

Managing Change in Organizations
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Lecture – 20
Approaches to Implementing Change (Contd.)

So, welcome back to the next session and in this session we are going to talk about another approach to change management which is called contingency and process based approach. Before that we discussed about various approaches like OD based approach, appreciative inquiry and its application in change management. We also talked about action research and then we also looked into the sense making approach, where we tried to understand and interpret things in the best possible manner; to make sense of it so that we are able to realise some meaning out of it right.

Now if you look at these approaches they are divergent, they provide different perspectives and they also deal with various facets of change management, when it comes to implementing change in the organisations. Now what we are going to discuss is something different, that is contingency approach and the process. So, when we are talking about the contingency approach in the process approach basically talks about two different perspectives. So, contingency means what? It depends. So, how you are going to implement change it depends upon a number of factors right. So, looking at the context and the environment and then you decide what process you will adopt for bringing about the change.

Now, if you look at the process based approach it talks about the entire process through which a change that is initiated by the management is implemented, so that it gets institutionalised. Now when we are talking about this process based approach here we will see that what are the different kind of processes that is being adopted by the managers to bring about a successful change. Now in this lecture we will be basically talking about these two approaches.

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Change Management Approach

- Focuses on strategic, intentional and usually large-scale change.
- Entails following a variety of steps; the exact steps vary depending upon the model used.
- Belief that achieving organizational change is possible through a coordinated and planned approach.

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So, we start with this, now if you look at the change management approaches, what actually happens? Now most of this change could be strategic in nature right, it means that you want to bring about a change because, you find that your strategy which is being derived based on the environment would help you to bring about a change in your performance, your effectiveness right. So, you develop an action plan and this strategy or action plan require some kind of change to be brought out in different areas after change, whether it is people related whether technology related whether system or structure related or even related to the strategy or the culture of the organisation, right.

So, when you start thinking about bringing about a change you go through a number of steps right. So, if you look at some of the models that we are going to discuss now, most of these models basically have a number of steps. And you will also find that in some cases the number of steps are less and some cases the number of steps are more right. And that is why most of this models are known as N a step models, it means the number of steps that each of these models talk about will vary right.

So, the exact number of steps will vary depending upon what kind of model you are going to use right. So, before we think about bringing a change in the organisation you have to see that how you adopt it, which model you are adopting it. What is your approach? Whether you go for a more coordinated and planned approach or whether it is

unintended, not coordinated and planned. So, based on these criteria we will look into various models and frameworks where we have discussed about the different steps.

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Kotter's Eight-Step Model

Kotter's eight-step model :

1. Establish the need for urgency
2. Ensure there is a powerful change group to guide the change
3. Develop a vision
4. Communicate the vision
5. Empower the staff
6. Ensure there are short-term wins
7. Consolidate gains
8. Embed the change in the culture

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Now, if you look at N a step approach the first model that we are going to talk about is Kotter's eight-step model. Now Kotter has provided different steps, mostly eight steps that he talks about. And, if you look at these steps it talks about starting with establishing the need for urgency to finally, making the change as a part of the organisation right. So, it becomes a part of the culture of the organisation.

Now, if you look at these state each step model you can see that each these steps are sequential right. First you go by step 1, then move to the next stage then the third stage then the fourth fifth sixth and seventh and finally, you close it. Even the change is institutionalised it is established in the organisation. Now if you look at this model, the first stage is what it talks about the need for urgency, it means that you think or decide that yes there is a need to go for a change right the moment you think that yes you also need to ensure that yes there is a group which is going to backup, this kind of change. It means that the moment you decide about the change, the people who are going to advocate it and support it.

Then you develop a vision, that what will happen after this change right, how this vision is going to be influenced by the change that you want to bring. And then this the vision that you want to realise need to be communicated to the stakeholders and then the next

stage where the people come into the picture you need to empower them, it means that you need to provide them authority or delegate authority you can say down the line so that they participate in the process. This empowerment bring two things, that is commitment and engagement on behalf of the stop and it also reduces your resistance right and then you see that on your way or when you are implementing gradually you are also succeeding.

So, in this process if you have achieved short term wins right you are suppose, your goal is divided into sub goals so, a suppose sub goal one is achieved by you. So, you celebrate it right it means that the moment you ensure that yes you have succeeded at stage one or the step first of your change that you want to bring out then you move to the next stage right. Because it is a consequentially step one by one you move to in that the change right and then keep on consolidating whatever change you have been able to stabilise right and once all the changes have been, all the step all the entire process you can say of the change has been part of the organisation then this is what you know as embedded the change. It means now the change has been institutionalised and it is become a part of the culture.

Now, let us take an example to explain this right. So, we will take an example related to say restructuring or a re-engineering, now you think that some of the processes that you follow or some of the business processes are not effective and relating to the performance right. Suppose you know that your supply chain system or say recruitment process for example, is not validated enough it is not working effectively and return on investment for the entire recruitment process is very low and you are not able to find a right fit between the personal job what does it suggests. So, all these activities actually is talks about the urgency, that yes there is a need to change up bring about sufficient changes in the recruitment process or you want to go for a new process. Entirely new process which is going to be say more cost effective and to also bring better people or talented people in the organisation.

Now, the moment you moved this idea or they (Refer Time: 09:09) moved this idea there should be a group which is going to advocate this or it is going to support it. And also guide this change, may be from the change managers from the HR side or even the line managers could also act as a support group for this because they think that the kind of people that they are getting to work are not good enough right. Then you develop a

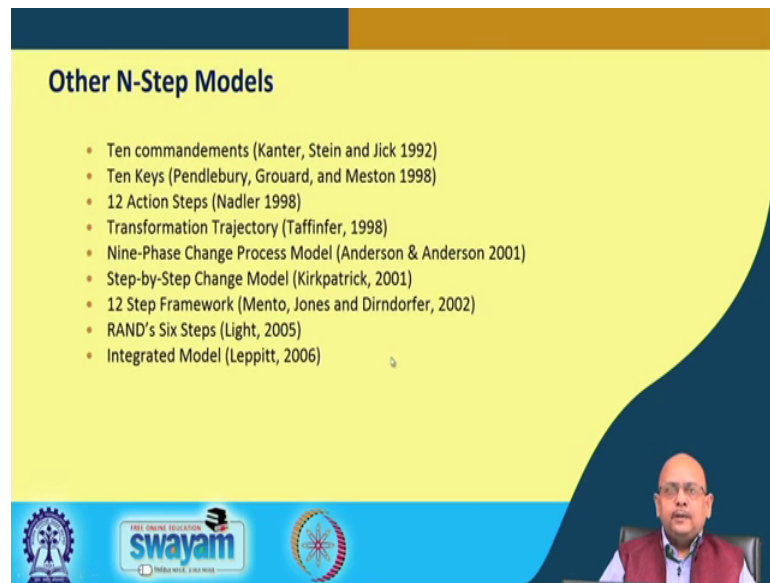
vision for the HR that yes the basic objective is to bring very talented people in the organisation to have a better fit between the person and the job. And then this vision related to this process need to be communicated down the line, then the HR managers need to be empowered to decide about the kind of recruitment process that they want to adopt right.

And here they need to be delegated that they need to decide how they are going to recruit what process is they are going to have, how many steps are going to be in the recruitment process starting with looking for the applications sorry advertisement to applications to start and start listing screening and the final recommendations so that they carry out this process effectively. And then you see that the first stage say for example, if you adopt a new process and you have decided to go for a new advertisement in a different kind of mode and see whether you get more applications. That the moment you say that you have got more application means that it is a kind of short term list, means it means that there have more people who are prospective employees have applied for result right.

Now you can have a better selection decision right and at each stage of this process you are going to say that what are the wins that you have made and then all the gains can be consolidated and see whether your entire recruitment process have been cost effective in terms of outcomes that these are the gains right. First how many people have been able to get right, what was your investments and what is the level of talent? Whether there is a better feed between person and the job or not and once this recruitment process gets institutionalised then it becomes a part of the organisation.

So, next time we are going to make use of the same kind of recruitment process right. So, bringing about a change in the recruitment process what is happens you go through all the stages to ensure that this change is being implemented in the organisation. So, this is the most effective model that have been used by the researchers as well as practitioners both, to ensure that the change is carried out successfully. Now, in addition to that we will also discuss some other models where you will find that number of stages. So, the steps may be less or more right.

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Other N-Step Models

- Ten commandments (Kanter, Stein and Jick 1992)
- Ten Keys (Pendlebury, Grouard, and Meston 1998)
- 12 Action Steps (Nadler 1998)
- Transformation Trajectory (Taffinifer, 1998)
- Nine-Phase Change Process Model (Anderson & Anderson 2001)
- Step-by-Step Change Model (Kirkpatrick, 2001)
- 12 Step Framework (Mento, Jones and Dirndorfer, 2002)
- RAND's Six Steps (Light, 2005)
- Integrated Model (Leppitt, 2006)

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For example, if you look at some other models like ten commandments model, ten keys twelve action steps trans transformation trajectory nine-phase change process model, step by step change process model 12 step frameworks right. So, these are the different models that have been proposed and all of them have different steps, we will not discuss all of them we will discuss some of them which are more important and relevant to understand that how the changes being carried out. So, moving further we will talk about the ten commandments right and if you look at this ten commandments it have been given by Kanter and Jick right.

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Ten Commandments for Implementing Change

6. Line up political sponsorship
7. Craft an implementation plan
8. Develop enabling structures
9. Communicate, involve people, and be honest
10. Reinforce and institutionalize the change

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Now, if you look at this ten commandments they also talk about 10 different steps which they call ten commandments. So, these ten commandments include to start with you need to analyse the organisation and its need for change which is very closer to what Kotter has said then you create a vision and common direction right, third separated from the past.

So, do not link it with the kind of changes that we have introduced and whether it has succeeded or not right. So, each new change that you want to bring you think about it a fresh then the then you create a sense of urgency, have a strong support strong leadership it means that you need a powerful change managers or group of people who are going to support it right.

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The slide is titled "Ten Commandments for Implementing Change" and lists the following steps:

6. Line up political sponsorship
7. Craft an implementation plan
8. Develop enabling structures
9. Communicate, involve people, and be honest
10. Reinforce and institutionalize the change

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Then the sixth stage is political sponsorship, this uses see that there is no political manoeuvring right though conflict is there you are not going to go for any kind of negotiation to bring about any change which you want to introduce right and then you decide about an implementation plan that how do you have got it. So, listen to the process of change and then you develop a structure. So, you also need to bring about a change in the structure which is going to support the implementation process

Then the ninth stage relates to what? Communication, communication to the stakeholders or the employees you need to engage them and you be honest with them because you need to communicate what kind of change you want to bring why want to

bring what kind of benefits it would bring right. So, if you communicate and involve people then this would lead to better engagement and commitment from their side and they would also trust you right. And then finally, the last stage is reinforce and institutionalise the change, a very the change become a part of the organisation. Now we have discussed two major models that is ten commandments and the Kotter step eight-step model right.

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The Ten Keys to Successful Change Management

- Key 1 – defining the vision:** establishing the overall objective of change and outlining the way in which it will be implemented.
- Key 2 – Mobilising:** creating a dynamic for change among employees, evaluating the issues raised by the vision and specifying the main directions for improvement as a consequence.
- Key 3 – Catalysing:** defining the project structure and how it will work in supporting, facilitating and accelerating change.
- Key 4 – Steering:** defining and carrying out the set of actions which will guide the process of change and keep it on course.
- Key 5 – Delivering:** implementing the changes by realising the vision in terms of the day-to-day operation of the business, in other words altering structures, methods, attitudes and culture in order to produce the anticipated quantitative and qualitative results.
- Key 6 - Obtaining participation:** ensuring that all employees affected by change participate, in order both to enhance the vision and to ease its implementation.
- Key 7 - Handling the emotional dimension:** overcoming resistance and mental blockages, so that change can be delivered.
- Key 8 - Handling the power issues:** redirecting power relations to bring them into line with the vision so that they contribute positively to the process of change.
- Key 9 - Training and coaching:** providing training in both technical and interpersonal skills, to help employees maximize their contribution to the process of change and subsequently incorporate the vision into their everyday life
- Key 10: Communicating actively:** initiating and coordinating a communication explosion, to encourage universal participation and involvement and hence promote change

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Now, you move further to talk about the ten keys of successful change management, now if you look at this ten keys they are also talking about more or less similar things for example, here the first stage it talks about is defining the vision. Defining the vision means that you need to define about the overall objective of the change and how it is going to be implemented say for example, you want to bring about a technology changes right.

So, you say that what kind of technology you want to bring what is the objective of bringing this technology and how this technology is going to be successfully implemented right because you want to go for a change in your technology of production, then mobilising right. So, you need to create dynamic for change among the employees so that people are less assistants, they go for it right.

Then catalyse look at the structure and how it will work and support of facilitate. So, here you look at the structure of the that is reporting relationship of the people then

steering, you need a set of people whose going to take it up and that is why you have steering committee or change group or change managers then delivering the changes. Now you are going to implement the change by realising the vision in terms of day to day operations right, whether you are going to make bring about any change because you want to go for a change in the technology, does it require any change in the structure, people, the processes.

Because the moment you think about bringing about a change in the technology this might necessitate a change in the structure of the organisation or even a change in what you call the processes because the processes associated with earlier technology would be different compared to the new technology. And accordingly you need to bring about certain changes so that it gets aligned. Then you also get participation, make sure that everybody participates in the process then you also handle the emotional dimensions questions like anxiety stress which might be people might have related to these kind of changes that what will happen to them how it is going to impact them.

So, these issues need to be discussed and finally, discuss the power dynamics because any kind of restructuring exercise bring about a change in the power status and position of the people. And then you need to train people for example, going for a technical change requires turning in technology and also interpersonal skills so that in new set up people are able to relate and interact better with each other and then communicate effectively right.

Now, what I am talking about is that if you look at these steps more or less all these models talk about stabilised steps. But which stage or which step will come where there is a variation in these models right.

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Nadler,s Approach

•Nadler's 12 Action Steps:

- Get support of key power groups
- Get leaders t model change behavior
- Use symbols and language
- Define areas of stability
- Surface dissatisfaction
- Promote participation
- Reward behavior that supports change
- Disengage from the old
- Communicate image of future
- Use multiple leverage points
- Develop transition mgt arrangements
- Create feedback

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Similarly if you look at the Nadler's approach he talks about 12 steps, like getting the support of the powerful people getting leaders model change behaviour then using symbols and language looking at the culture of the organisation then what are the areas where which are stable which does not need to be touched upon. Then what are the level of dissatisfaction with the current scenario of the people or you want to participate people in the process. So, if you want to looking for if you looking forward to peoples participation then you go for it, reward behaviour and sub that support change especially those. So, try to link this change behaviour with the reward and this engage from the old, it means that do not look into the past communicate image of the future that what kind of future you have been thinking about.

So, if you have been less scenario the future you communicate this that with this kind of change we are going to build up this kind of future, then use leverage various leverage points are different levels that is very very important may be the top management and middle management even at the department level right. And then transition management arrangements, suppose you want to bring about the ten change at the technology then how are we going to manage the production right.

So, the transition management arrangement is very very important. So, that you move very quickly very smoothly from one technology to another technology otherwise there could be a gap in the production and performance and get feedback of the people to

ensure that how will you have been able to implement change, whether it is successful or not right or the extent to which it is successful.

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Taffinder's trajectory (Taffinder, 1998)

- Taffinder's prescription for "transformation" has three aspects: **leadership, systematic innovation and conflict escalation.**
- Claiming that conflict is inherent in all social life. Avoidance or suppression by can have undesirable consequences, such as reduced innovation and a "tendency towards groupthink".
- His advice is to strive for "an optimal level of conflict" as a deliberate management act.

Devise and execute change along five transition lines

Capacity to thrive

Time

1. Awakening
2. Conceiving the Future
3. Building the Change Agenda
4. Delivering Big Change
5. Mastering Change

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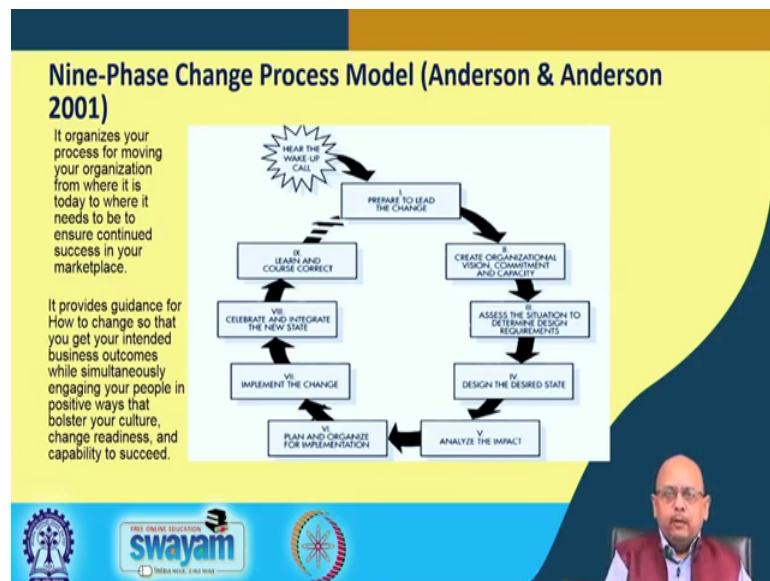
Now, after Nadler's model what you are going to discuss next is a trajectory trajectory basically trajectory which talks about transformation. So, this kind of transmission transformations are required to bring about a change that is transformation the leadership, it must lead to some kind of innovation and you are able to resolve the conflict. Because the moment you think about any kind of change right it brings conflict, it may have certain consequences right.

So, you need to look into those consequences like reduce innovation because of conflict tendency towards group think because people start thinking in similar way which may not be good for the organisation right. So, he talks about these things where he said that you would capacity to thrive depends upon these transitions when you want to go for a change. So, he talks about awakening, realising that that is there is a need for change conceiving for the future what kind of future you are looking for what kind of change environment you are looking at what kind of change organisations you want to have, then you build up your changes in the and then implement the change and finally, mastering the change.

Now, if you look at these trajectory sorry trajectories you will find that how you are going to divide an execute change along the transitions since we are talking about

transition management that is very very important to you need to ensure that is starting with the realisation of the change to basically completing the entire change process over a period of time in dial up it all depends upon your capacity to innovate right. So, what is important here is your leadership right, the ability to resolve your conflict and how innovative you are in your attitude and behaviour right. So, if it is there then with time you will be able to go through all these stages to understand and execute in a more a smooth manner now if you look at this traffinder's trajectory.

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We move further to discuss about another model which is given by Anderson and Anderson it is known as nine phase change model, now these are the nine phases sorry. Now, if you look at these nine phases it also talks about similar things right, what is the first stage? Prepare to lead the change, then create a vision commitment and capacity for the change, then it leads to assessing the current situation and the design requirement for kind of structure you are looking forward to it.

Then you look at what is your desired state, you create a situation or create a design of the future state which is the n desired state look at the impact part what will happen if you go for it. Then go for it implement the change and once you implement the change you see what happens it means that whether you have been able to create a new stage or not and finally, you get the feedback learn and course correction and then you move further right.

So, the wakeup call is from here and then you move and implement the change. So, the you go through this process which could be more cyclical in nature right and this process may continue when you go for incremental changes because you bring about one change then you try to think about another and then go for another change. So, you follow the cycle right. So, it basically talks about what? The processes from moving organisation from a river to where you should be right and also provide guidance so that you are able to achieve your intended business outcomes, ultimately any kind of change effort or change is suppose to bring about a change in certain outcomes in performance in effectiveness in commitment in satisfaction.

So, whatever it is if it is not there it means that you have not been able to bring successful change and even the change has been there it has not resulted in certain desirable outcomes for the organisation. So, it is very very important for you to understand that whether you have been able to achieve intended business outcomes along with this change that you want to implement successfully or not right. So, these the nine phase change model.

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Step-by-Step Change Model (Kirkpatrick 2001)

Kirkpatrick recommends a organized model for managing change

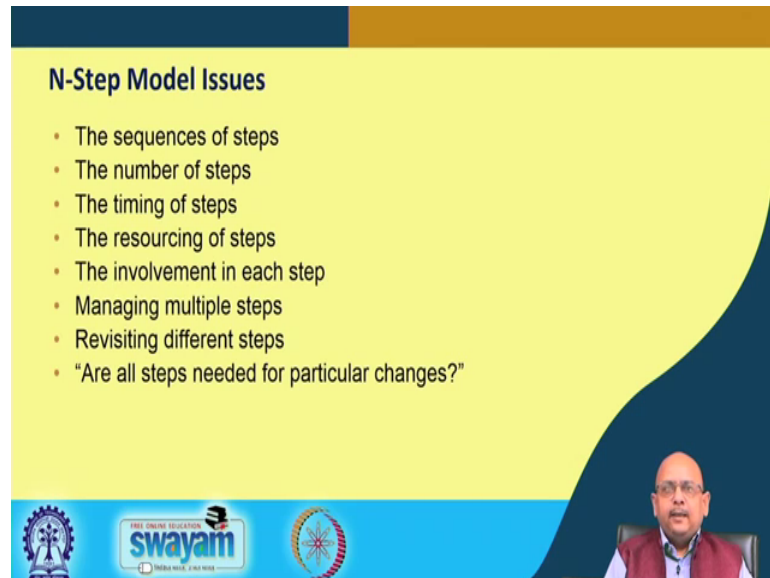
- Shaping the requirements and aspiration for a change
- Formulating an uncertain strategy.
- Investigating possible feedbacks.
- Creating an ultimate result.
- Creating a schedule.
- Making a plan for change.
- Executing the change

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Then this another model which has proposed by Kirkpatrick and he says that these are the stages shaping the requirements and aspiration for a change, having a strategy which is not very clear see what a what kind of feedbacks you can get then look at the result, have a schedule go for change and execute it. Now, if you look at this most of these

models that we have been talking about starting with a Kotter's stage you will find lot of differences variations in a in the approach there will look they look at the model right.

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N-Step Model Issues

- The sequences of steps
- The number of steps
- The timing of steps
- The resourcing of steps
- The involvement in each step
- Managing multiple steps
- Revisiting different steps
- "Are all steps needed for particular changes?"

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So, based on this understanding these are some of the issues that which has come out of these various models that we have been talking about. In the first stage the sequence of a steps; now when we are talking about a sequence of a steps what does it mean it means the number of steps and the timing of steps and the sequence of a steps all three vary right. Some models talks about 9 steps, some 10, some 12, some 11 right even the sequencing of the steps are different right.

Say need for change in some models it has come at the first stage, some where it has come at the third stage right and the timing as also varying because the stage has changed, even the sourcing for each steps is also changed so, the kind of resources that you require at each stage people are have been talking about differently and the level of engagement of a this stakeholders whether its change managements top leaders right, employees it varies.

And whether we going to manage one step at a time whether we going to manage multiple step as time, that is also a question (Refer Time: 26:08). Then some of the model talks about revisiting steps some of them do not talk about it right, but the major question here is that whether we require all the steps for bringing about a change or not right. So, these are some of the issues which is related to N step model.

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Contingency Approaches

- Contingency approaches challenge the view that there is "one best way"
- The style of change will vary, depending upon the scale of the change and the receptivity to change of organizational members.
- In the Dunphy-Stace model the style of change varies from collaborative to coercive

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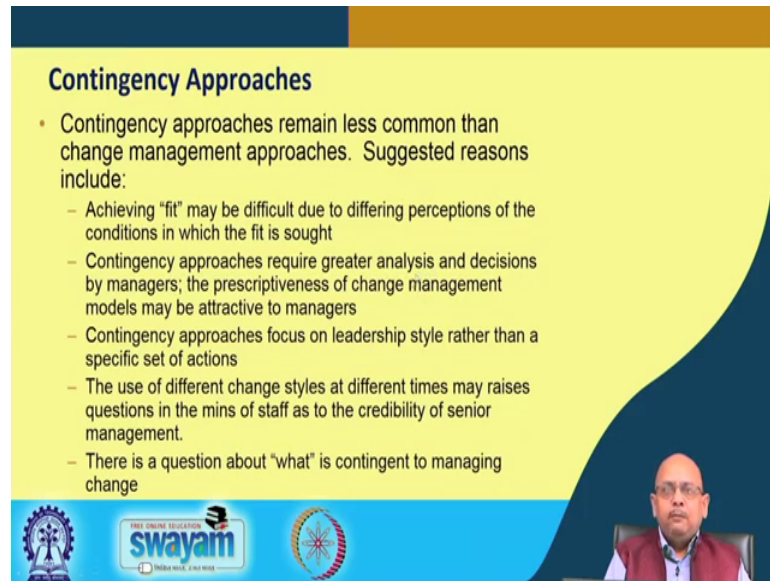
Now, moving for further we will talk about the contingency approach. So, what we been talking about the process this contingency approaches that we have discussed which they what they suggest this there is no one best way to manage an implement change successfully. If you look at these models most of these models talk about different stages right different frameworks and models having the number of a steps which are different the sequence of these steps are different right. And another important thing is that the what kind of change you want to bring and what how you go about bring about a successful change an implementing change in the organisation. It depends upon two more important factors, the commitment and engagement of the people and whether you are going for a radical or incremental change.

So, the scale of change and receptivity to change by the members of the organisation is very important. So, what you need to understand is you need to select a model depending upon what kind of change you want to bring incremental or transformational and another important factor that you need to understand that how are you going to manage resistance of the employees. In the last module we have talked about that yes you need to manage resistance and their certain steps that can be taken so there is a better reception to the change by the members of the organisation right.

In some of the models you will find that sometimes you want to be collaborative you want may expect collaboration, but some of the models like OD approach talks about

what question also right because sometimes people are not ready accept, but you want to go for it. So, you use threat as a medium to influence people so that they go for a change right. So, if you look at this contingency approaches they are different perspectives that is very very important because there is no best way, it depends right what kind of change you want to bring and.

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Contingency Approaches

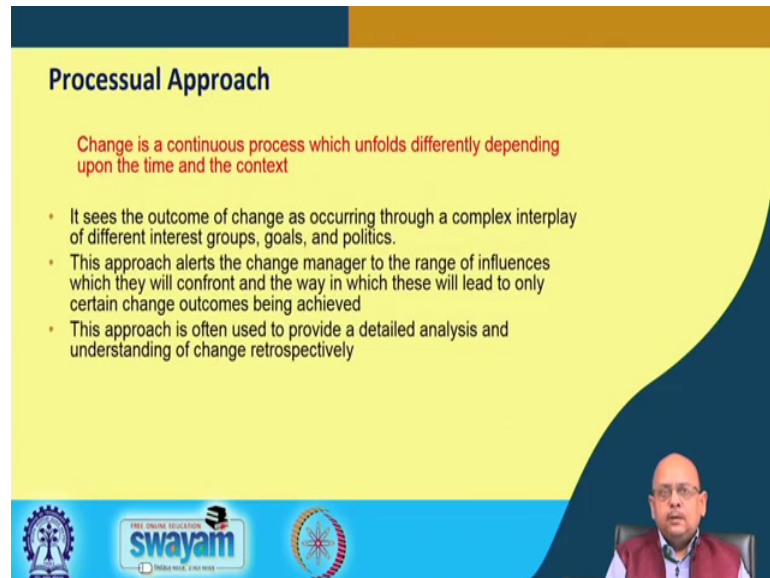
- Contingency approaches remain less common than change management approaches. Suggested reasons include:
 - Achieving "fit" may be difficult due to differing perceptions of the conditions in which the fit is sought
 - Contingency approaches require greater analysis and decisions by managers; the prescriptiveness of change management models may be attractive to managers
 - Contingency approaches focus on leadership style rather than a specific set of actions
 - The use of different change styles at different times may raises questions in the mins of staff as to the credibility of senior management.
 - There is a question about "what" is contingent to managing change

The extent to which people have been able to accept it right; so, contingency approaches are not very common, less common and why it is not very common because you want to follow a preconceived stages model and thing that if you are going to use this models and framework it would be helping you to succeed right. Because the perceptions of the contextual situation may be different right and contingency approach approaches require greater analysis by the managers and prescriptiveness of the change management. So, it is not going to fit in to any of these models that we have been talking about right. It also requires better leadership style, then just having a set of actions that you need to go one by one in a sequence to achieve success right.

Next if you look at the that the various change management styles it also raises questions right especially (Refer Time: 29:25) seen their management for one time you go for another style another time you go for different kind of style. And then the most important is the question that we are going to ask is what is contingent. So, it depends upon the

context or the situation because that is going to define how are we going to manage change right. So, the contingency approaches are also important.

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Processual Approach

Change is a continuous process which unfolds differently depending upon the time and the context

- It sees the outcome of change as occurring through a complex interplay of different interest groups, goals, and politics.
- This approach alerts the change manager to the range of influences which they will confront and the way in which these will lead to only certain change outcomes being achieved
- This approach is often used to provide a detailed analysis and understanding of change retrospectively

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But they require more effort on the part of the management. So, if you look at the process based approach it says that it is a continuous process right which unfolds differently depending upon the time and the context that is what we have been talking about. So, if you look at the outcome of the change it occurs through a complex interplay of groups politics goals objectives. So, they could be the various factors which contribute to the success of change right. So, any approach of the change manager basically depends upon the level of comfort that he has, how much confrontation he is going to have right.

So, there could be number of factors which are going to affect the change outcome right. So, if you think that it is a continuous process right you go for detail analysis understand the change in a retrospective way look at the past. And then learn from the past, look at the mistakes that you have made and what is your learning and experiences and based on that if you proceed and inculcate that in the present process probably you will be more successful.

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Diagnosed issue

- The nature of the diagnosed problem or opportunity that underpins the aim of the change initiative has to be a key consideration

• Diagnosed issue

-HUMAN-PROCESS -TECHNIQUE-STRUCTURAL -HUMAN-RESOURCE -STRATEGIC

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Moving further what is being diagnosed and that we have already discussed, but here what I am going to talk about see these are the various areas of change that we have been talking about all right. Isn't it? That is where you want to bring about a change. So, if you are able to decide it is always good to go for it means that it will be in a better position to implement that. So, the first thing is that yes you must be able to identify what is you want to bring. So, if whether you want to bring about a change in the HR processes whether you want to bring about a change in the technology or the structure or the HR or the strategic changes right.

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Level of change target

• Level

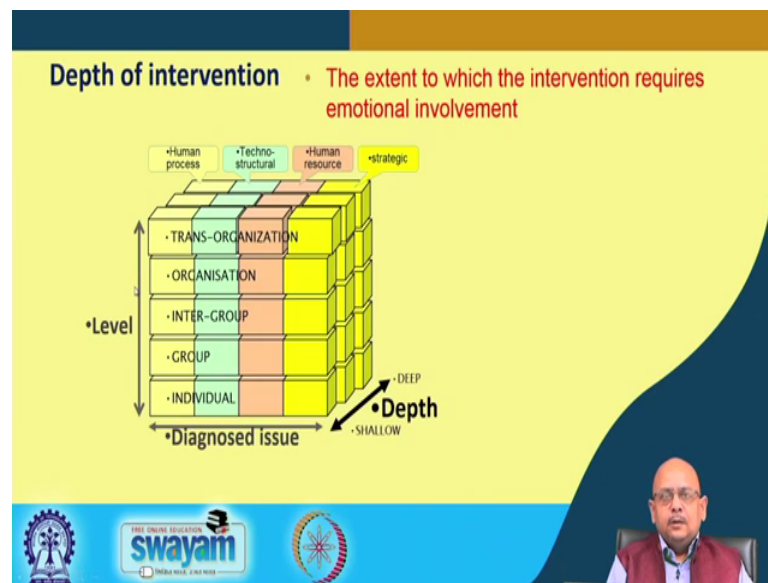
-TRANS-ORGANIZATION
-ORGANISATION
-INTER-GROUP
-GROUP
-INDIVIDUAL

•Diagnosed issue

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Next issue is very very important once you have been able to diagnosed you also need to identify at what level you want to bring about it, whether the target of the change is individual, groups, intergroup, organisation or trans organisation. The moment you are able to define both the diagnosed issue at the level then your job become easy right.

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The third level, so what kind of intervention you want? Whether you want to go for shallow intervention and depth intervention so that is why it this is a three dimensional model. The first dimensional talks about the issue, second about the level and third about the depth so if all the three things are clearly identified, then you will be in a better position to understand which model to use to implement change.

For example, suppose you have decided that the issue is related to the structure it is related to the inter group and then you go for a deep structure. So, now, it makes it very clear for you that these are the things that we need to do and accordingly you can define what or what are the steps that you need to follow right and that makes your job much more simple.

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A comprehensive model to help select/design interventions

- Diagnosed issue
- Level of change target
- Depth
- Change strategy favoured by dominant coalition/CEO
- Culture: national & organizational
- Need for input from employees and other stakeholders
- Time available to implement change
- Evidence re effectiveness of available interventions
- Change agent's competence to implement interventions

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And that is why if you look at these three dimensional model it is always good right that is what I have been talking about and then you look at the culture need for input from employees or the stakeholders how much time you have right, whether you can look at the evidence for effectiveness or not and the competence of the change managers. So, all this are important and that makes your job simple to implement a change successful any organisations all right.

Thank you very much.