

Change Management and Negotiation

Group 10

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Abstract—This paper is about change management and negotiation, where it discusses in depth—the implication of introducing change, the challenges associated with change, and effective ways to negotiate with superiors, colleagues, and subordinates.

Keywords—change; management; negotiation; affected; superior; challenges;

I. INTRODUCTION TO CHANGE MANAGEMENT

Change management is an approach to transition from an old state to a more desirable state, focusing primarily on the people side of change. If managed effectively, this aids development of organizations and allows those affected to be well informed of the change process. This is critical in projects that involve learning and accepting new processes, technologies, systems, and structures.

II. WHY CHANGE IS INEVITABLE

There are cases where change is no longer a secondary choice, but is required in order to improve the current state of the team or organization. The following is a list of factors of why change is necessary^[5]:

Old method doesn't work. When a team or organization finds themselves stuck with a method that doesn't achieve their expectations anymore, the need to change their method is likely to occur. When another team or organization appears to have much more success with their method, there is a tendency for other teams or organizations to abandon or change their current ways and adopt the new methodology. The idea behind this is to ride the wave, instead of re-inventing the wheel. At times new methods are introduced through innovation, where ideas are created in hopes that introducing the new change will make up for the shortcomings of the pre-existing method, even if the idea has never been tried.

New technologies. With technology becoming more advanced and new technologies being marketed, there is a need

for teams and organizations to adopt new ones in order to keep up with the technology race that is currently happening.

New employees. New employees are often introduced into teams or organizations where there may be a need to do adjustments. Teams or organizations are likely to change their structural way of doing things in order to utilize the newly entered member's skills and capabilities. As years go by, the main focus can shift as new goals are introduced according to the current context whereas old goals are abandoned.

III. LAYERS OF CHANGE

Understanding when to introduce change is a vital point in change management. There is a model for perpetual transition management presented by Buchanan and McCalman that shows us when change should be introduced^{[2][3]}. The initial layer of their model is the trigger layer. This includes events such as crisis, threats, and opportunities, and understanding what these events could lead to successful change management. If this trigger is understood and communicated to the rest of the organization the change can happen more easily and without trouble. The trigger can be crisis within an organization. If this crisis is expressed more as a challenge than a threat, members will be more likely to accept the change. When the trigger is expressed and clearly understood by members of the organization the change will be more likely accepted. But this is only a part of the change process, and brings us to the next layer of the Buchanan and McCalman model.

The next layer is the vision layer. This is where the organization defines the future of what the change will bring. Just as the organization should clearly communicate what is bringing the change, they should also define what they perceive to be the future brought on by it. If this is communicated well, it will increase the chances of successful change, just like the first layer. The future can be visualized by three criteria. The first criteria is that the change should clearly solve the problems determined by the trigger layer. Secondly you will determine what future conditions you will have in terms of the organization's design, products, and goals. Lastly it must provide challenges and stimulation. This is because

change will be more accepted in an environment that promotes enthusiasm and participation.

The following layer is the Conversion layer. In this phase you will find recruits for the change. You need to have everyone on board with the change or else you will have people left out and they will automatically be adverse to the change. Everyone that is a part of the change needs to feel like they are a part of it and that their thoughts and ideas on it are being taken into account. If this layer is properly followed it will lessen the amount of time taken to negotiate the change, and will allow for an easier transition.

The last layer is the Maintenance and Renewal layer. This layer tries to deal with problems associated with how change is maintained, and how change will continuously happen so it needs to be reassessed. Examples of this are events such as, the reasons for the change are forgotten, the vision becomes less expressed as the original members move on, or new members have not been through the whole process and need to be taken through the layers. This layer deals with these events by having management allocate resources to continually renewing the visions and goals of the change. This is a crucial point or else you will see that the change decays and you can be brought back to your first position.

IV. CHALLENGES

Software has an essential role in our day to day life. In modern life, software engineers have significant impact in developing and maintaining a wide variety of business processes^[11]. Since Organizations often work together as a team in developing software systems, software engineers can do good, commit harm, or allow other people to do bad things when things get changed inside the organization. For instance, the way an insurance company provides quotes for life insurance policies is encoded in its quote engine. Changes in the team members lead to inadvertent changes to this quote engine can result in inadvertent changes in the types of quotes the firm provides. As a result, to ensure that changes work for the good side, organizational change requires careful management^[6].

One of the challenges in an organization occur is the high cost in systems or procedures. These costs can be to hire new members, or train new programming skills, or employ professionals and specialists. To illustrate, when an organization hires new employees, it has to pay for training new employees' skills and abilities to reduce the risk of poor performance. The organization would also spend a lot of money if they employ professionals or specialists.

Another challenge is when changes end up failing. Change is challenging. The lack of proper controls for software changes can lead to loss of critical data, overwriting of important components, overlapping of different versions of the same code, incompatibility of some modules, and various other

confusions and complexities. Very often, retrieval might not be possible, leading to restoration of previous versions, which means the changes fail. Without proper controls in place, such failures are easy to come by even when each individual entrusted with the job does their role perfectly. For instance, discovery of deficiencies that stem from failure to map the test maps to appropriate requirements, or by the application of a wrong patch might take place only after deploying the application, causing delay of the resolution. When the affected process remains too critical to shut down, rectification becomes difficult, and with the passage of time, complex problems may arise that lead to failure of the change.

A third challenge is changes in an organization that occur because of poor software quality. Regardless of the architecture, failure to adopt a good software change control management leads to poor software quality. Without proper version control systems or other measures to control the different versions and components of the software, the software may hang, critical data may be lost, critical processes may fail as the software fails to link to databases, and process efficiency as well as data integrity suffers.

Another challenge in changing management is the unnecessary rework. Poor software change control that leads to overlapping, loss of data, and system instability results in unnecessary rework to restore the system. Such reworks are very often lengthy exercises requiring a lot of trial and error, and involving a detailed scan of the system and possible system downtime

The next common challenge in changing management is that the schedule. Training new skills and rework on certain tasks slows down the project's progress. Missing the deadline could also happen when an organization changes its methods of approaching and processing the tasks. Furthermore, schedule can pressure the team to get the project done on time. This leads to many bad things such as poor software, or lots of bugs in the system or lack of testing.

One more challenge takes place when change in an organization appears is the adaption to the changes. Team members have to adapt quickly to the new ways of processing certain tasks such as planning the project and changing the platform to work on. They might find it difficult to adapt to the new approach because they are used to work on the old way of doing tasks. For example, changing the working platform cause many issues. One of the issues is proper synchronization of software and byte code on different platforms. Another example is that the overall complexity arises when having one app on multiple platforms. As a result, the organization members in these cases have to learn and adapt quickly to implement the same tasks on different platforms.

V. STRATEGIES TO AVOID FAILURE

Harvard Business School professor Dr. John P Kotter, a leading author on organizational change management has spent thirty years researching major changes in organizations and

why they fail. Through this research, he has come up with an 8-step process to help organizations avoid failure during attempted change. The steps, as outlined by Dr. Kotter, are as follows:

1. **Establishing a Sense of Urgency.** The first step is one of the most important steps to implementing change and also one many ignore. If employees don't feel a sense of urgency and determination, then they will be much more resistant to change, as they will not see a reason for the upsetting of the status quo.

2. **Creating the Guiding Coalition/Implementing change always requires more than one person at the helm.** Putting together the right group is key to ensuring that your change is successful. You must make sure that the important players have the same emotional commitment and a desire to succeed.

3. **Developing a Change Vision.** Having a clear vision is very important to effective change. It not only points people towards what you're trying to achieve and helps coordinate actions, but also aids in simplifying many more detailed decisions, as you know where the company is heading and provides a compass of sorts pointing you in the right direction.

4. **Communicating the Vision for Buy-in.** Communicating the vision that you have made up is the next important step in achieving change. You may have the best vision in the world, but if the members of your organization don't understand your vision or motivations, they can't truly be expected to help make it a reality.

5. **Empowering Broad-based Action.** Ensuring that you remove barriers to your change is very important in introducing change to an organization. These barriers can appear in internal structures or as employees that may not be on board with the vision you have. If these people are supervisors or managers, your efforts can quickly become undermined, so it is crucial to ensure that they are handled as quickly as possible.

6. **Generating Short-term Wins.** Creating short term, doable goals that can be quickly accomplished aids change as it will help employees see the progress that is made and re-inspire towards continuing towards your vision.

7. **Never Letting Up.** Without persistence, no change will ever be achieved. Good things take time, and as you achieve small victories in changing your organization, it is important to not get caught up in your successes and to continue pushing forward instead of becoming complacent in what has already been achieved.

8. **Make it Stick.** Finally as the last step, you must make the cultural change in order to ensure the change sticks with the organization. This is to make the change into the new norm, so that it is what is normally done. Then as new

employees join, they will learn the new way and soon the old will be forgotten.

By following this system, organizations trying to implement change can ease the transition period as well as be more successful in their changes that they implement.

VI. POSITIVE AND NEGATIVE MANAGEMENT

Positive and negative management results on huge effect on successes on the changes in an organization. The trust between the leader and employees are the most critical factor in the result of positive management^[12].

Negative management results in negative effect on productivity. An overview in negative management will be explained and demonstrate how it can result in bad conditions while in the process of change.

Unsupported changes cause failure. In an organization, if the changes are decided, every employee and manager must be on board in order to succeed. Lack of support is an unfortunate act of negative management and it will cause new changes to fail.

An "Do as I say" leader will have employees lose trust. In the way of negative management, losing trust from employees can cause a change to fail. As mention previously, trust is critical for the employees to follow the changes. Once a leader just bosses everyone around in the organization without informing or reasoning, the organization will have a fairly negative result on the changes and also effect on the productivity.

Positive management is the proper management for change. Positive management should be practiced in every organization. Despite the leader and management is making good changes, the employees must also follow the new system and policy in order to have success result of change. The following will clarify how a positive management can be performed and how to come over with some major difficulties.

Confront the fear of change is the first step. The most popular reason on many organizations to failed the process of change is mainly most of the employees including the management are afraid to change. Especially in software industry, the process to change occurs very frequently as technology improves every day. The whole organization must participate and follow the new changes, or else the organization will not able to improve.

Building trust among employees is critical. A leader must inform everyone in the organization for the changes before the process of change begins. Also giving reason can help the faster and more success on the change since the employees have the understanding of the main reason behind the changes. Among these interaction between the employees and the management, the employees will have less hesitation on committing to change since trust are being built.

Feedback and reward. As a leader gain trust from the whole organization, it is important to get feedback from the

employees. This can help the change process to continue and adjustment can be made easily if necessary. Leader should reward on the employees for acceptable behaviors in the process of change in order to encourage others to also follow changes. Instead of punishment, financial rewards are more effective on successful result in changes.

VI. NEGOTIATION

In this section, the role of the affected and the superior are discussed, outlining a set of guidelines to effectively introduce positive change^{[1][6]}. The following is a brief overview of the actions that should be undertaken by each role:

The role of the ‘affected’ in negotiation. Whether you’re a subordinate, a colleague, or classified as a superior, if you are affected by change you are part of this group. Being an affected comes with responsibilities such as negotiating with your superiors to express any concerns or objections. Members of this group are advised to be involve as an active member during the negotiation phase. Failing to speak up or to understand the problem can lead to undesirable outcomes that could have been avoided if opinion were voiced. To negotiate effectively, it is important to create a communication bridge between you and your superior.

The role of the superior in negotiation. As the implementer of change, you are given the responsibility to negotiate with the affected and investigate the area of change to determine if it should be introduced to your organization. The following is a list of strategies to negotiate effectively:

Portray change in a new light. Show that change is not always a bad thing and that you are confident, well-informed and convinced of the possible effect of introducing the change. Clarify why the change is needed and make sure that everyone understands why. This will create less uncertainty and anxiety among the organization bringing more acceptance to the change.

Demonstrate leadership. Since change management is heavily dependent on leadership, leadership is one of the primary that determines change or not. Poor leadership skill can have a cascade effect on the affected where poor judgment can cause distrust and dissatisfaction with the newly introduced change. If superior and affected are placed in a hierarchy where superiors are position at the top and the affected at the bottom, the layers above the affected should have sufficient knowledge of the change before individuals in this layer are willing to follow.

Listen to feedback. Introducing change effectively does not begin with an “I” but a “We”. Building a communication link between the higher-ups and the affected serve as a powerful tool that will help build the foundation for cooperation amongst these two parties. Enabling the affected to have a voice will induce a feeling of belonging and acceptance. This allows individuals to be more involved and

feel more in control instead of feeling hostile with the change forced upon them.

Notify any changes. Any changes that could potentially affect those who are involved should update and notify the affected with the current change status. Reporting these details and giving those affected a clear message of what is happening can earn the organization their trust and give a sense of direction of where the change is heading. Give a thorough explanation to why the change is necessary as they will be more willing to follow if they are well inform.

Achieve mutual understanding. Make sure that everyone involved are on the same page in terms of the changes being introduced. Sometimes, superiors fail to recognize any misunderstandings or disagreements that could arise. As a result, superiors are left feeling confident about the change while the affected are left confused and misguided. For this reason, ensure that the message being conveyed is being reached out to everyone that is affected. Messages should also be concise and clear enough for everyone involved to comprehend.

VII. REACTION TO CHANGE

Different reactions to change can be generalized into the following four groups^{[13]1}:

- ⤴ **Protesters.** These individuals often express their concerns and objections openly to the organization and colleagues. Negotiation often takes place when the problem has been identified by the participating parties.
- ⤴ **Zombies.** Like the term dictates, these individuals don’t have much of an opinion and are happy to go along with the proposed change.
- ⤴ **Saboteurs.** When faced with change, these individuals take on the role of being the devil’s advocate where they try to find faults and failures in favor of how things are currently being done.
- ⤴ **Survivors.** Like the survival of the fittest, these individuals accept change and try to make the best out of the current situation.

VIII. CASE STUDIES

A. Case Study Texas Children Hospital

Background. In 2006, the Texas Children hospital was a change and an expansion project that was 1.5 billion dollars. This project includes creating new buildings and adding new service lines, programs and increase in employee resources. Another aspect of the change was from paper to an electronic

1 Variations of these groups do exist but are generalized in this paper.

medical record system. The initial phase of the project affected the scope of about 85% of the workforce which was around 6000 employees. This phase was pushed by two major business units of the organization.

Overview. A change management team was created to help those affected adapt to the new transformation. This team was paired with the implementation team and higher-up leaders to promote change and help reduce resistance and build more acceptance towards it. The change management team created two major activities, a change agent network and conducting dress rehearsals.

The change agent network that was created consisted of leaders selected throughout the organization. The selected individuals were considered an extension of the change management team would work on the ground as well as report on going information that was relevant to the change management team. The management team would provide tips and information based on the changed which the agents would provide and share with their fellow peers. The change agents also had periodic meetings and conference calls where it allowed information to be shared with one another and build ideas to help foster acceptance to the change and inform if there are any issues that required attention.

The other activity that was conducted were dress rehearsal activities in preparation of the implementation. This gave the chance to put the new system into practice and also allowed those affected to experience the said system as they were given simulations of it. By giving the end users this experience they can be prepared for what should be expected and it helps minimize any uncertainty they might have. In addition, this helped identify potential flaws that were not identified before the system were to go live.

Sponsorship from high-up. The higher ups took part and worked closely with the change management team by discussing various change management ideas and also managing the needs of the business side of the team. The close involvement of both parties help them generate activities and concepts that help meet closely both goals of the party.

The business team also took part in selecting leaders and seeking out volunteers to participate in the change agent network. The business team also would join in on their meetings and conference calls to help discuss activities and resolve problems by providing their input.

Engaging the end users. To engage the users through the project, the change management team conducted four surveys, baseline (Sent 6 - 8 months before go-live), Pre go-live(sent 2 weeks before go live), Post go-live (sent 30 days after go-live) and 90 days post go-live (send 90 days after go live). The information gathered are then used to address any issues that end users have come across.^[7]

Change Result. From the data retrieved from the final survey after 90 days the results were favorable. It showed an increase of 8% of overall performance that were measured by business units. The results showed that an effective team management practice showed improvement for the team.

B. Case Study: TrueLocal.com.au

Background. TrueLocal.com.au is an online business directory service website. It's a business unit under the News Digital Media (NDM) organization. Truelocal based in Sydney employed over 150 staff and was founded in 2005 by NDM^[8].

Need for change. Truelocal needed to change its management and structure to match that of the parent company NDM. NDM was growing, so it redesigned its organization in terms of structure and strategy to achieve the goal of being the number one provider of online information in Australia. This caused Truelocal to also reorganize its structure and management as they were also lead by a new management team and CEO. They in turn wanted to change the structure to move from a less desirable state to another. The existing culture was very casual from dress requirement, start and finishing time, informal communication of staff being employed were friends or family. They needed to change their structure to a more professional environment and also align their goals to match that of the parent company.

Process of change. Truelocal's managers were selected with experience in transformation and also ones that matched the company's professional and performance goals. of the company The managers were expected to deal with the change process. Change agents were also introduced to help drive the transformation in a supportive manner. They also provided the communication of the need to change and got feedback from the employees. Issues that arose were brought to the managers where discussions would take place to resolve them.

Change Results. In the end, Truelocal did achieve their goal of changing their structure from casual to more professional and high performance. They were able to gain a fast communication channels and the staff worked more effectively to get things done.

C. Case Study: HR London Camden

Background. The London borough of Camden employs over 5000 people. In July 2012, the HR Head of Service had been hearing about the benefit of change management and applying new thinking. Days later redundancies and wasteful practices were recognized^[9].

Need for change. The HR department had many outdated practices in terms of dealing with customers. These included the following:

³⁵
₁₇

Functionalization / Specialism - The original system was designed with multiple "hand-overs" to specialists. A customer would call HR only to tell them their issue/question and be redirected to another employee who knew the answer. This caused a lot of redundancy and forced the customer to interact with more people and therefore longer response time.

³⁵₁₇ **Monthly Deadline** - The payroll team worked with a monthly deadline for payroll entry. This target deadline caused the payroll department to collect changes required to be implemented and actually implement them in the system days before close down date. This often led to payroll employees finding out they were missing key information to successfully complete the task. The employees then had to chase for the information and as a consequence they often did not complete the task by the deadline.

³⁵₁₇ **Checking** - They were multiple checkpoint when processing a pay change. Form were checked from 1-4 times over. The reasoning behind this set up was to ensure 100% accuracy yet upon investigation it was found that there were rarely any human errors and this method just delayed the process.

³⁵₁₇ **Audit & Legal Requirements** - The internal audit team required a vast amount of information to perform. This led to unnecessary amounts of information and checks to be done. The department had to implement a more efficient way to achieve the same task.

Process of change. New operating principles were enforced. Employees selected for the test were encouraged to follow it and come up with even better solutions. The new principles were minimize hand-offs, do as much possible in “one stop”, checking to be done only if it adds value, challenge the current system (policies, audits, procedures), work first-in should be work first-out, and question constantly if the task adds value. The new system was a huge success in the test and was then able to be implemented and staff that did not take part in test were trained in the new system. The department was able to successfully implement this system by allowing its users to be a part of it and input their own thoughts and ideas. This leads to better responses when introducing changes.

Change Results. The original goal was to increase efficiency of the working system. In the 4 months since the start of the change process the following were achieved:

- ³⁵₁₇ Reduction of wasted capacity by 50% (10 FTE).
- ³⁵₁₇ Better service for customer.
 - The number of queries successfully resolved for the customer at the first point of contact rose from 56% to 96%
 - The number of progress chasing and complaint calls (failure demand) fell from 44% to 17%
- ³⁵₁₇ Staff reported better job satisfaction and higher morale

D. Case Study: The City of Lincoln, Scotland Food, Health, & Safety Team

Background. The team is responsible for overseeing the safety of all food sold within its boundaries a monitors a growing base of over 1000 food businesses^[14].

Need for change. There was no specific component of the current system to be improved. The entire system was being reviewed to improve efficiency. Among these were:

- ³⁵₁₇ Routine inspection activity
- ³⁵₁₇ Dealing with persistent offenders
- ³⁵₁₇ Reactive work - responding to complaints about food safety from the public and requests for guidance from food providers
- ³⁵₁₇ Educational work with food premises and the public to raise awareness of food standards and compliance

Process of change. Hiring professionals to train and overlook key staff that were able to spot problems and delegate others. By looking at the service from the customers’ perspective they found that their current measures did not help them understand the performance of the service or the reasons for the variation in performance. This led to the realization that based on time their efficiency was sub par. The time it took to carry out an inspection to achieving business compliance was usually long and the range of time between business was large. The old system ran on a target basis which made the employees work with the easier establishments to turn around and leave the ones with the biggest issues for when there was time. This was changed for a first in first out policy to ensure every case was worked on in an efficient manner. Staff training was carried out to ensure the whole team was able to work this way to achieve a much smaller variation.

Change Results. Time taken from inspection of an unsafe food business to the business becoming safe dropped from an average of 65 days to 7 days, 89% improvement. Time taken to respond to customer complaints about businesses with poor food practices, inspect and make them safe speed up by 53%. Staff morale and efficiency increased.

E. Case Study: Eastman Kodak Company

Background. Kodak was a leading film and camera company that was founded in 1888. It lead the industry into the late 1990’s when it started to fail due to the decline of film (non digital) cameras^[15].

Need for Change. Cameras have always been very popular and Kodak lead this industry with they cameras and film, but with the introduction of digital cameras the industry shifted. Kodak would need to change to keep up with this, but as we know they did not and have lost a substantial place in the market.

Results. Kodak actually was one of the first companies to develop a digital camera, but did not focus on it due to fear of the consequences it would bring. Turns out the industry would move forward without them and by the time Kodak started to enter the digital market it was too late, and the company has been on the decline ever since. At its prime Kodak employed 144 000 people and now is down to 14 000, as well as their stock dropping from around \$90 to below a single dollar.

IX. ACKNOWLEDGEMENTS

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