

NPTEL ONLINE CERTIFICATION COURSES

Course Name: Managing Change in Organizations

Faculty Name: KBL Srivastava

Department: Humanities and Social Sciences

Indian Institute of Technology Kharagpur

**Topic: Implementation of Change: OD
approach**

CONCEPTS COVERED

Concepts Covered:

- ☐ OD approach to change
- ☐ Appreciative Inquiry
- ☐ Positive organizational behavior approach and sense making
- ☐ Contingency approach
- ☐ Process Approach



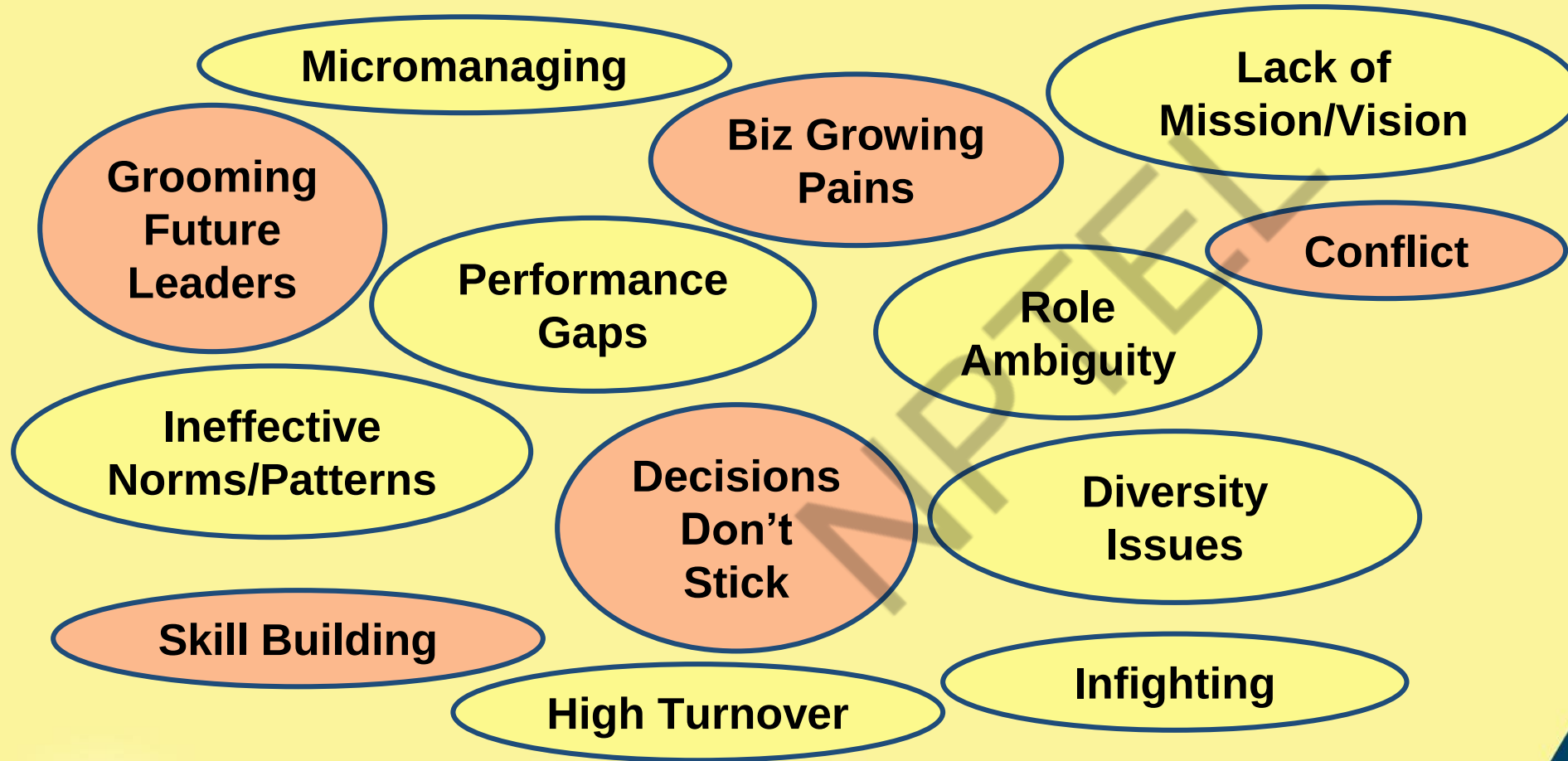
Change managers Image in implementation process

Image		Rationale
Coach	Organization Development Appreciative Inquiry Positive Organizational Scholarship	These theories and approaches focus on identifying and building on what is working best in the organisation.
Interpreter	Sense-Making	This approach as it alerts managers to the different influence that interpretations of change can have.
Director	Change Management Contingency Theories	They focus on strategic and planned organizational change. Intentional change outcomes can be achieved through a series of planned steps. There is certainty that it can be achieved.
Navigator	Processual Approach	The outcomes are the result of a complex interplay of different interests, both internal and external to the organization.

Organization Development Approach to Change

- Fundamental basis
- Change is planned, incremental and participative
- Outcomes are focused on the improved effectiveness of the organization
- Long-term focus to achieve its action-orientated goals
- Focus on changing the attitudes and behaviors of employees
- Top-down focus
- Application of **social science techniques** to **plan change in organizational settings** for the purpose of **enhancing organizational effectiveness** and the development of individuals.

Issues addressed by Organizational Development Approach



Interventions to address Issues

Organizational Effectiveness	Employee Effectiveness
Change Management	Executive Development
Strategic Planning	3rd Party Conflict Resolution
Group Facilitation	Customer Service Training
Org Restructures	Leadership Development
Sociotechnical Systems Design	Workforce Diversity
Action Research	Communications Training

Waterline Model

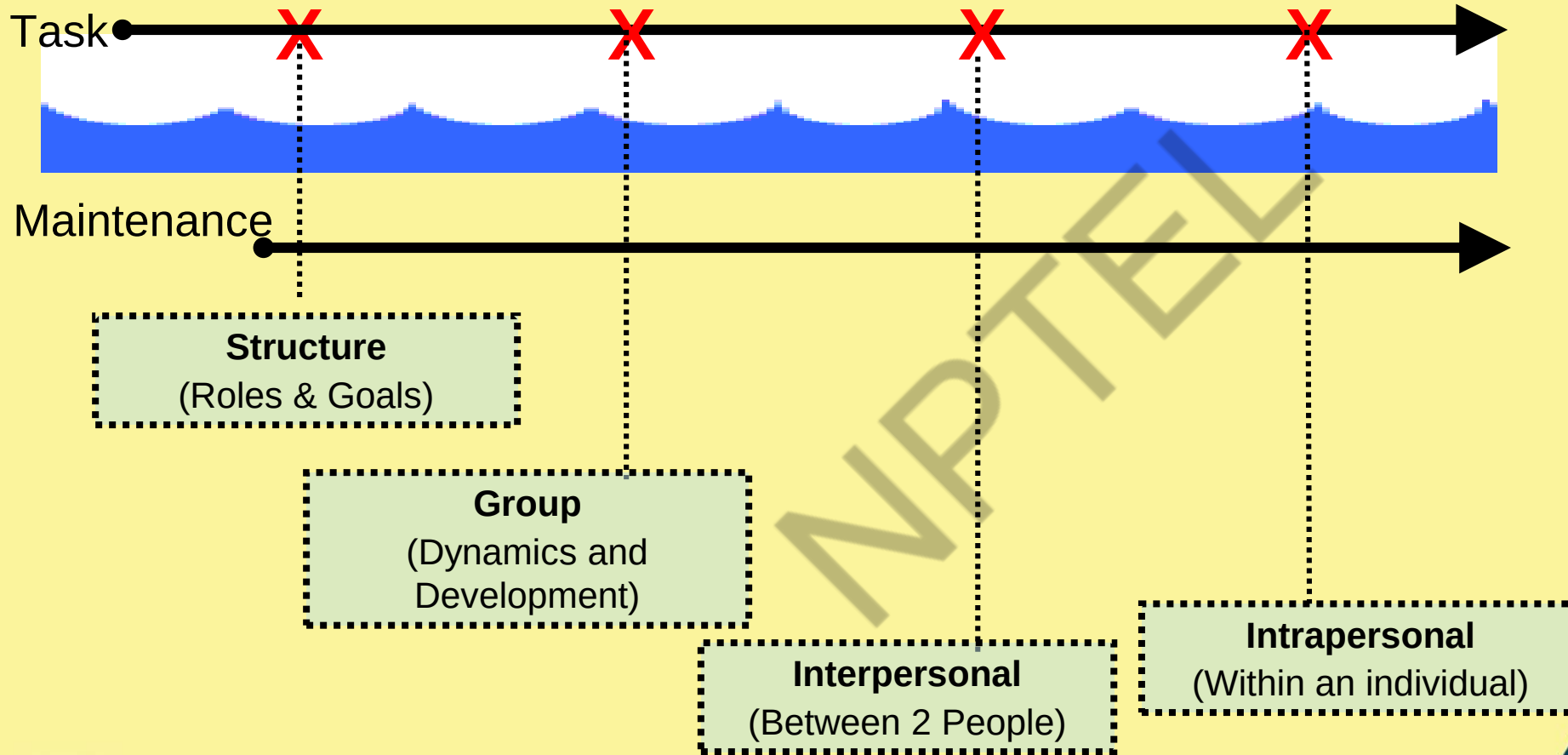
The “waterline” in the name is a metaphor. In any group, things are happening above the surface (or “waterline”) and beneath the surface/waterline simultaneously

Groups spend most of their time focusing on task, collaborative leaders need to observe how both are working .

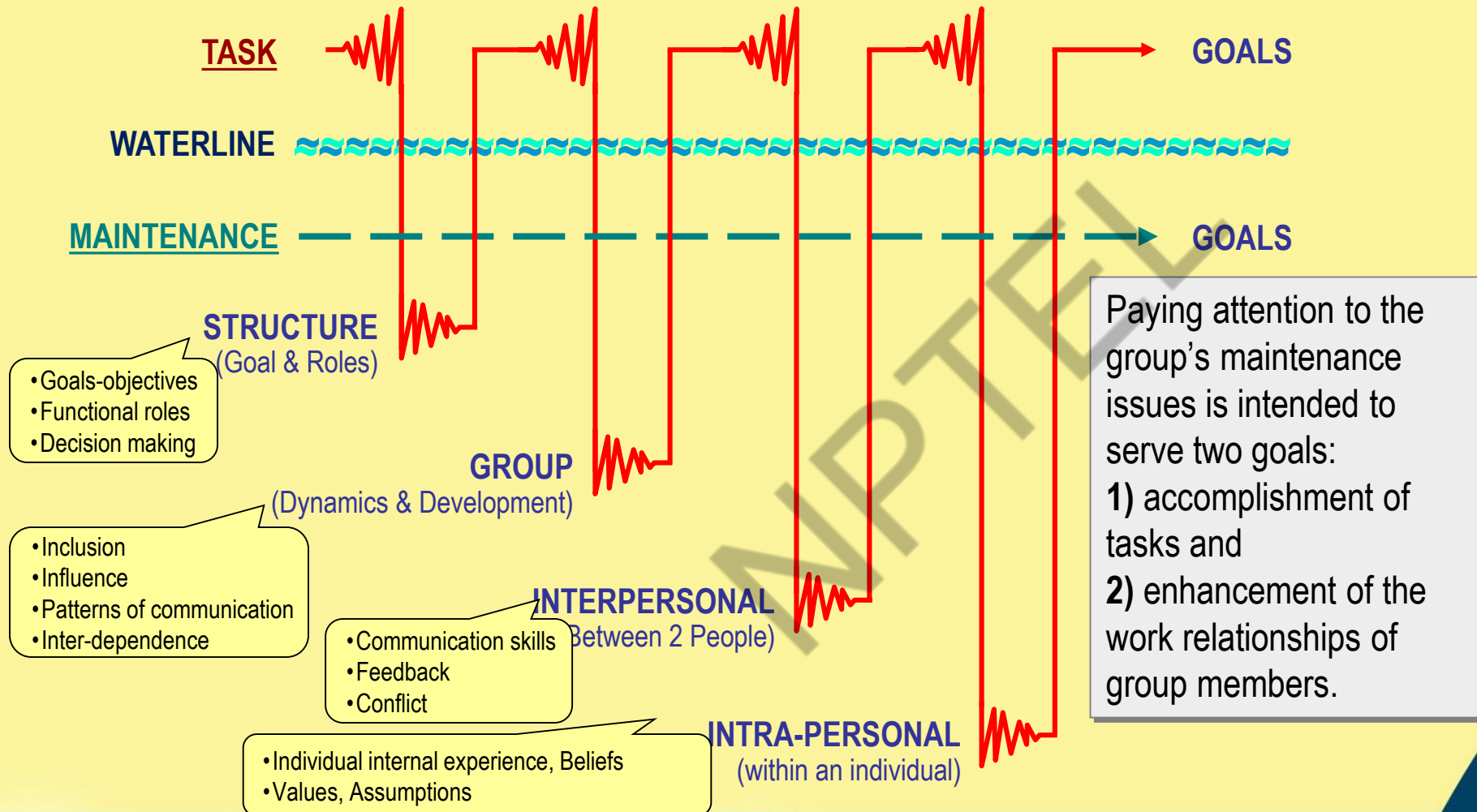
When a group is stuck, it's often time to pay attention to what's beneath the waterline – and switch from task to maintenance.



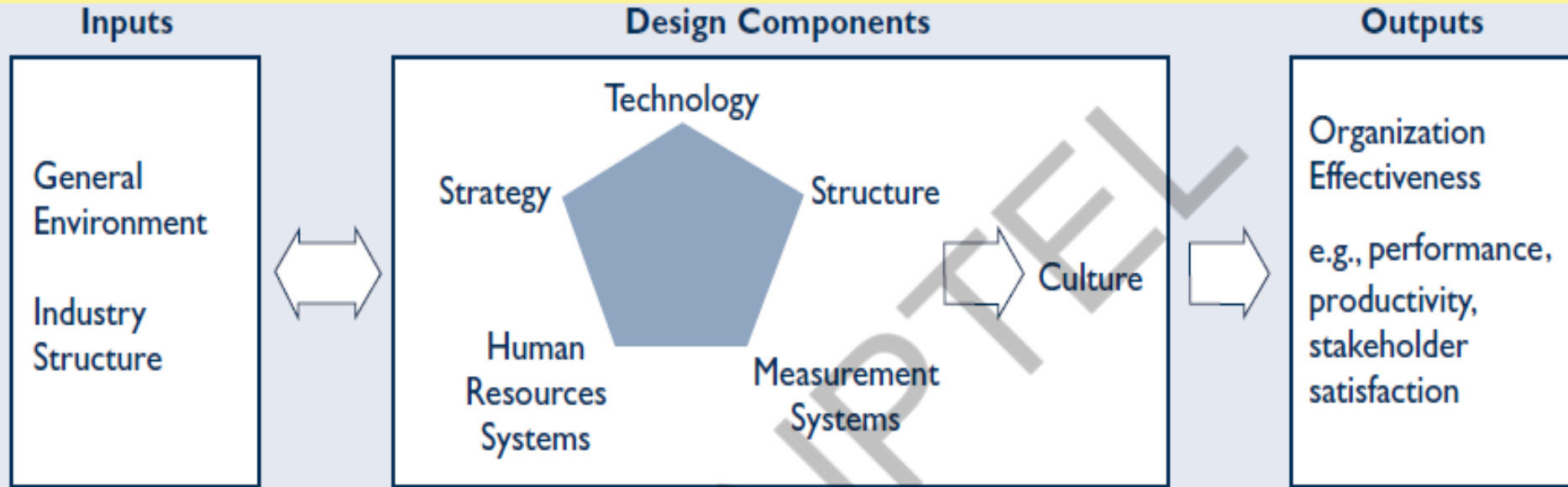
Waterline Model



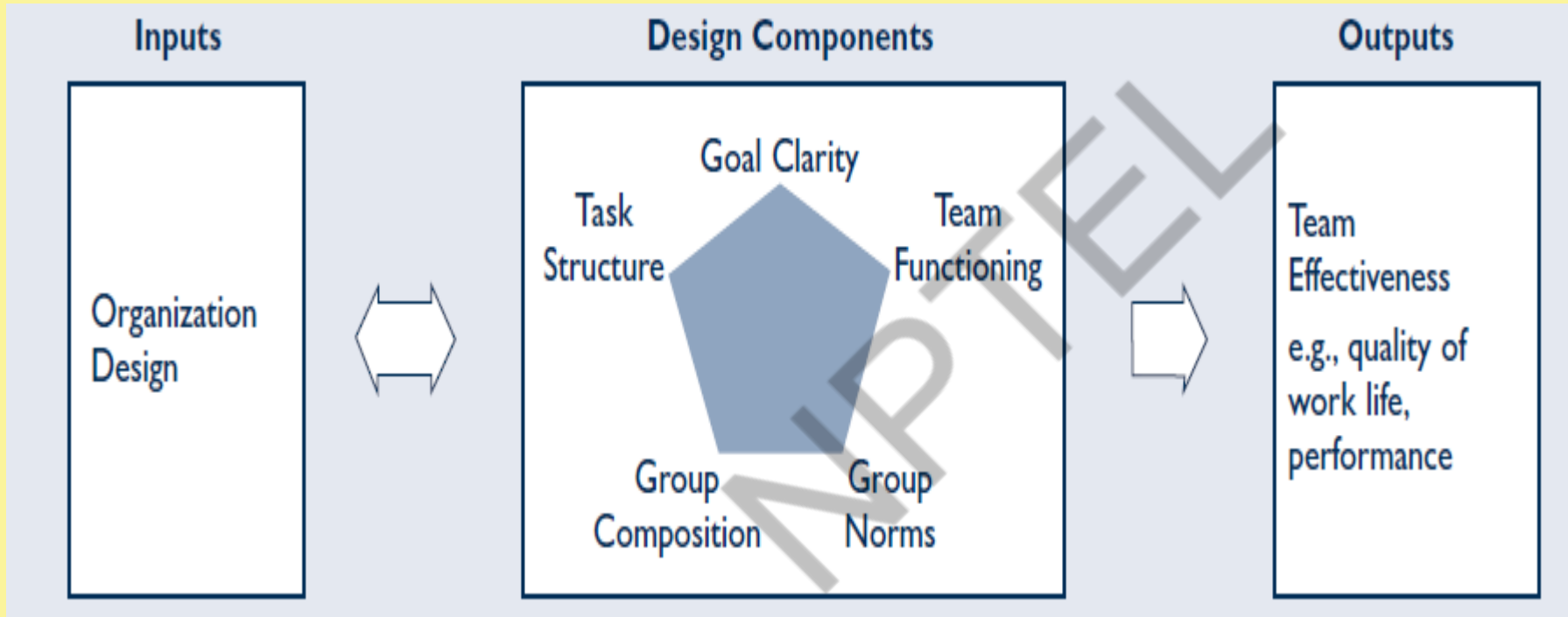
Waterline Model



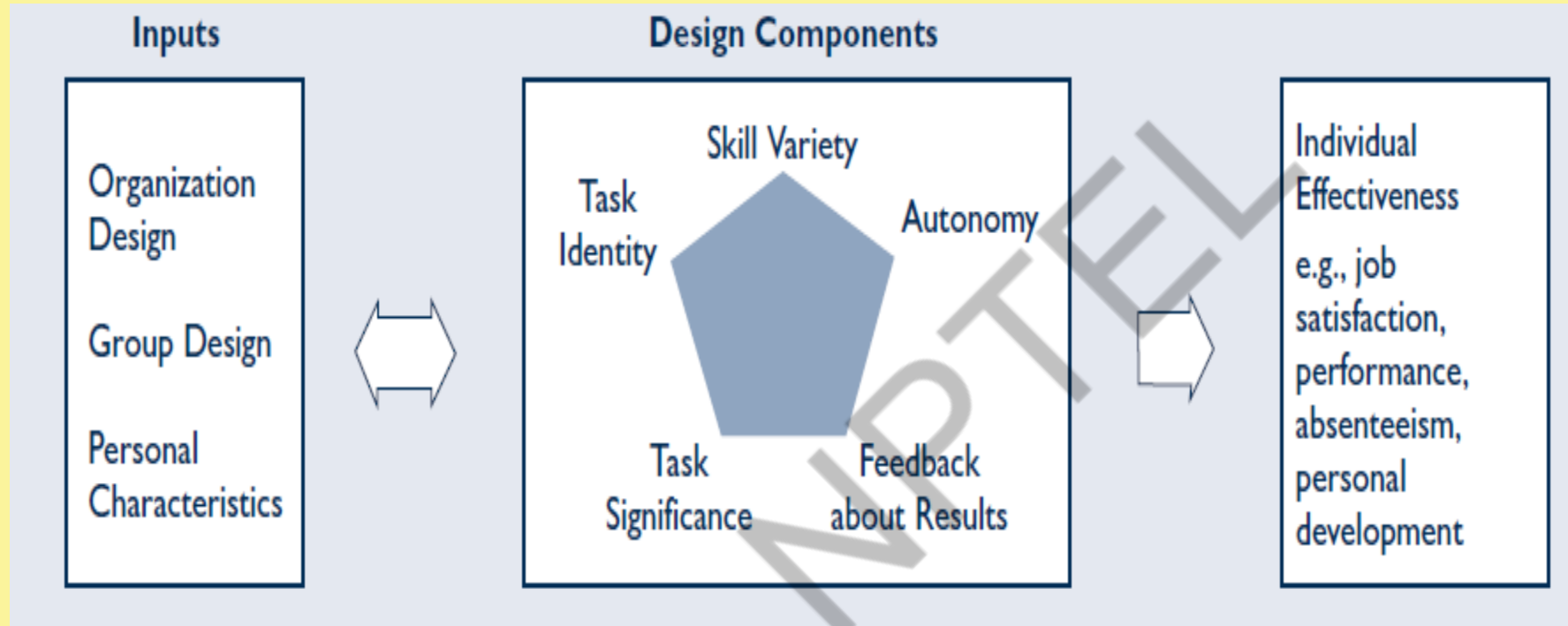
Organizational Level Diagnosis



Group Level Diagnosis



Individual Level Diagnosis



Steps After Diagnosis

- Feeding back the information
- Choosing interventions
- Managing change
- Institutionalizing change

Team Building Intervention

- Improved group processes
- Communication
- Goal clarification
- Role clarification
- Task orientation



Survey Feedback

- Small meetings to feedback survey results
- Meetings used to formulate change
- Managers conduct meetings to indicate commitment



Employee Involvement

- Quality of work life
- Quality circles
- Total quality management
- Six Sigma



Re-Engineering

- Job redesign
- Teamwork
- Work performed by most appropriate person
- Advanced information technologies used



OD Effectiveness

- More impact on organizational than individual outcomes
- Works better for white collars than blue collars
- Works better if multiple techniques are used
- Technological change shows more positive outcomes

Clients of OD

Board of Directors, CEOs, VPs

During changes in corporate strategy, mission, leadership, technology or organization structure

Middle Managers

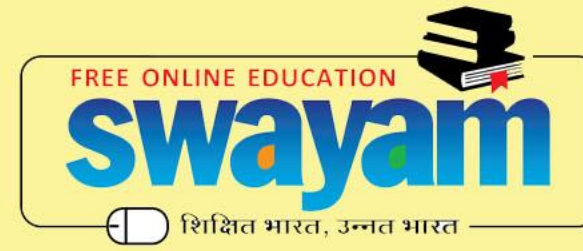
Within specific areas or across functions to identify sources of conflict and barriers to performance, or help build a broader vision and more effective leadership

First Line Supervisors

To improve operations and employee involvement, establish high involvement work teams, improve organizational communication, develop supervisory training or new reward systems

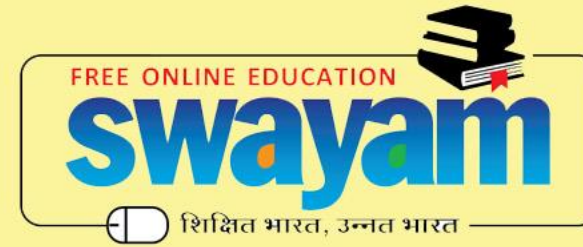
Line Workers

To facilitate job redesign improved performance, teambuilding or improvement in the work environment



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**Topic: Implementation of Change:
Appreciative Inquiry**

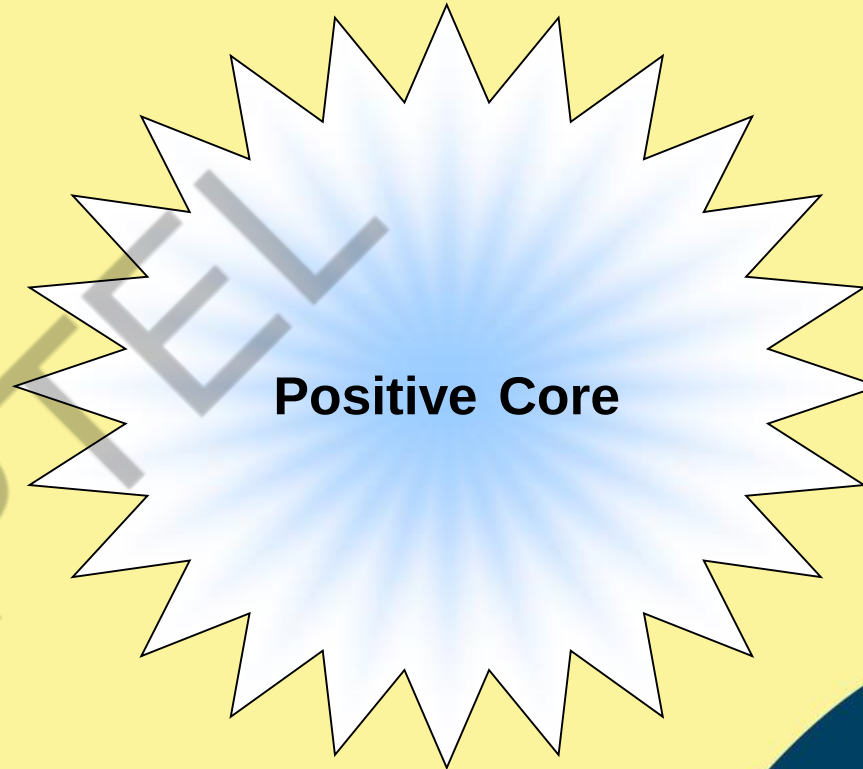
Appreciative Inquiry

- Philosophical origins of A.I. emerge from the discipline of **Positive Psychology**
- Development and dissemination of A.I. attributed to collaborative work of doctoral student David Cooperrider and his advisor Suresh Srivastva at Case Western Reserve University, 1980
- Cooperrider & Srivastva co-author “**Appreciative Inquiry in Organizational Life**”, 1987

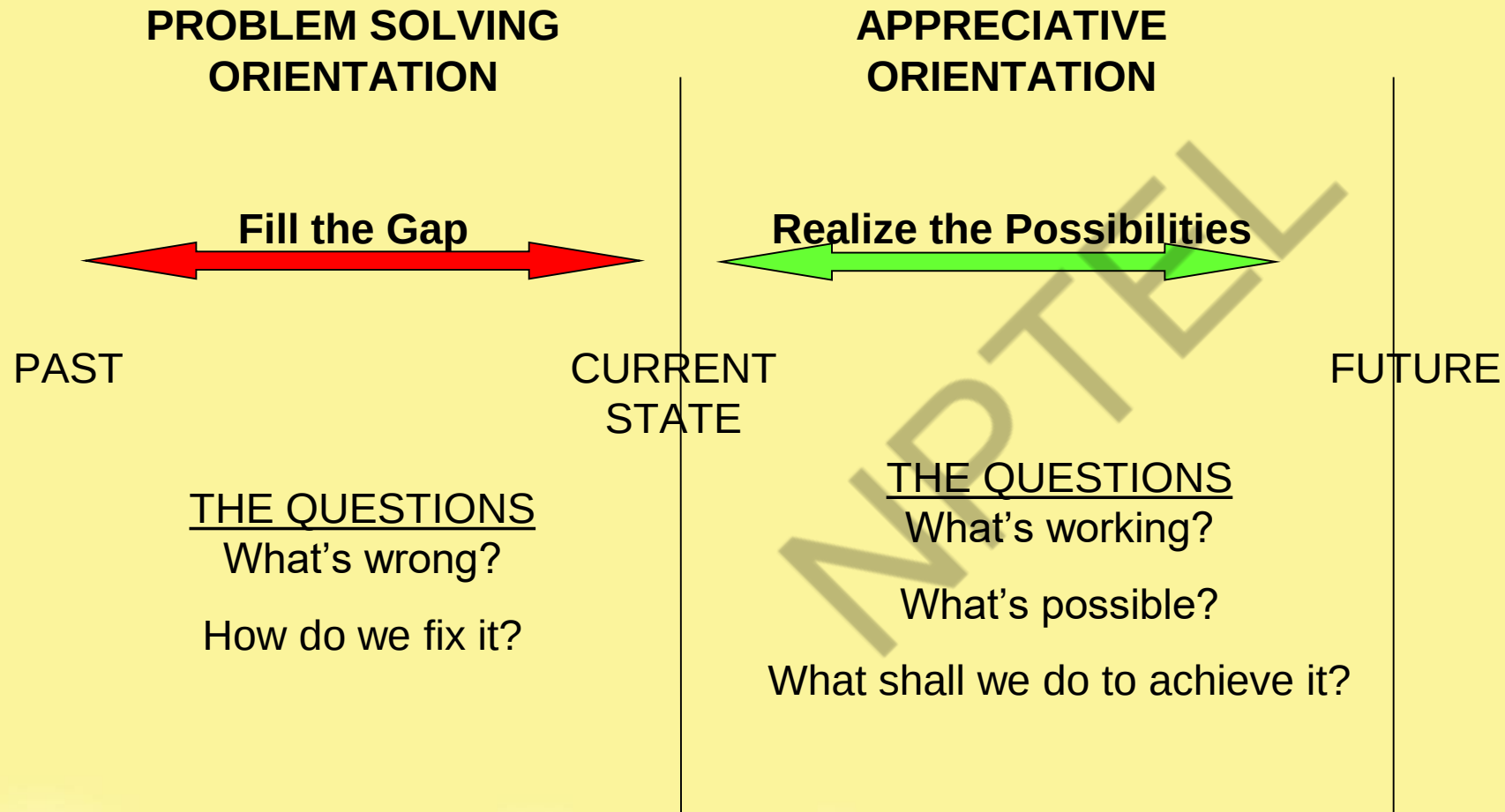
The Essence of Appreciative Inquiry (AI)

Study and exploration of what gives life to human systems when they function at their best

Approach to organization change is based on the assumption that questions and dialogue about strengths, successes, values, hopes, and dreams are themselves transformational



Appreciative Inquiry



AI: Definition/Primary Purpose

- A method of organizational development that focuses on what organizations do well
- Epistemology-like”
study of the nature and scope of knowledge and justified belief.
It analyzes the nature of knowledge and how it relates to similar notions such as truth, belief and justification.
It also deals with the means of production of knowledge, as well as skepticism about different knowledge claims
- The A.I. process generates strategy for intentional change

Five Principles of A.I.

- **Constructionist**: The way we know is fateful
- **Simultaneity**: Change begins the moment you ask the question
- **Poetic**: Organizations are an open book
- **Anticipatory**: Deep changes = change in active images of the future
- **Positive**: The more positive the question=greater/longer lasting change

Key Understandings of A.I.

- Appreciate/value the best of what is
- Envision what might be
- Engage in dialogue about what should be
- Innovate what will be
- A cooperative inquiry
- A collaborative process
- Generate new narratives/perspectives

Problem Solving vs. Appreciative Inquiry

- Identify problems
- Conduct Root Cause Analysis
- Brainstorm Solutions & Analyze
- Develop Action Plans
- Metaphor:
Organizations are problems to be solved
- Appreciate “What is” (What gives life?)
- Imagine “What might be”
- Determine “What Should Be”
- Create “What Will Be”
- Metaphor:
Organizations are a solution/mystery to be embraced

Facilitating an Appreciative View

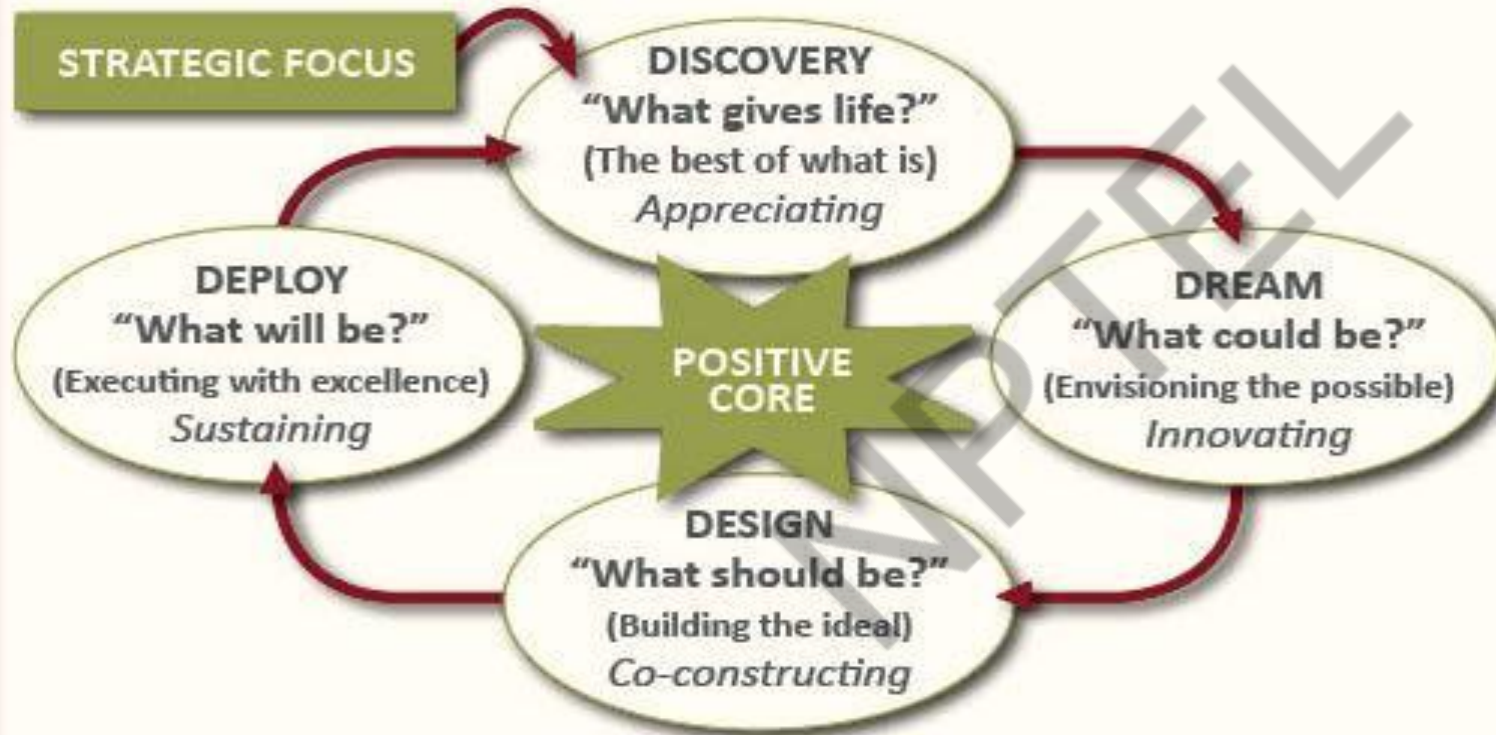


Ask the right
question...

“What do you see here
that would be useful to
you?”

4D Cycle of A.I

The Appreciative Inquiry 4-D Model



Example of Appreciative Inquiry

Example: A manufacturing company wants to develop capacity for innovation to expand research and development, and earn more market share. In this example, **your strategic focus** (also called the affirmative topic) would be **improving innovation**.

In the **Discovery phase**, explore when your company has been at its best around innovation, and then identify the common factors in these stories.

in the **Dream phase**, you'd invest time in thinking about what a truly innovative organization would look like: How would leaders, resources, behaviors, the physical space, organizational processes, etc., change? You'd work to create a vision of the future.

Design the future. you get as strategic and tactical as possible, creating models and prototypes of different elements of your future, mapping steps, identifying required resources, and engaging the support of others.

Finally, in the **Destiny phase** your team will work to implement your design, to make the vision a reality.



4D Cycle

- **Discover:** The identification of organizational processes that work well
- **Dream:** The envisioning of processes that would work well in the future
- **Design:** Planning and prioritizing process that work well
- **Destiny:** The implementation of the proposed design

A Map of AI



Positive Image/Positive Action

Placebo Effect: In medical studies 30-60% of the time, placebos are as effective as a drug

Pygmalion Effect (higher expectations from supervisors lead to an increase in performance. The teacher's image is the most powerful predictor of performance

Sports Imagery: Visualization by world-class athletes cited as significant contributor to victory

Inner Dialogue: Our guiding image is the sum of +/- self-talk; healthy people maintain at least 2:1 ratio

Rise and Fall of Cultures: Can predict 25 years ahead based upon the stories the culture tells about itself

Affirmative Capability: The mind doesn't hold "not" so the image stays without the "no"

The Appreciative Organization

A system that consistently achieves what is most important to it, individually and collectively by...

continually increasing its capacity for emergence through...
people caring for themselves, others and the whole...in service to a meaningful purpose



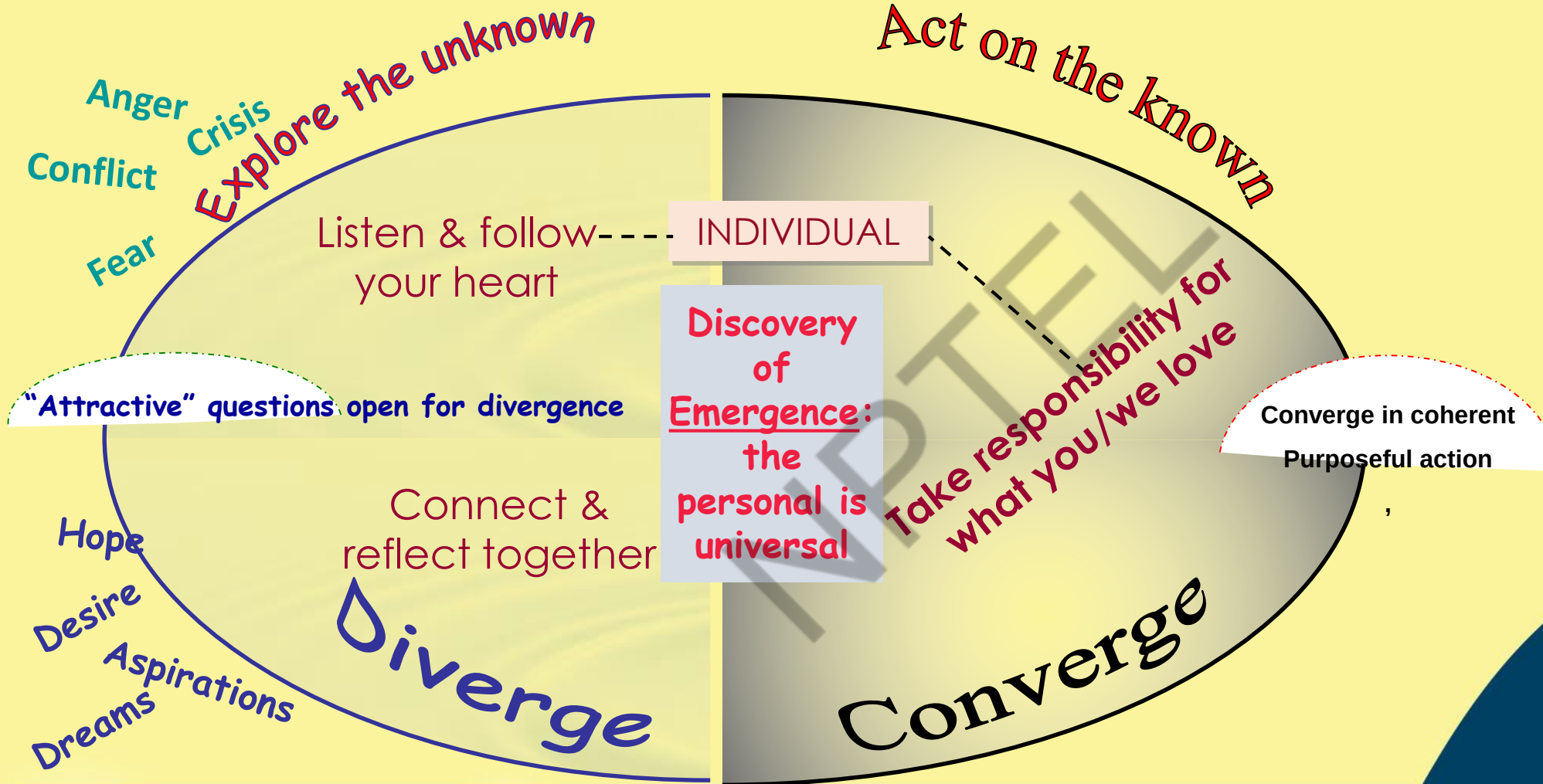
Potential uses of AI

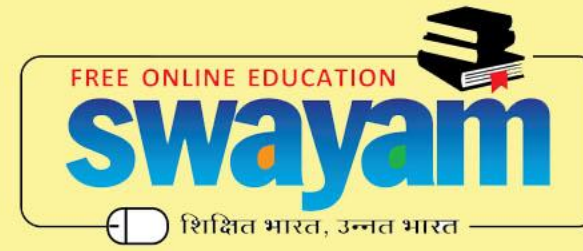
- Umbrella for Multiple Change Initiatives in a System
- Mission Statement/Vision Development
- Strategic Planning
- Organizational/System Redesign
- Process & Service Enhancement
- Improvement Initiatives
- Group Culture Change
- Civic/Community Development

Potential outcomes of AI

- Change in basic orientation from problem – focussed to possibility focussed
- Clarified or enhanced sense of identity, shared values and culture
- Established climate of continual learning and inquiry
- Renewal of group energy, hope, motivation and commitment
- Whole system changes in culture and language (increase in cooperative practices, and decrease in competition)
- Improved working relations and conflict resolution

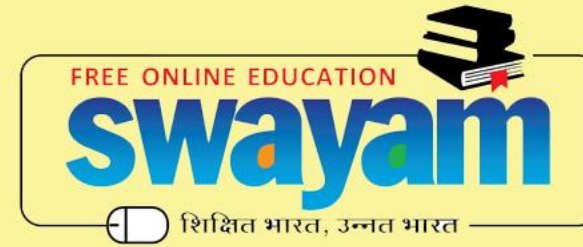
The emergent Field of AI





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**Topic: Implementation of Change: Action
Research Approach**

Action research

It was conceptualized by Kurt Lewin and later elaborated and expanded on by other behavioral scientists.

- Concerned with social change and, more particularly, with effective, permanent social change,

Lewin believed that the motivation to change was strongly related to action.

- If people are active in decisions affecting them, they are more likely to adopt new ways.
- "Rational social management", he said, "proceeds in a spiral of steps, each of which is composed of a circle of planning, action, and fact-finding about the result of action".



Kurt Lewin's Action Research Model

The process of change involves three steps

- **Unfreezing**: Faced with a dilemma or disconfirmation, the individual or group becomes aware of a need to change.
- **Moving**: The situation is diagnosed and new models of behavior are explored and tested.
- **Refreezing**: Application of new behavior is evaluated, and if reinforcing, adopted

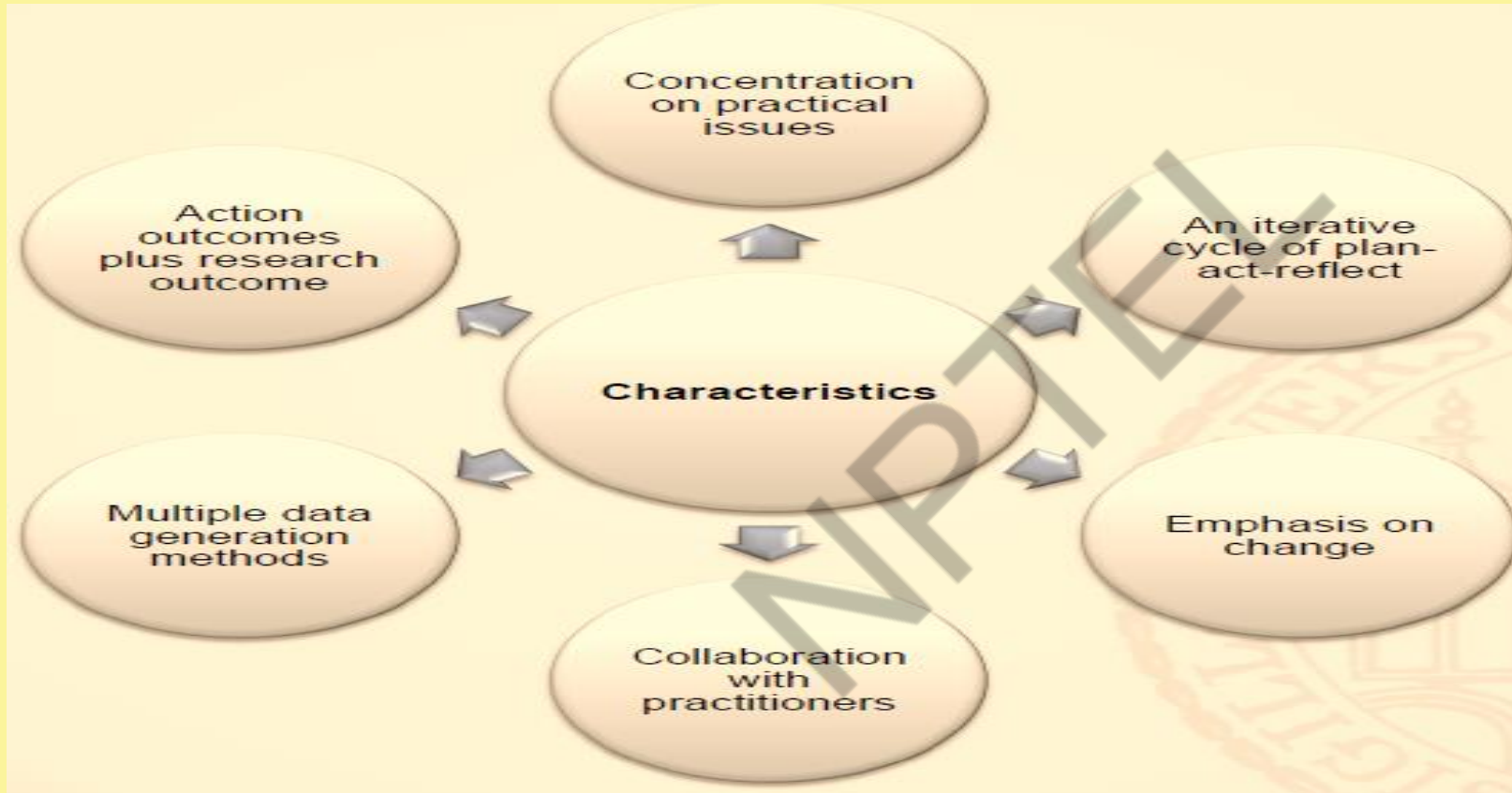
Action Research

Action research is based on the scientific tradition that involves fact-finding and experimentation.

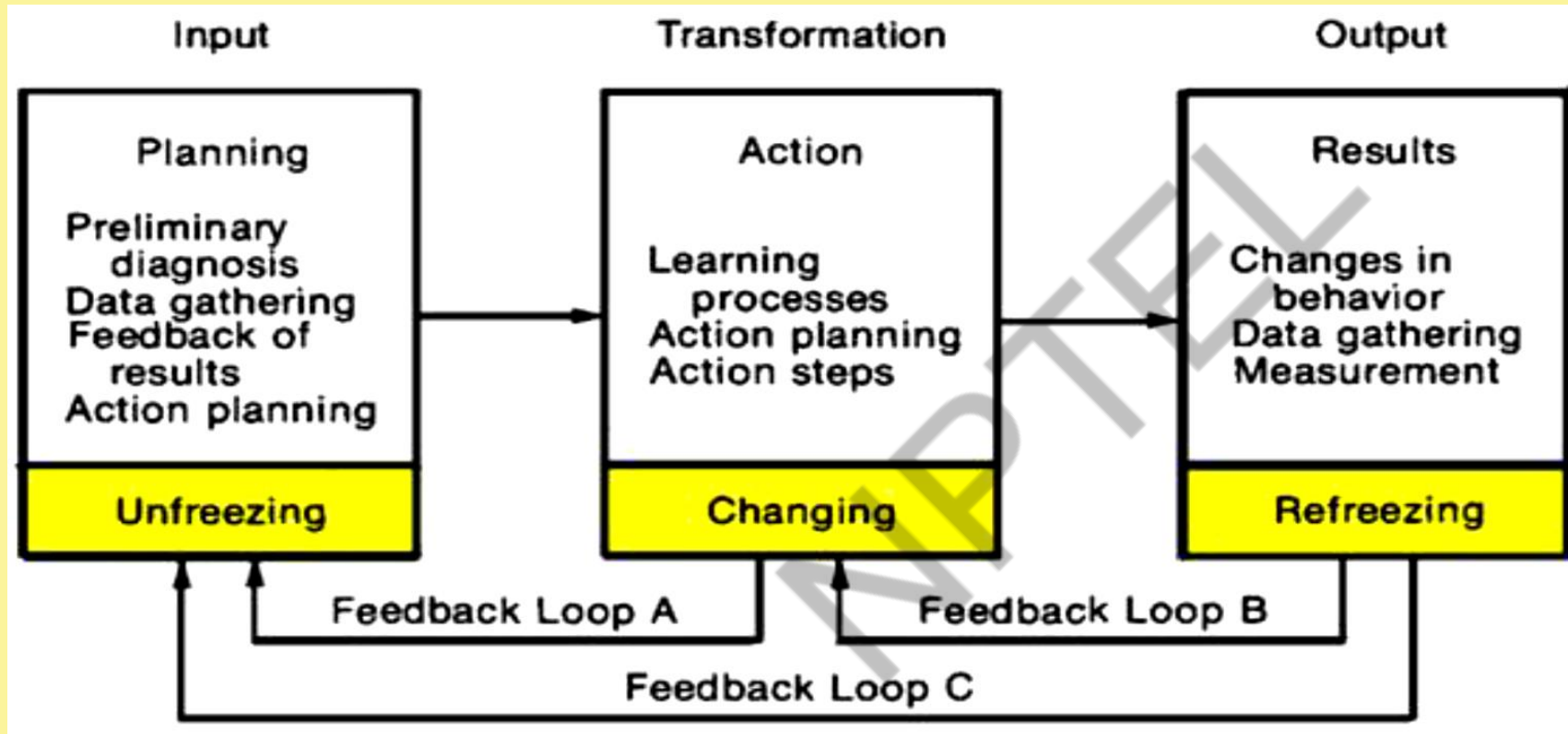
It involves:

- observing what is going on,
- developing hypotheses that specify cause and effect relationships and point to interventions to help manage the problem more effectively
- Taking action
- Collecting data to evaluate the effect of the action and test the hypothesis.

Definition & Characteristics



Action Research Process

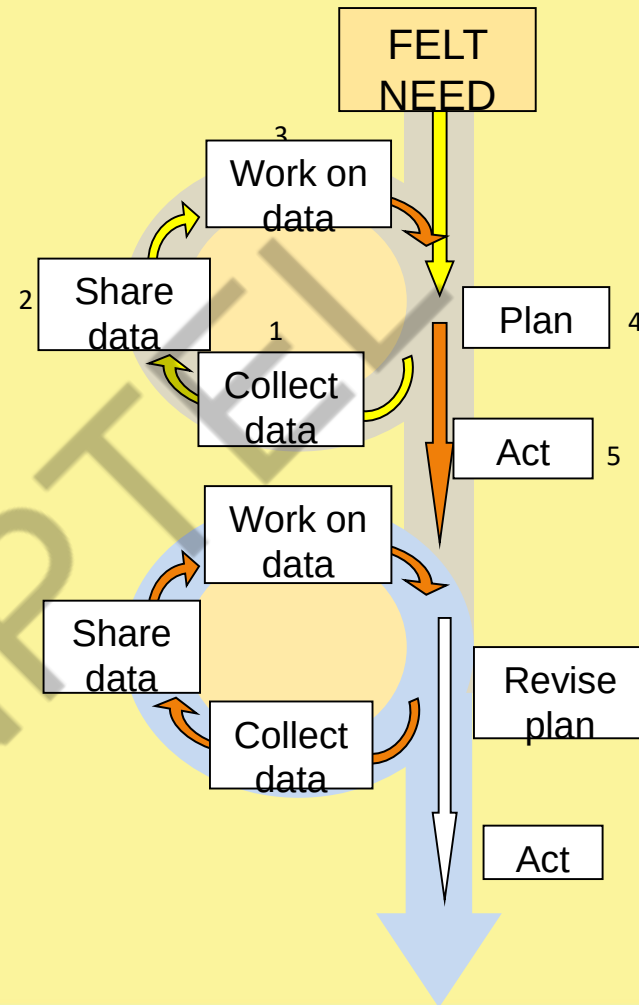


The process of action research

Following the identification of an issue (a felt need) action research involves successive cycles of action and evaluation.

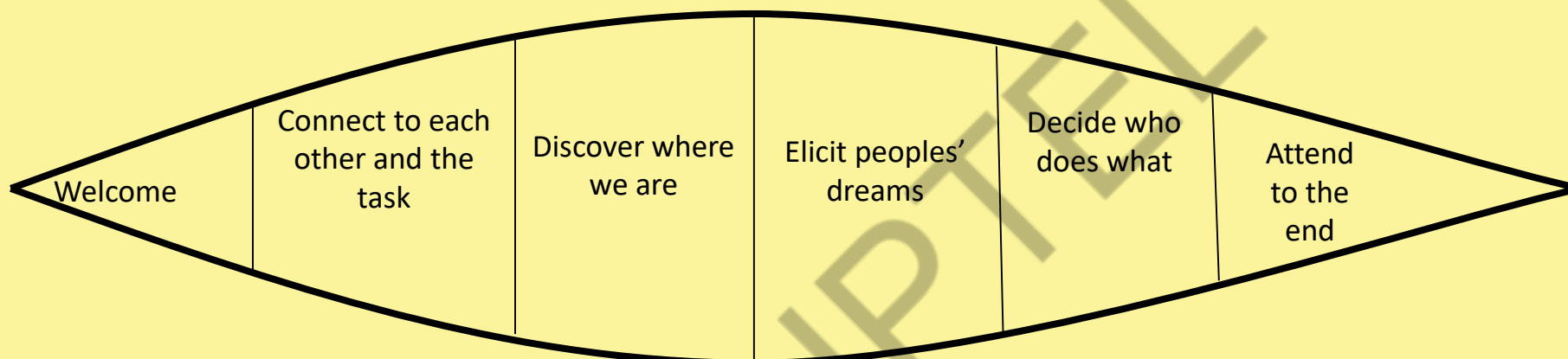
Each cycle involves 5 steps:

1. Collecting information
2. Sharing data
3. Working on the data to generate hypotheses about cause and effect
4. Planning action to deliver improvement
5. Taking action



The Axelrod meeting canoe: A useful change tool

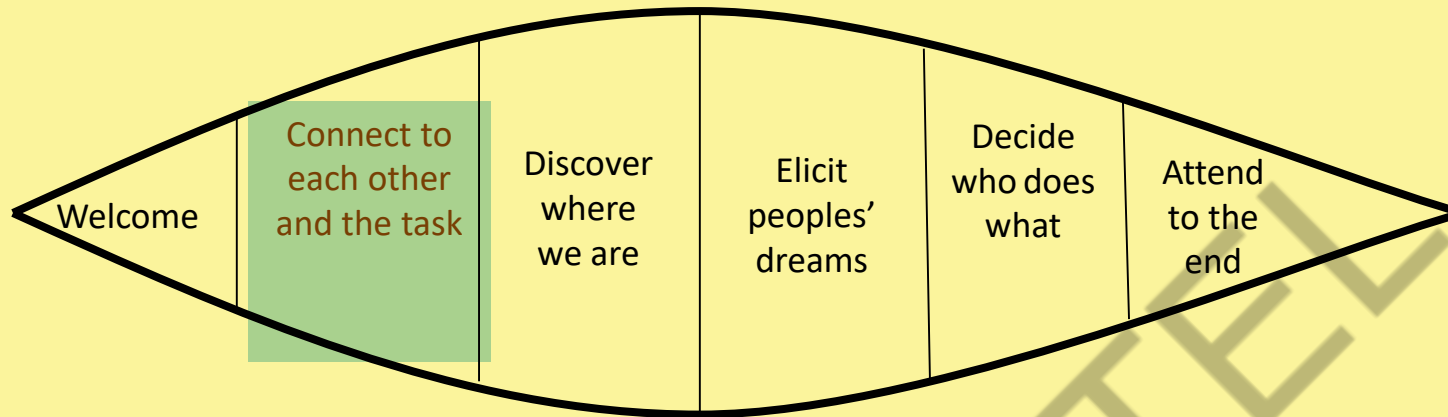
The meeting canoe is a blueprint for making meetings dynamic and energy-creating rather than spirit-sapping and energy-draining. The canoe represents the opening up phase, the body of the meeting and the closing down phase.



Start by making people feel welcome. Pay attention to how you greet people and pay attention to seating arrangements.

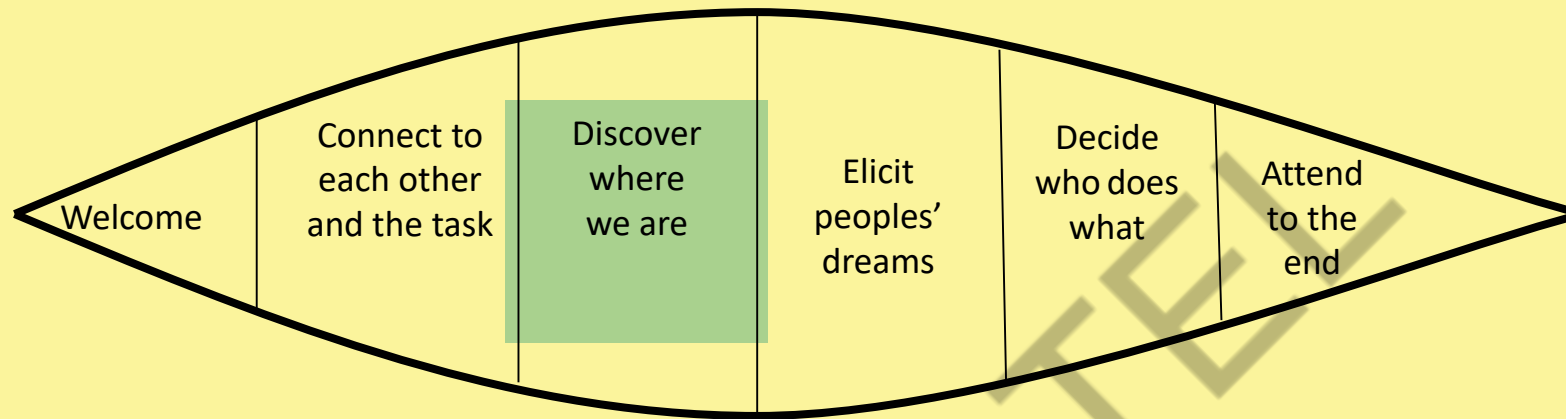
- A circle or semicircle may work better than seating people in rows with senior people at a top table.

Connect people to each other and the task



Find ways to create connections among people. Conversations help us connect. Find a way to get everybody engage with others. If they are strangers or semi-strangers you might start by asking them to share something about themselves that others may not know, or you might initiate a quick once round the group with people saying why they are there or what they hope to get out of the meeting.

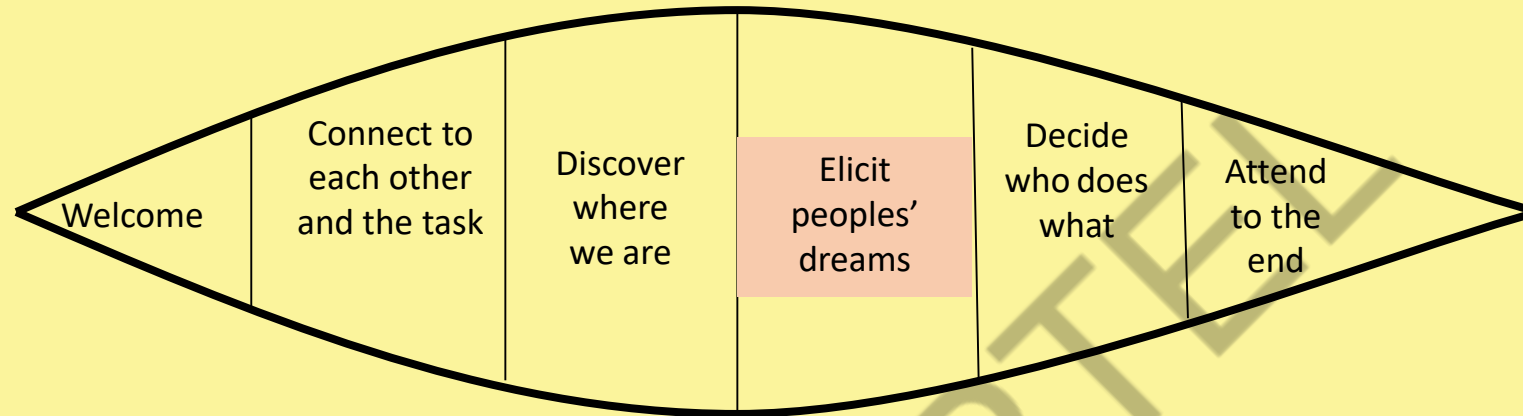
Build a shared picture of the current situation



Discover the way things are—build a shared picture of the current situation.

If the purpose is to solve a particular problem you might start by encouraging people to talk about how the problem impacts on them and their bit of the organization.

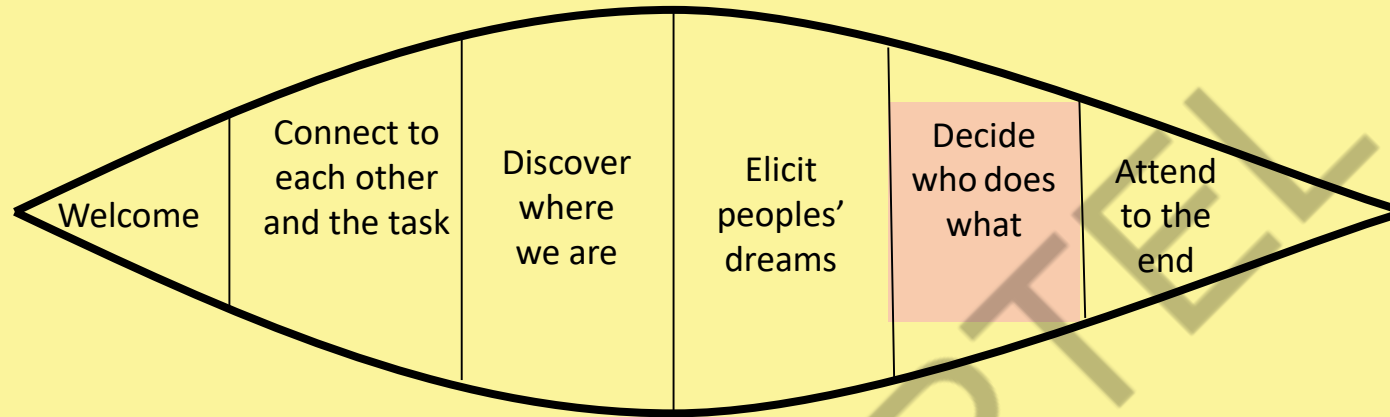
Build a shared picture of what people want



Elicit people's dreams—build a shared picture of where you want to go. One way of doing this is to get people to pretend it is two years on and ask them what they would like to be telling outsiders about what the situation has become.

- Pay attention to the themes that emerge. Is there a shared picture?

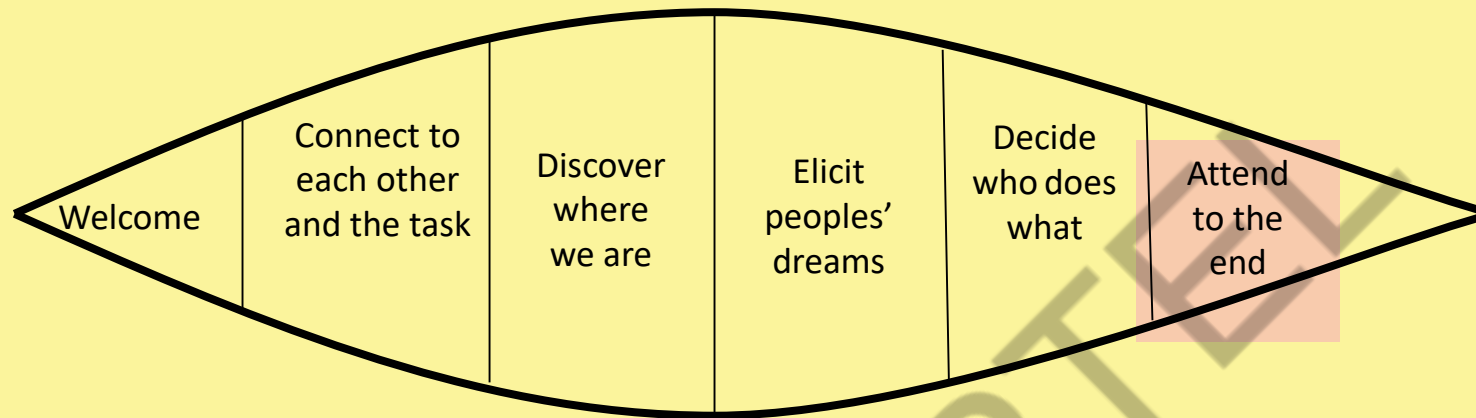
Decide what needs to be done



Decide on who does what

- Identifying what needs to be done and decide who will do it.

Connect people to each other and the task



Attend to the end.

- Put as much thought and attention into saying goodbye as you did to saying hello.
- You might end by reviewing decisions and agreements so that everyone is sure what has been decided and the next steps are.

Relevance of Action Research to Change Management

Discovery of a phenomena called “change management effect”.

Participants in Action Research projects that investigated new processes required by transformational change became “sold” on the new processes without any change management intervention.

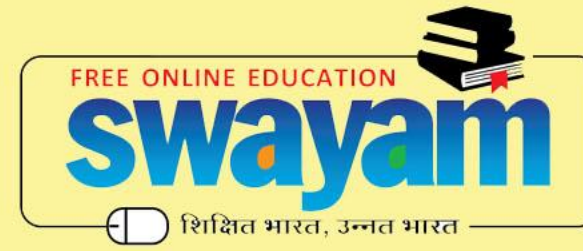
Participants became advocates of the new processes with their peers.

Action Research is not intended to change people—it is intended to discover new information and knowledge about a subject or problem



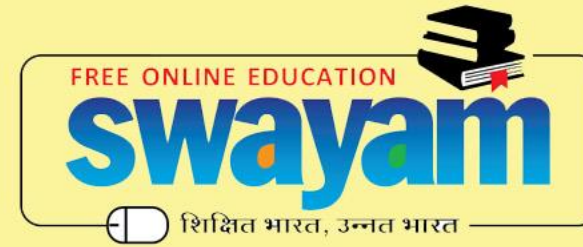
Applications of Action Research

- A wide range of change management interventions are rooted in action research methodologies in so far as they involve some form of fact finding and action taking designed to improve the way problems are managed.
- Many also reflect the principles of interactive or participatory action research in so far as they involve organizational members in the problem solving process (in order to promote the kind of learning that will support the ongoing development of the group or organization).



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**Topic: Implementation of Change: Positive
Organizational Scholarship and Sense
making Approach**

The Positive organizational scholarship

- Focus on human strengths and potential as a way to prevent mental and behavioral problems and to improve the general quality of life.
- **Positive Organizational Behavior (POB)**
 - the study and application of positively oriented human resource strengths and psychological capacities
 - That can be measured, developed, and effectively managed for performance improvement in today's workplace.

Positive Organizational behaviour States

- Several important positive psychology states are emerging to help in both the better understanding and effective application of organizational behavior:
- Optimism
- Resilience
- Hope
- Confidence
- Emotional Intelligence
- Psychological Well-Being
- Positive Psychological Capital (PsyCap)

Luthans's CHOSE Model Of Key POB Dimensions

- Confidence/ Efficacy
- Hope
- Optimism
- Subjective wellbeing
- Emotional intelligence

Positive Psychological Capital

An individual's positive psychological state of development that is characterized by:

- (1) **having confidence (self-efficacy)** to take on and put in the necessary, effort to succeed at challenging tasks;
- (2) **making a positive attribution (optimism)** about succeeding now and in the future;
- (3) **persevering toward goals** and, when necessary, redirecting paths to goals (hope) in order to succeed;
- (4) when beset by problems and adversity, **sustaining and bouncing back** and even beyond (**resiliency**) to attain success (Luthans, Youssef, et al., 2007).



Sense Making Approach to Change Management

Made famous by Karl Weick

A process through which people work to understand issues or events that are novel, ambiguous, confusing, or in some other way violate expectations

- It challenges three key assumptions of change
- **Inertia**: assumes that organizations reach a point in which there is a gap between environmental change and organizational adaptation
- The **need** for a standardized change program
- **Unfreezing**: as organizations are in a constant state of flux, they require freezing to analyse change – not unfreezing to begin the process of change

Sense making

Finding the meaning of events

Interpreting actions

Learning and awareness of learning

Reality and socially constructed reality

The effect of the observer on what is observed

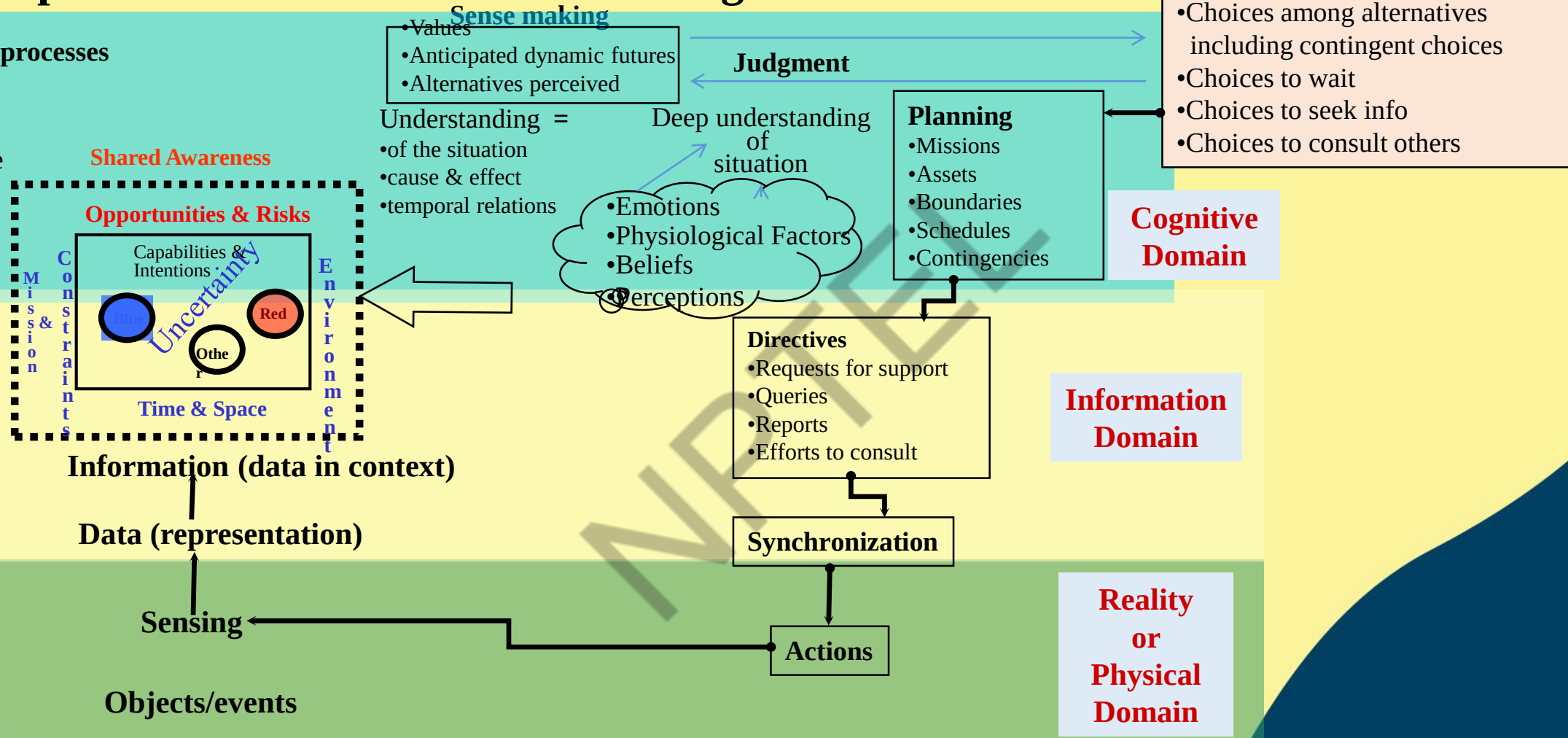
Making action contingent on situation

- There are many possible meanings and interpretation of the same actions and event.
- Often the way we set about investigating events determines what we will find.
- In some situations we want to take control of the way we choose interpretations.

Conceptual Framework for Sense making

Decision processes

Pre-real
time
knowledge



Sense making framework

Sense-Making Framework Feature

Sense-making and identity construction

Retrospection

Plausibility

Definition

The different ways in which people make sense of the same organizational change events and how it is related to their understanding of the way their identities are constructed within organizations.^a

Reference to Karl Weick's argument that people make sense of their actions retrospectively.

The way that change management programs need to be sold so that the "story" about the change is plausible rather than necessarily accurate.

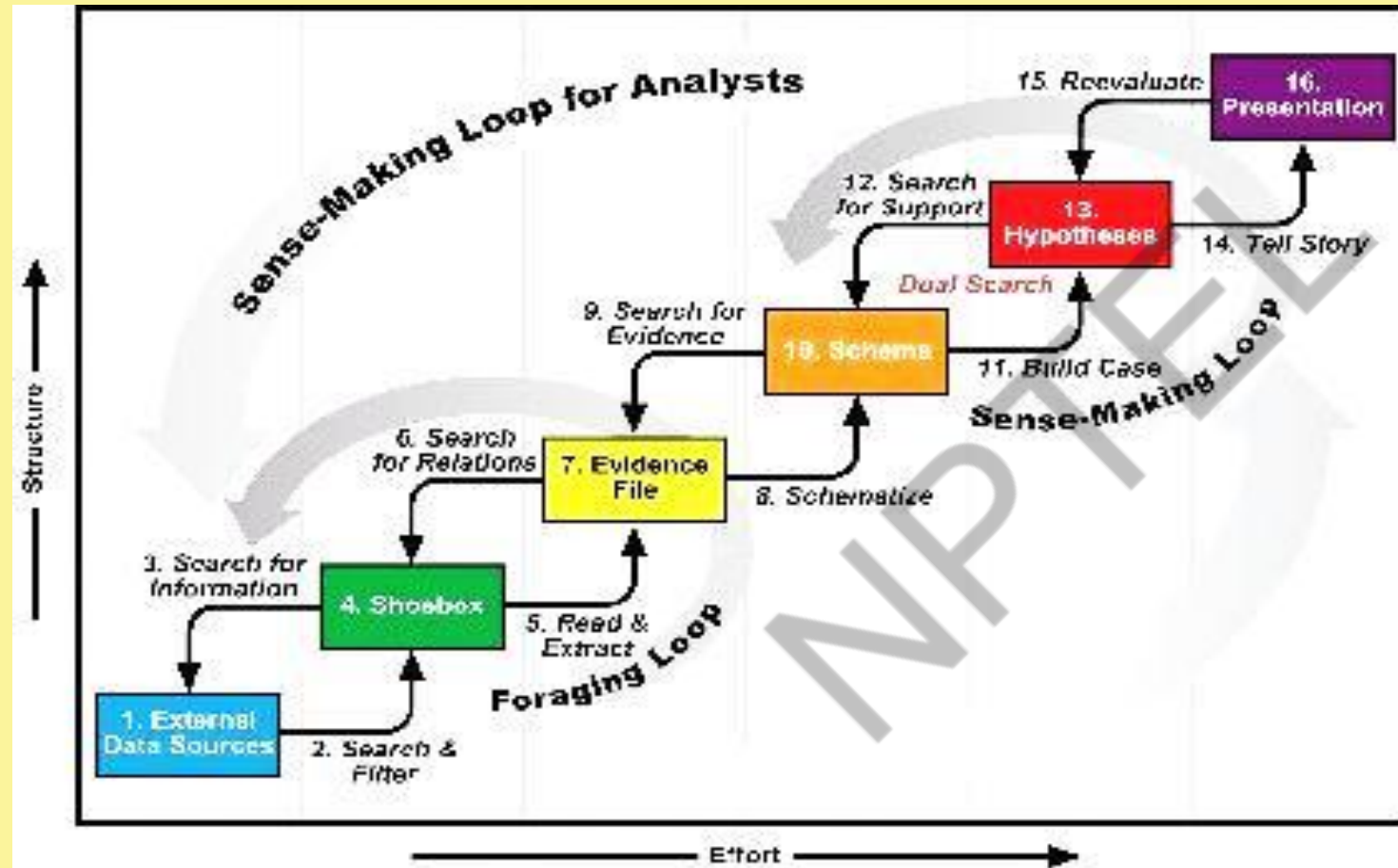
Implications for Change Managers

The "top-down initiatives requiring dramatic changes of self (i.e., from humanist to efficiency focused) are highly problematic and need either to be avoided or handled with great skill."^b

Change managers need to understand that different groups will apply their own retrospective sense-making in order to understand emerging organizational events.

Change managers need to understand the way the context and power relations impact on their ability to provide plausible stories that gain widespread acceptance of the need for change.^e

Sense making framework



Example of Sense making

Sense making processes in the management team of a new center in a hospital.

Four ideal types of meaning, and two of the issues dealt with by the centre's management team.

Bracketing degree	High	Disparate meaning “Vision behind the overall changes”	Collective meaning
	Low	Fragmentary meaning “The idea behind the further development”	Enclave-meaning
		Heterogeneous	Homogeneous
		Cognitive profile	

Thomas Ericson

Sense making framework

According to Weick, sense making consists of seven aspects

1. **Grounded in identity construction**: a sense maker is needed otherwise there won't be any sense making. The sense maker is singular and no individual ever acts like a single sense maker, each individual has a lot of identities
2. **Retrospective**: After a certain time the process is reflected. This is always done afterwards. This aspect, looking afterwards at a process, will depend on the success of the process.
3. Furthermore, retrospection **makes the past clearer** than the present or future; it cannot make the past transparent

Sense making framework

- 4) **Enactive and sensible environments.** In organizational life people often produce part of the environment they face.

Action is crucial for sense making; we can't command and the environment will obey.

You are neither a plaything in the environment or independent. Somewhere between is the meaning.

5. **Social:** Sense making is a social process; human thinking and social functioning are essential aspects of another.

What a person does depends on others, so the direct influence is not clear.

To understand sense making is to pay more attention to sufficient cues for coordination such as generalized other, prototypes, stereotypes, and roles

Sense making framework

6) **Ongoing**: Sense making never starts or stops, it is an ongoing process.

7. **Focused on and by extracted cues**: In life people are confronted with a lot of cues, too much to notice anyway.

A person will only notice a few cues, because of his own filter. Your own interest and your unconsciousness depend what cues you focus on. It is also impossible to notice all the cues, as there are too many

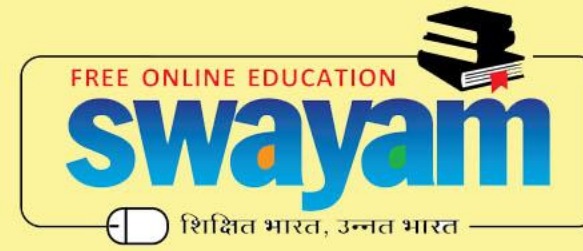
8. **Driven by plausibility** rather than accuracy: People are cognitively lazy, when they found an answer to the question, people stop searching. No alternatives are evaluated, while people might not even know the half of it.

Example of seven elements used in sense making

1. **Identity:** The recipe is a question about who I am as indicated by discovery of how and what I think.
2. **Retrospect:** To learn what I think, I look back over what I said earlier.
3. **Enactment:** I create the object to be seen and inspected when I say or do something.
4. **Social:** What I say and single out and conclude are determined by who socialized me and how I was socialized, as well as by the audience

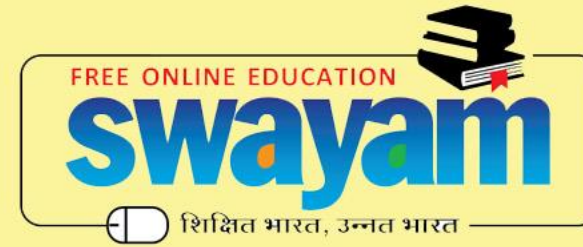
Example of seven elements used in sense making

5. **Ongoing**: My talking is spread across time, competes for attention with other ongoing projects, and it reflected on after it is finished, which means my interests may already have changed.
6. **Extracted cues**: The “what” that I single out and embellish as the content of the thought is only a small portion of the utterance that becomes salient because of context and personal dispositions.
7. **Plausibility**: I need to know enough about what I think to get on with my projects, but no more, which means sufficiency and plausibility, take precedence over accuracy.



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**Topic: Implementation of Change:
Contingency and Process based Approach**

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.

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

Other N-Step Models

- Ten commandements (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)

Ten Commandments for Implementing Change

1. Analyze the organization and its need for change
2. Create vision and common direction
3. Separate from the past
4. Create a sense of urgency
5. Support a strong leader role

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



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



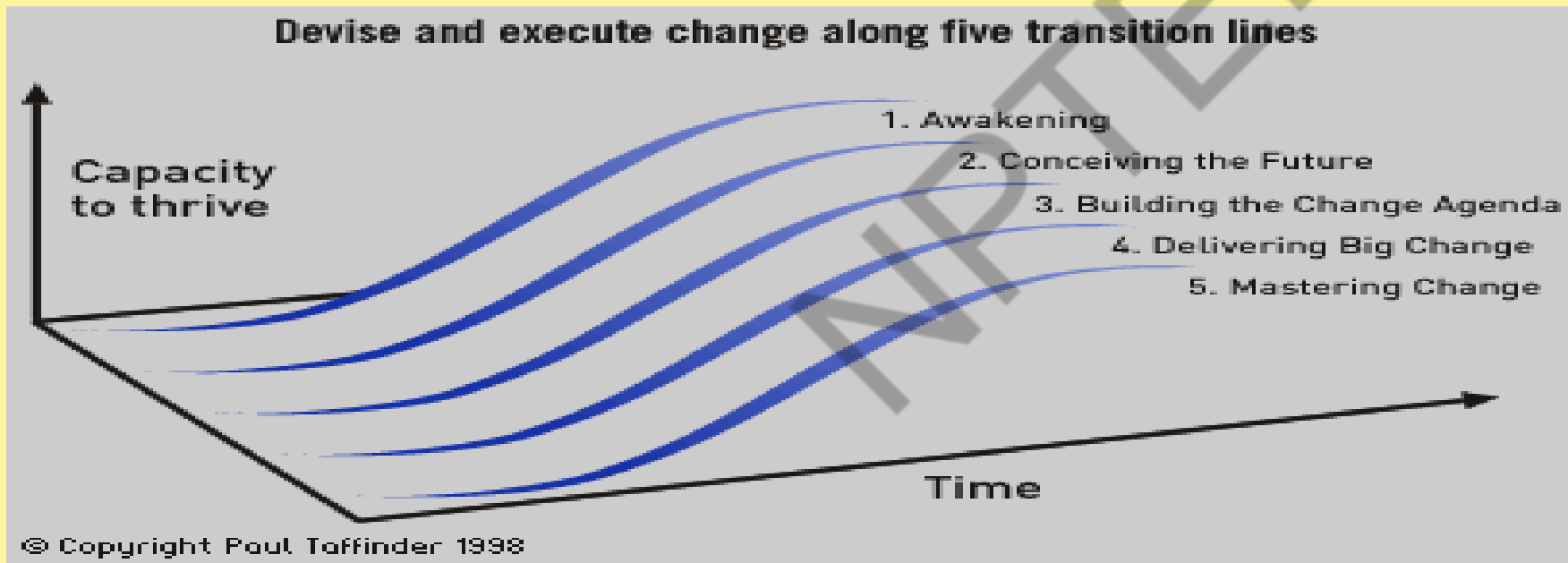
Nadler,s Approach

•Nadler's 12 Action Steps:

- Get support of key power groups
- Get leaders to 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

Taffinder's trajectory (Taffinfe, 1998)

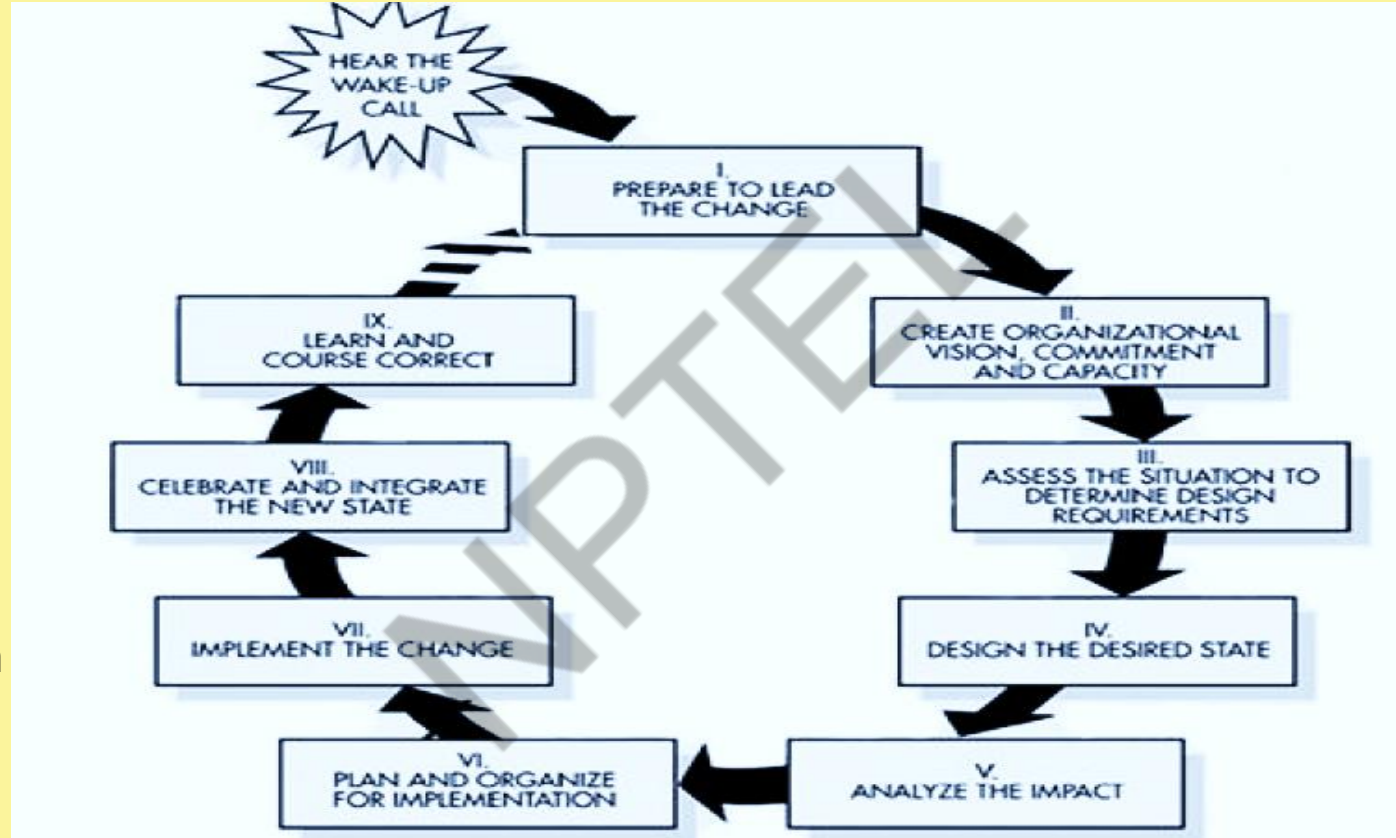
- Taffinder's prescription for "transformation" has three aspects: **leadership, systematic innovation and conflict escalation.**
- Claiming that conflict is inherent in all social life. Avoidance or suppression by can have undesirable consequences, such as reduced innovation and a "tendency towards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



Nine-Phase Change Process Model (Anderson & Anderson 2001)

It organizes your process for moving your organization from where it is today to where it needs to be to ensure continued success in your marketplace.

It provides guidance for How to change so that you get your intended business outcomes while simultaneously engaging your people in positive ways that bolster your culture, change readiness, and capability to succeed.



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

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?”

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

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

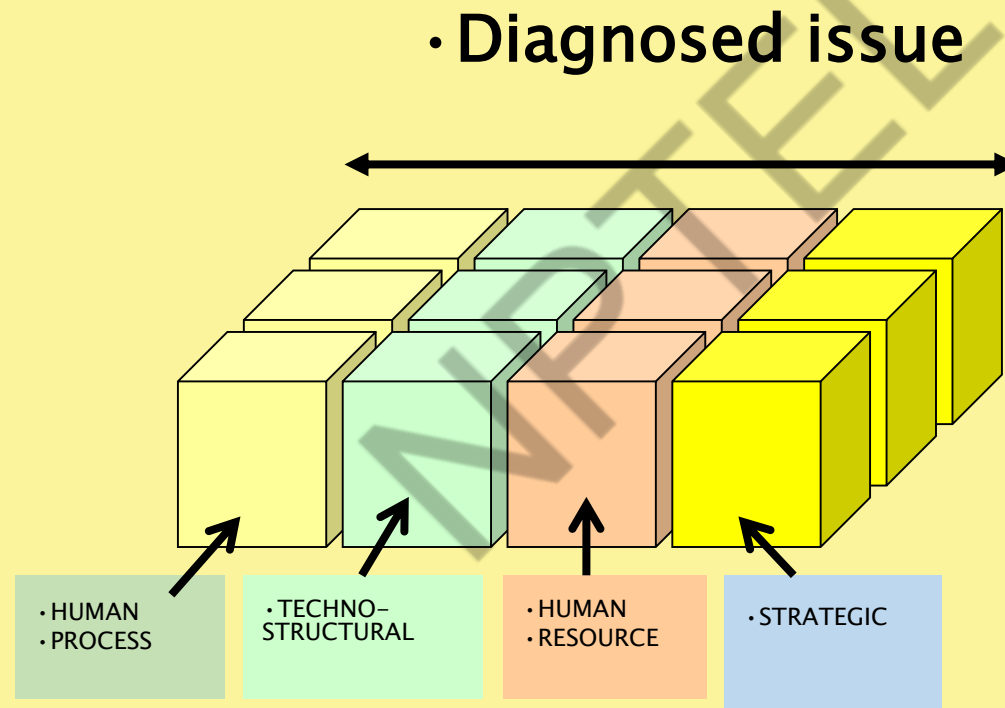
Processual Approach

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

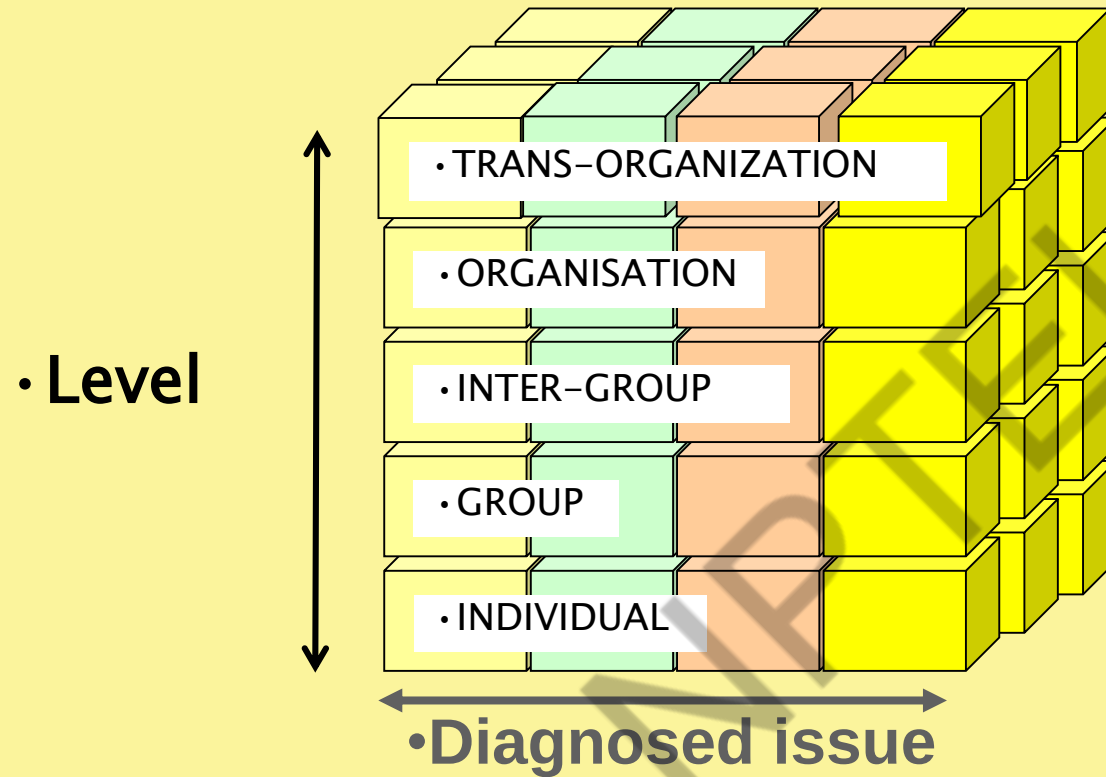
- It sees the outcome of change as occurring through a complex interplay of different interest groups, goals, and politics.
- This approach alerts the change manager to the range of influences which they will confront and the way in which these will lead to only certain change outcomes being achieved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

Diagnosed issue

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

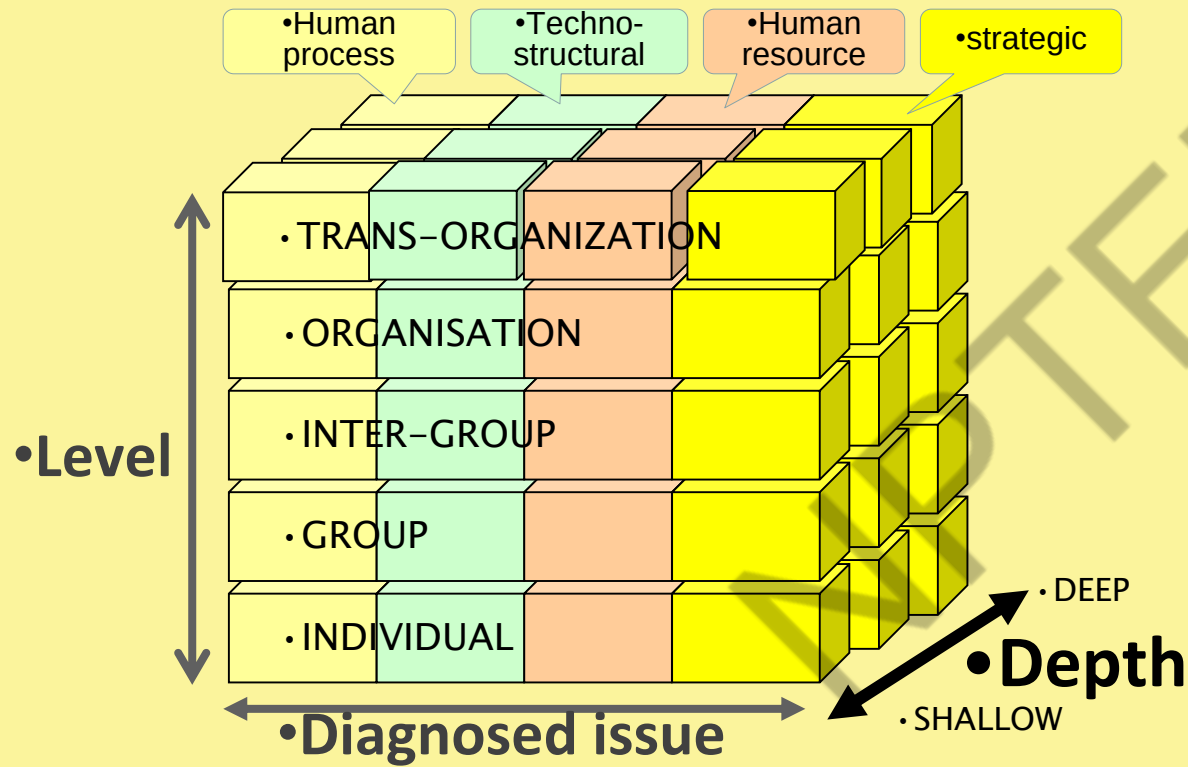


Level of change target



Depth of intervention

- The extent to which the intervention requires emotional involvement



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

Conclusion

Conclusion:

OD approach to change

Appreciative enquiry

Positive organizational behavior approach and
sense making

Contingency approach

Process Approach

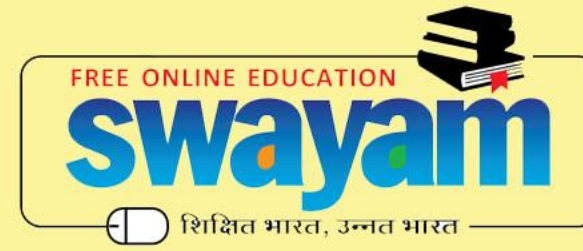


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**Thank
you!**