. Employees perceive the high frequency of change initiatives in different ways, as mentioned in section 4.2.7. Some have a more optimistic view, as opposed to others that have a more pessimistic view of the company's reality. In fact, four different groups of people can be identified regarding the employees' perception of the company's situation and how it affects their engagement with change initiatives. Regarding the pessimistic view, while some people believe that everything is transitional and their effort will be wasted; others miss the company of the past, allowing themselves to believe that the company will go back to the way it used to be. Regarding the optimistic view, while some people have an unconditional affective commitment to the organization; others have a more pragmatic approach and understand that the company's initiatives may be beneficial to both company and employees, even though they perceive most of those initiatives as transitional.

In particular, the idealization of the past can be a way to justify disengagement with change initiatives. People can have difficulty coping with a new reality due to, for example, lack of professional maturity. Therefore, they tend to believe in a future promise that everything will go back to the way it was, as a defense mechanism. Actually, an ideal picture of the past may represent a way to escape from reality, as some people cannot deal with the lack of direction and high uncertainty involved. In turn, getting out of the comfort zone is an early stage of the change process: unfreezing (Lewin, 1947). In brief, holding to an idealized past situation prevents people from perceiving the upsides and limitations of the present reality.

In addition to that, the level of seniority appears to also have a significant influence on employees' view of the organization. For instance, the employees who miss the company of the past and who have an affective commitment to the organization are mostly employees with higher seniority than the others. From that standpoint it is possible to draw a diagram with these four groups of people based on their engagement with the organization change initiatives and on their seniority.

Figure 23. Employees' Interpretation of the Company's Scenario



Source: By the author based on data collection.

Naturally, there are several factors that influence employee engagement, as mentioned in sections 2.5.2 and 2.5.3. For this reason, the diagram above is extremely dynamic. It shows a picture of the moment when interviews were done with the selected sample of interviewees. Moreover, those conflicting views of the company's present scenario also reveal a fragmented organizational culture.

Furthermore, this study has practical significance because the results have implications for Human Resources Development (HRD) scholars and practitioners in the planning and implementation of organizational change related initiatives. After all, "change has been a central concept in HRD since its origins" (SWANSON AND HOLTON, 2001, p. 285). Because HRD scholars and practitioners constantly deal with change efforts, further knowledge of how individuals respond to change can provide information to HRD activities such as training programs, Organizational Development (OD) interventions, and career development programs. On top of that, scholars cited in section 2.7 argue that HR role of change maker is, in general, constrained and reactive. This case study presents similar results. However, HR departments should become agents of continuous transformation and build the organization's capacity for change (Ulrich, 1997).

All in all, evidently, Company X faces a credibility crisis. This scenario leads to a

vicious circle of continually repeating similar mistakes in seeking better organizational performance. Company X is imprisoned in a negative loop that stifles creative thinking. This appears to be the greatest challenge this organization needs to overcome in order to achieve a better performance in change initiatives. The current scenario confirms prescriptive theory in terms of what the organization should and should not do, even when intentions are good. For instance, lack of credibility and direction emphasize the importance of continuity. People in organizations need to know where they are going and what the company wants to be. It means clear goals and shared culture. From that standpoint, it is possible to observe that all critical factors to change are links of a chain and are strongly connected. Therefore, change-agent actions must take these connections into consideration while planning and implementing a change initiative. As the company studied needs to cope with change on a daily basis, those factors should also be a constant concern in the employees' professional routine.

5.3 Recommendations for Future Research

This study focuses on a case of a specific company going through a traumatic change process. The corporate change initiative began a couple of years ago and is still not fully implemented. This study explores selected critical factors to change in order to identify possible reasons why the change initiative has not rendered the desired positive effects. Only the main critical factors to change suggested in the literature (see Chapter 2) were analyzed, creating space for further research on other factors that may have the power to pose obstacles to a change process, such as externalities (for example: the regulatory, economic and political environment) and also study other companies undergoing similar change initiatives.

6. APPENDIX – INTERVIEW SCRIPT

Entendo o contexto

- (1) Fale-me um pouco sobre você. Quem é (nome)?
- (2) Há quanto tempo você trabalha na organização?
- (3) Conte-me um pouco sobre a sua trajetória profissional na organização.
- (4) Você sempre trabalhou na área em que trabalha atualmente?
- (5) Há quanto tempo você trabalha na área em que trabalha atualmente?

Comunicação

- (6) Como é feita a comunicação corporativa? Para quem é feita esta comunicação? De quem ou de que área parte a comunicação? Quais são os veículos de comunicação utilizados?
- (7) Já aconteceu de algo ser comunicado e na prática acontecer diferente? Conte-me um pouco o que e como aconteceu.
- (8) Qual é a reação dos seus colegas quando isso acontece?
- (9) Como você acredita que seus colegas se sentem quando isso acontece? Como você se sente?
- (10) Como você acredita que deve ser feita uma comunicação corporativa de mudança?

Cultura Organizacional

- (11) O que sua empresa valoriza?
- (12) Existem diferenças entre os valores que sua empresa diz defender e que você observa como funcionário no comportamento de seus colegas? E da liderança da empresa?
- (13) Como você descreveria a cultura da organização? Por que?
- (14)

Clima

- (15) Como é o clima da empresa? Sempre foi assim? Se não, o que mudou? Por que você acha que mudou?
- (16) Você acredita que se eu perguntar essa mesma pergunta para outros profissionais da organização, eles responderão a mesma coisa? Por que? Se não, o que responderiam?
- (17) Quantas pessoas têm na sua área?
- (18) Como é a relação entre as pessoas da sua área? Sempre foi assim? Se não, o que mudou? Por que você acha que mudou?

Recursos Humanos

- (19) Como é percepção da organização com relação ao papel da área de recursos humanos? Qual é a sua percepção? Como acontece na prática?
- (20) Existe um alinhamento de quais são responsabilidades do profissional de recursos humanos? Se não, o que não está claro ou o que diverge? Por que?
- (21) Você acredita que faz sentido ter um profissional de RH focado nas demandas de RH da sua área? O que você acha que seus colegas acham disso? Por quê?
- (22) As BPs participam do processo de mudança de gestão de RH? Como?
- (23) Se a decisão do modelo de gestão de RH fosse sua, o que você faria?
- (24) Você acredita que seus colegas sentem falta de alguma ação da área de RH? O quê, especificamente? Por quê? E você?
- (25) Quando tem uma decisão importante na sua área, quem toma a decisão final, dá a última palavra?
- (26) As BPs se envolvem nas decisões relacionadas a pessoas? E você?
- (27) Você acredita que o profissional de RH tem poder de influência junto aos gestores da sua área? Por quê?
- (28) Como é a relação entre as BPs a as áreas de excelência de RH?

Liderança

- (29) Como é a sua relação do gestor da área com a equipe? E com você? E com o diretor da área?
- (30) Como é a relação entre seu gestor direto e o diretor da área?
- (31) Você acredita que funciona da mesma forma em outras áreas? Se não, o que você acha que é diferente em outras áreas?
- (32) Descreva sua interação com o diretor da sua área.
- (33) Se eu perguntar para qualquer pessoa no corredor para me descrever o presidente em algumas palavras, o que você acha que me diriam?

Feedback

- (34) Com que frequência você recebe feedback do seu gestor?
- (35) Você recebe feedback de outros profissionais? De quem? Com que frequência?
- (36) O profissional de RH participa do processo de feedback? Descreva a participação.

Encerramento

- (37) Qual é a frequência de mudanças em políticas, substituições de profissionais chave, mudanças na estrutura organizacional, entre outras acontecem?
- (38) Teve alguma mudança recente que gerou impacto na sua área? Se sim, descreva.
- (39) Quais são os maiores problemas que a sua área enfrenta? Quais são os maiores problemas que você enfrenta na organização? O que faria diferente? Por que?
- (40) De que forma você acha que a crise brasileira afeta a situação da sua empresa? E você em particular?
- (41) Tem alguma coisa que eu não perguntei que você gostaria de me contar? Se sim, conte-me.

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