CHAPTER 2

REVIEW OF LITERATURE ON MANAGEMENT OF CHANGE

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2.1 INTRODUCTION:

2.1.1 Change is defined in dictionary as 'make or become different'. There are some schools of thoughts who propound that the universe around us is contracting, while some claim it to be expanding. But everyone agrees that it is "changing" all the time. Similarly the life of a person is changing continuously in terms of growth or aging process whether one likes it or not. A change could be one time change like entering adulthood or cyclic change as in case of weather or seasons or continuous change like time. Thus one could say that change is a universal, dynamic, continuous and automatic process. Someone has rightly said that 'the only certainty in the world is that there will be a change.'

2.1.2 A human being on facing these changes reacts to them differently. If such changes are those such as weather or seasonal changes he/she accepts them as a part of life and adjusts to them accordingly. In fact it is this faculty of homo sapiens to readily adjust to environmental changes that has helped us to be where we are today. There is often an inborn sense of protection felt in many of these changes so we also have a saying 'the old order changeth, yielding place to new'. There are changes which would fall in the category of 'regulatory' such as changes in codes, rules etc. where the acceptance is more or less compulsory or mandatory. There are other changes of non-regulatory nature such as culture, attitudes, religious practices etc., where an individual's perceptions of these changes will not be the same and acceptance is not mandatory. The acceptance of a change at an individual level is much easier than similar acceptance by a group of people or organisation. Acceptance of such a
change by a nation is most difficult. But as stated earlier change being a
dynamic and continuous process does exert pressures on the surroundings
and work culture. A human being often develops some sort of static forces
or inertia towards the work culture or habits surrounding a human being
and therefore any change in this work culture etc. is not easily accepted.
This sometimes creates forces or situations well beyond the control of
human beings, leading to friction. Machiavelli, a well-known author,
politician, manipulator etc. of medieval Europe, a ‘CHANAKYA’ of
European history is claimed to have said about 500 years ago that \(^\text{2}\) "
There is nothing more difficult to carry out, nor more doubtful of success,
nor more dangerous to handle, than to initiate a new order of things".
The aptness of this statement is realised even today by managers
attempting to put into effect any organisational change. The various
branches of ‘Behavioural Science’ study different facets of this friction,
analyse & propose ways & means of overcoming them. Management of
change is a key aspect in this field and offers tremendous scope for study
and observation.

2.1.3 The environment or surrounding which control an organisation
provide the resources and opportunities for the existence of the
organisation, but at the same time it also imposes limitations by way of
determining the things the organisation can or cannot do. If an
organisation is to survive, grow and remain prosperous it must adapt to
the demands of the environment around it. These are broadly categorised
as ‘external’ and ‘internal’ demands. Competition from another
organisation, technical advances, or change in governmental policies etc.
could be some such external factors or demands which could pressurise
organisations to modify their structures, goals & methods of operation. While introduction of new technologies such as introduction of automated equipment, computers etc. to replace tasks that particularly required human labour; complete changes in work procedures and schedules could be some such internal factors or demands initiating the change. A certain amount of organisational change may also occur almost entirely from internal origins. For example someone may decide that a particular department is too big and has become unmanageable or that some particular activity in that department is growing so fast that it needs to be handled separately or a person or groups strength or power is to be increased. Most internal origins of change are in part self generated, and in part represent responses to external pressures perceived by the members of an organisation

2.2 Levels of Change:

2.2.1 A change could be classified in four levels:

1. Knowledge change
2. Attitudinal change
4. Group Performance change.

1) Change in knowledge is relatively easy & can occur through reading a book or listening to some knowledgeable person. or through practice & experimentation.

2) Attitude changes are slightly more difficult to come about than knowledge change because attitude structures differ from knowledge structures in that they are emotionally charged in a positive or negative way. A change for some
perhaps a source of fear and hence to be avoided or borne with patience and reluctance. They are dependent on the context of the situations, the nature and extent of change and the manner in which a change is initiated and executed.

3) Change in individual behaviour is still more difficult and time consuming. Having enough knowledge and a positive attitude towards something will not necessarily result in a change in behaviour or modifications toward that direction. This is because the linkage between attitude and behaviour is not so straightforward and hence it is more difficult than changing knowledge or attitudes.

4) A change in group behaviour is further complicated and is a prolonged and hard task. Changes in group behaviour within an organisation involve changing the norms, customs or the work ethos developed over many years. This is a slow and time-consuming process.

2.2.2 If these four levels are put in a chart form with time as Y axis and level of difficulty in executing the particular change as X axis, a chart as depicted in a graphical form in fig 2.1 will emerge.

![Fig 2.1](image-url)  

**FIGURE 2.1 Time and Difficulty involved in change**
This chart depicts that, although difficult and time consuming yet it is possible to bring about total behavioural change in an organisation. One way is to start with changing knowledge, attitudes and then behaviour of individual members & then the group. The other way is to influence and change an organisation without focusing on the change of knowledge, attitude and behaviour of an individual. This is possible by bringing about a total organisational change by modifying the organisation's structures, policies, procedures and techniques. Such a fundamental change prescribes new relationships and assigns roles to members and eventually modifies the individual member’s behaviour and attitudes. But this is a more difficult approach and suffers from number of weaknesses. In large organisations which are spread, over a nation or in more than one countries, it is only this approach which is generally resorted to. The various aspects of this approach have been discussed in subsequent paras. In any organisations there exist variety of forces helping or opposing a change. Lewin has depicted this in a graphical format which is discussed in the next paragraph.

2.2.3 Force Field theory of Equilibrium:
Every group has it’s own dynamics of push and pull which attempts to neutralise the change in an individual. Continuous efforts are required even to maintain a status quo or equilibrium. As per Kurt Lewin’s "Force Field" theory, in any organisation at any given point of time, any pattern of behaviour is the result of an equilibrium between two sets of forces the "driving & restraining " forces. The natural tendency for the change agent is to push, however the equally natural tendency of whomsoever or
whatsoever is being pushed is to push back. Figure 2.2 indicates the force field enumerated by Lewin.

**Figure 2.2: Force Field Diagram**

<table>
<thead>
<tr>
<th>Force Field</th>
<th>Current Level</th>
<th>Higher Level</th>
</tr>
</thead>
<tbody>
<tr>
<td>New Technology</td>
<td>Group Performance Norms</td>
<td>*</td>
</tr>
<tr>
<td>Better Raw Materials</td>
<td>Fear of Change</td>
<td>*</td>
</tr>
<tr>
<td>Competition from Outside</td>
<td>Complacency of Members</td>
<td>*</td>
</tr>
<tr>
<td>Supervisory Pressures</td>
<td>Well Learned Skills</td>
<td>*</td>
</tr>
</tbody>
</table>

From this model it is seen that there are multiple forces affecting the current level of performance rather than a single force. The forces can be of many types & the behaviour or performance can be that of an individual, group or entire organisation. The equilibrium concept also suggests that organisation have forces that keep performance from falling too low, as well as forces that keep it from rising too high. Lewin's calls this state as 'quasi-static equilibrium' and emphasises that managers must recognize this fact that, even as they operate as forces for change, other conditions are operating as forces of stability. The ground realities & limiting conditions could be such that managers may have to remain content with a modest change or no change at all. The implementation of
change which does not consider the constraints imposed by prevailing conditions within the present organisation may only make the original problem worse. The efforts of the management should be directed toward removing or weakening the restraining forces & towards creating additional driving forces or strengthening the driving forces that exist in organisation, or convert a resisting force into a driving force. Once the present state of equilibrium is disturbed by any one or a combination of the above mentioned means, a new state of equilibrium will be achieved. This state will remain for some time as an ‘after change’ phenomenon as long as nobody disturbs the new found equilibrium.

2.3 CHARACTERISTICS OF CHANGE:

Lewin⁶ has also stated that before the organisation is subjected head long to any change that will really disturb this equilibrium it is worthwhile to examine various characteristics of the proposed change.

Some of the important characteristics pointed out by Lewin which need examination are as under :-

1) Relative Advantage :- The potential benefits should outweigh the costs. The change should offer some unique or tangible advantage or improvement which the existing system cannot provide. If such relative advantages are spelt out clearly it greatly helps in the acceptance of the change.

2) Social Aspects :- Most of the time a change has social consequences such as disturbance, redistribution or alteration of existing relationships. Often new roles are created and old roles get eroded or expanded or changed. The power balances in a unit are modified on introduction of
such changes. The extent to which such changes affect these systems after introduction of new technology often determine the success or failure of a change.

3) Divisibility :- If a change is divisible it may be accepted more easily i.e. it should be capable of being implemented in small units so that it is amenable to trial and modification before full scale implementation is undertaken.

4) Reversibility :- If a change is reversible without excessive damage to the people and the system its acceptance becomes easier. This may be necessitated if a major change triggers unforeseen negative consequences.

5) Complexity :- If the new technology or change is highly complex it leads to average worker facing difficulty in understanding the nature of such a change. This may lead to reluctance in use of such a change. But if the complexities cannot be avoided as in case of the new technology such as computers then what is needed is patient explanation of the complex features to the user so as to develop adequate confidence in them. This is effectively achieved through adequate and user friendly training.

6) Compatibility :- If the change is not in consonance with psychological, social & cultural characteristics prevailing at a unit or place, its acceptance & assimilation will be difficult & needs patient and sustained efforts on part of the change agent.

7) Communicability :- If the concerned change can be expressed & communicated easily its acceptance becomes that much faster.

8) Style :- Keeping all the aforesaid characteristics in mind the style in which a change is introduced i.e. the approach adopted is very vital.
9) Timing:- The timing at which a change is being introduced is a vital factor. If the organisation is in a 'dynamic phase' 'changes can be accepted faster than if it is in a placid phase. In case it is imperative to introduce a change in 'placid phase' then generating appropriate environment becomes very vital for preparing the organisation to accept such a change.

2.4 PROCESS OF CHANGE:

2.4.1 Harold J. Leavitt has stated that a change in an organisation can be brought about by in three ways; by changing structure; technology or people in the organisation.

a) Change in structure: This involves reorganisation of one or more departments. Changing spans of control etc. and decentralisation. It also involves rearranging internal systems, such as lines of communication, work flow or managerial hierarchy.

b) Change in Technology: A technological change involves alterations in the equipment used, engineering processes, research techniques or production methods. Operations research and computerization can fall under this.

c) Change in People: This involves changing the selection methods, training or relationships attitudes or roles of organisational members. This type of change is supposed to bring about fundamental change in peoples attitudes or values.

These are highly interdependent and should not be tackled in isolation. Behavioural change techniques refer to efforts to redirect and improve
employee attitudes, skills & knowledge base. The major objective is to enhance the capacity of individuals to perform assigned tasks in coordination with others. The selection of change technique is based upon diagnosis of the problem, but the choice should be governed by certain conditions that exist at the time. As per Filley & House the change process is also influenced by the leadership style & administrative practices prevailing in the organisation. For successful change the support and commitment of local management and due attention to the administrative practices has to be kept in view.

2.4.2 The process by which a change is introduced i.e. transition involves as per Nadler following problems:-

a) The resistance problem : This involves motivation of involved parties to overcome inertia and innate resistance to change.

b) The control problem : This involves designing of adequate mechanism during the transition stage to monitor performance & incorporate modifications based on the feedback.

c) The power problem : The “political systems” that prevail in the organisation needs to be changed or modified suitably so that there are no large scale upheavals thrown up by the new system.

2.5 HANDLING A CHANGE :

2.5.1 Organisational changes are bound to occur, given the variety of forces for change that exist both within & outside all organisation. A change in an organisational framework is generally opposed per se as people manifest it either in the form of apathy & indifference or in the
form of opposition & hostility as it tends to disturb the existing
equilibrium. There are two constructive ways in which managers can deal
with such a change: react to it or plan for it. The former approach is
appropriate for the day to day decisions a manager must make. The latter
approach is necessary when a major part of the organisation needs to
change. This change is often set in motion when a new technology or
management technique or system appears to be 'Just the thing' for the
organisation. Many a senior managers and specialists who often are said to
suffer from tunnel vision are convinced of the need for such a change and
in their enthusiasm tend to ignore the behavioural impact of their
approach on the organisation. They desire immediate acceptance and
implementation of their ideas, because they are convinced that the
technical part of their change is correct. They wonder why people cannot
understand and appreciate such simple things, those who oppose this
change, they believe are ignorant people. They ignore the psychological
aspect involved in management of change, which are necessary to
overcome this indifference / opposition to their ideas. It requires a
systematic approach to ensure that people in the organisation undergo the
process of adjustment and acceptance of this change. In case of
government organisations, even if the senior managers are convinced of
the usefulness of the change, they cannot push ahead alone. Most of the
work in government is a group activity. Each member of the team has
certain powers & role to play. Unless the change process is able to carry
everyone along, introduction of the change is not sustained or in other
words the change has to be a planned one.
2.5.2 John M. Thomas & Warren G. Benis\textsuperscript{10} define planned change as "The deliberate design & implementation of a structured innovation, a new policy or goal or a change in operating philosophy, climate or style". A planned change involves great commitment of time & resources; requires more skills & knowledge for successful implementation & can lead to problems if implementation is unsuccessful.

\section*{2.6 RESISTANCE TO CHANGE:}

2.6.1 As stated earlier organisational change involves changing the responses or behaviour or working practices of all the participants. A study of the literature indicates that in any organisational change it has been noted that many participants respond with resistance to altering the status quo whatever may be the merits of such a change. Since the industrial revolution began, workers have at times fought, sometimes in extremely militant fashion, to block the introduction of new technology. Numerous case studies cited indicate that supervisors and lower level managers have shied away from projects in job redesign and job enrichment even if it meant improved work conditions or better emoluments for them. Middle level managers have fought tooth and nail against realignment of corporate structures. Sometimes even a simple proposal by a course coordinator to adopt a different training approach has sparked off a frenzy of defensive tactics by the participants. Thus any one initiating a change must be prepared to tackle this resistance. The resistance may be overt or covert. Overt resistance may take the form of employees deliberately failing to do the things necessary for successful
change or simply being unenthusiastic about the change. The absence of overt resistance does not mean that resistance is not present, as resistance may be hidden from direct observation; such resistance is called covert resistance and can be more detrimental to change than overt resistance because it is harder to identify and eliminate.

2.6.2 It is therefore very crucial for managers to understand why do people resist change? Most authors now agree that resistance is not a necessary accompaniment of change and that the change if handled correctly, may evoke little or no resistance. This is because it is generally not the technical aspects of the change that employees resist but rather the social aspects of the change, which often has deeper roots. Most of the literature on management of change elucidates the numerous reasons for resistance to change a summary of these is given below:

1) Uncertainty about the causes & effects of change. Managers who initiate change often assume that they have all the relevant information required to conduct an adequate organisational analysis & that those who will be affected by the change have the same facts when neither assumption is correct.

2) A desire to not to lose something of value or unwillingness to give up existing benefits, such as power, prestige, salary, quality of work etc.

3) Awareness of weaknesses in the changes proposed. The people at the field level may resist change because they are aware of potential problems that have apparently been over looked by the change initiators. Therefore the people do not feel any real need for such a change. This has serious implications on how one implements a change.
4) Incompatibility with shared norms and a belief that the change does not make sense for the organisation. Excessive group solidarity & cohesiveness prevailing in some organisation results in such beliefs leading to low tolerance of any change in general.

5) Aversion to risk in trying new methodology or sheer reluctance to give up familiar ways of working.

6) Lack of clarity about the proposed change. A misunderstanding of the change & its implications. This happens when trust is lacking between the person initiating the change & the employees. If such a change is initiated by someone else, they may feel manipulated & wonder what is the real intention behind the change.

7) Perceived role erosion due to change. The environment in which a group actually works defines certain roles for the individuals or subgroups. A change is likely to alter these roles and those whose roles are getting eroded tend to resist.

8) Lack of time to disengage from status quo. Any change introduced in a hurry i.e. without adequate training and involvement of staff results in the group not getting adequate time for a smooth change thereby generating resistance. Such a change frequently lasts only for a short time. After a brief period of trying to do things differently individuals often return to their traditional pattern of behaviour unless otherwise it is ensured that the change is non reversible.

2.7 WAYS OF OVERCOMING RESISTANCE:
Managers are unwilling or unable to alter long established attitudes & behaviours prevalent in an organisation unless a systematic attempt is
made to overcome these. Kotler\textsuperscript{14} has suggested following ways of overcoming such resistance:

A) Education & communication: Educating people beforehand and good communication of ideas to help people see the need for & logic of a change. As per Nadler this can help in overcoming inertia and innate resistance to change.

B) Participation & involvement: By involving the potential resistors in some aspect of the design & implementation of the change, resistance often can be forestalled. Participation leads to commitment not merely compliance. But such process is time consuming & leads to poor results if not properly managed.

C) Facilitation & support: This is possible by providing training in new skills or giving employees time off after a demanding period of work or offering them some kind of recognition or by simply listening & providing emotional support.

D) Negotiations & Agreement: To offer incentives to active or potential resistors by way of special pays, desired posting etc. While doing this it is also vital to see that the ‘political system’ that prevails’ in most of the organisation’s is suitably modified and not subjected to total upheavals.

E) Manipulation & Co-optation: Manipulation is a tricky affair, if there are no other alternatives available only then this should be resorted to. Co-optation is different from participation - it involves giving one of the leaders in a group a key role in the design or implementation of a change but not active participation.
F) Explicit & Implicit Coercion: Where speed is essential & where changes are not expected to be popular regardless of how they are introduced, coercion may be the manager’s only option.

2.8 AGENTS OF CHANGE:

2.8.1 In every situation in which a change is desired some person or group must be designated as the catalyst for change. Such a person or group is called ‘change agent.’ He is that individual who is responsible for taking a leadership role in managing the process of change. The individual, group or organisation that is the target is called the ‘client system.’ Agents of change or Change Agent is the technical term for an organisational member who handles the strategies and procedures for bringing about change. Any individual can be a change agent at one time or another, but many people have position, tasks, or formal role in which their main assignments involve dealing with change. A change agent’s formal role is primarily to plan and initiate changes rather than to implement them. Change agents serve as catalysts, interpreters, and synthesists. They often work quietly behind the scenes to promote change. There is a close relationship between the change agents & the people in the organisation being changed. Most of the authors have defined number of characteristics a change agent should possess. These have been listed below:

1) The change agent should have the competence & skill required for the job.
2) The change agent should have the communication skills to convince the people about the efficacy & utility of change.

3) The change agent should have good diagnostic skill.

4) He / She should have the ability to adopt their leadership styles to adjust the demands of change, so that the change agent’s decisions are acceptable by other members or colleagues.

5) The change agent should possess capacity to develop the means to change some or all of the other situational variables.

The role of managers especially in a large organisation is really very difficult. The situational variables may not be under their direct control but still affect the change process. It is in such situations the managers must resort to suitable other management techniques such as motivation etc. There are always a number of persons in an organisation which can be used as change agents while planning and implementing a change so as to facilitate the process of change. Some of these have been identified below: 

**A) Beneficiaries**: People who are likely to directly or indirectly benefit from such a change can be used as change agents. They can be used to feed the grapevine to convince people about the utility & usefulness of change. They can actively work to immobilise the restraining forces & convert some of them as driving forces, so as to move the organisation in the direction of the desired change.

**B) Early Adopters**: In every organisation there are people who never resist a change, in fact they belong to a culture which bows before the chair and accepts whatever is passed down from above. If such persons,
the early adopters are fairly large they have a demoralising influence on the non-conformists or the no-men.

C) Trade Unions: Unions can be best change agent if the management convinces them about fruitfulness, utility or positive results of the proposed change. The most significant agent of change is the bird in hand i.e. immediate gains accruing to most of the employees in cash or kind. These go a long way in convincing the unions. Managers should take advantage of this potent weapon. But again this measure if adopted too generally or frequently loses it’s impact. Another vital issue for the unions is the job insecurity likely to develop on introduction of change. If the unions are satisfied on this account also, then they can really act as facilitators for hastening the change process.

2.8.2 Types of Change Agent:

A change agent could be an insider or outsider. Some authors\textsuperscript{20,21} state that, for complex & lengthy change programs, it is often desirable to have an outside change agent to manage the process, if special expertise & skills may be required. A consultant who is hired to do a particular task on a fixed contract and then leaves after the work is completed is the simplest type of outside change agent. Some consultant’s have permanent contracts, becoming virtually part of the organisations’ staff. Lot of retired employees and managers, who are active enough, often continue in this role. These consultants can be further classified as those concerned with process and those offering a techniques package. Those concerned with process study what is happening, with no set solutions in mind and then analyse it critically based on their experience. Work study analysis is such an example. The techniques people offer a ‘package; of know how
to deliver a known result or target as far example a consultant who designs and installs staff appraisal systems, accounting systems etc. Freedom from day to day operating responsibilities is essential for proper planning & the prestige of being an outsider can be helpful. Outsiders with no vested interests in the organisation are often more likely to be confided and listened to and are able to form objective judgment. The outside change agents many a times are likely to have some drawbacks too, as they being strangers may not truly identify with the problem. The would take time to fully understand values, cultures and work ethos prevailing in the organisation they are studying- The organisation may develop dependency on them Sometimes it can create adverse impact on the morale of the staff and middle level managers, indicating a lack of confidence by senior managers in them.

2.8.3 As against these the organisation can also entrust the job to part of the management or an insider change agent. If such agent is truly knowing the system, the problem to be tackled, the norms and common beliefs prevailing in the system, he/she can act more effectively. As they speak the organisations language they may design new system to match the existing culture. Again there are no either/or choices here. Sometimes the insider agent might prove to be the main reason for failure, if he is one with ‘blinders’ or does not possess all the knowledge of operations at the grass root level and has a myopic view of the same. In such cases he can prove to be detrimental to the entire change process and the outputs. A number of authors have argued this issue in favour of one or the other. But in a large organisation, such an either or approach does not appear to be practicable.
2.8.4 In large organisations more often than not the change agents cannot work alone but have to form a team to carry out the desired change. A Team has a potential advantages of creating a shared responsibility. But some managers express strong negative sentiments about teams, groups, committees and meetings. They associate teams with delays, endless talks involving at times false, constrained politeness; avoidance of responsibility & other unpleasant outcomes. But a good change team can produce enthusiasm & encourage emulation. This also has been recognised by most of the authors and therefore it will be worthwhile to look at the qualities of a team acting as ‘Change Agents’.

2.9 QUALITIES OF A TEAM AS CHANGE AGENT:-
There are no guidelines laid as such for how to form a team or members of team etc. But number of attributes are desired for such a team to function these are listed below:

1. The team consists of members, who know his/her own and others task well enough so nothing falls through the cracks, everyone knows who is & who should be, doing what. They have a capacity to share problems not hide them. This gives the group ability to give collective input to the agenda setting & prioritisation process.

2. Trust is high. Group need not meet on every issue. Each member is confident that no one, including the team leader, would act without consultation unless there was good reason such as prior general agreement, special expertise, legitimate time pressures.

3. Members who are clearly more expert than others, in certain areas would be given greater latitude to make decisions in those matters.
4. Issues affecting the department as a whole are seriously discussed together, with preparedness to fight hard & openly for their beliefs. The members have the willingness to confront a peer about poor performance in front of the boss/group. If there are differences the battles will center on issues & not personalities. Differences would be considered legitimate expressions of a persons' experience & job perspective & not indicative of incompetence, stupidity or political maneuvering.

5. Despite this the climate is pervasively supportive, encouraging members to ask one another for help, acknowledge their mistakes, & share resources i.e. there is a readiness to shift from blaming to problem exploration.

6. The group has self correcting mechanism- when things aren't going well, all members are ready to examine the group's processes & take corrective action.

2.10 ACCEPTANCE OF CHANGE :-

The degree of acceptance of change varies with members in an organisation. Sociologists & physiologists have classified the members in the context of acceptance of change in following categories. In case a change agent is able to identify the persons falling in these categories they can use those who will help the change and take special efforts to bring up or motivate others:

i) Innovators
ii) Early adopters
iii) Early Majority
iv) Late majority
v) Laggards.

Innovators are forward looking people who not only accept the change but help management in initiating it. Early adopters are those who do not support the change at first but due to informal group processes adopt them quickly. The early & late majority are also late adopters who can be converted by intelligent & effective use of Innovators & Early adopters. But laggards have a tendency to stick to their original thinking & do not feel like accepting a change even after acceptance by everyone else. Managers require maximum efforts to convert laggards to adopters. As they have unless controlled a great propensity to reverse the late majority group to laggards.

2.11 APPROACHES TO ORGANISATIONAL CHANGE

2.11.1 A number of approaches have been suggested by various authors, so as to facilitate an efficient and smoother change management. But the focus by and large is on private sector where profits are the primary motives. In Government the circumstances and limitations are rather unique. The various approaches suggested by some leading personalities in this field are enumerated below.

2.11.2 Kurt Lewin’s three step approach is commonly quoted. He recommends a three stage process by which a change should be managed which is produced below in a figurative format in figure 2.3.
1. **UNFREEZING**

Change does not occur in a vacuum of no prior perspective, as long as the new is different from the old and the old had value to the individual. Unfreezing involves breaking down of the modes, customs & traditions of an individual in the old ways of doing things, so that the person is ready to accept the change. It is a thawing out process where the forces acting on the individual in the organisation are rearranged so that he sees the need for change. Some elements in unfreezing stage as per Lewin are:

a) The physical removal of the individual being changed from his accustomed routines, sources of information & social relationships.

b) To undermine & destroy all social supports.

c) To create demeaning & humiliating experiences to help individual being changed to see his old self as unworthy.

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**FIGURE 2.3 :- CHANGE PROCESS**

**UNFREEZING**

1. Identifying the need for change.
2. Increasing the driving forces to change.
3. Reducing the resisting forces to change.

**MOVING**

1. Individual Components
2. Group Components
3. Task Components
4. Structural Components
5. Technology Components

**REFREEZING**

1. Reinforcing the newly learned behaviour.
2. Finding "fits" between organisational components.
3. Maintaining "fits" between organisational Components.
d) Link reward with willingness to change & punishment with unwillingness to change. These steps however appear to be perhaps suitable in an autocratic and small size organisations. But in a large bureaucratic set up it appears impractical due to presence of trade unions i.e. organised labour. Here therefore a different approach is necessary.

2. CHANGING/ MOVING :-

Moving or changing involves changing the various related components in an organisation. It is a time of learning by trial and error and is characterised by ambiguity and tentativeness. This phase involves changing the organisational components and is typically one demanding patient guidance by the authority. To choose the right approach it is required to assess the organisational culture prevailing within the unit. Broadly he classifies organisations under following categories:

a) Power oriented
b) Task oriented
c) People or Procedure oriented.

The approaches to handle a new change will differ in each case. Lewin suggests different approaches for each. For power oriented set up such as a private owned company the stress on ‘change’ should be given in this approach through appropriate authority who matters, say the owner himself. In case of a task oriented organisation, such as a research unit, the stress on the ‘change’ should be on improving organisational performance in such environments. While for people or procedure oriented companies the stress should be on enhancing cohesiveness or improving relationships in the organisation. It also involves providing
new pattern of behaviour through a process of ‘identification’ & ‘internalization’. Identification occurs when one or more models are provided in the environment from whom an individual can learn new behaviour patterns by identifying with them & trying to become like them. Internalization occurs when an individual is placed in a situation where new behaviours are demanded of him if he is to operate successfully in that situation. Force or compliance is a way of internalization. It occurs when an individual is forced to change by direct manipulation of reward & punishment by some one in a power position. However in this case often behaviour appears to have changed when the change agent is present, but reverts to earlier position when supervision is removed.

3. REFREEZING:-

If the new behaviour has been internalised, it automatically facilitates refreezing. If however the change is learned through identification, it will persist only as long as the targets’ relationship with the original influence source persists unless the new model is found on social support and reinforcement is obtained for expressions of the new attitudes. This is often noticed when an individual returns after attending some special training programme. The effects of many such a training programs are short lived, as when the person returns to an environment where day to day pressures of work do not reinforce the new patterns or even worse, are hostile towards them. This results in the training about the new technology taking the back seat. Therefore creating an environment in which the new change or training is encouraged and pursued relentlessly becomes very vital in this stage of refreezing. What is of concern in
refreezing is that the new behaviour does not get extinguished over a time. To ensure this reinforcement by way of refresher courses etc. should be scheduled in an effective way. There are two ways of doing this which are called ‘continuous’ and ‘intermittently continuous’. Continuous reinforcement means individual being changed is reinforced every time he or she engages in the desired new activity. While in ‘intermittently continuous’ reinforcement every response is not reinforced. Here reinforcement can be completely random or can be scheduled according to a prescribed number of responses occurring or a particular interval time elapsing before reinforcement is given. With ‘continuous reinforcement’ the individual learns the new behaviour quickly but if the environment changes to one of non-reinforcement extinction can be expected to take place soon. With ‘intermittently continuous’ reinforcement extinction is much slower because the individual has been conditioned to go for periods of time without reinforcement. For fast refreezing ‘continuous’ reinforcement should be used, followed by ‘intermittently continuous’ reinforcement.

2.11.3 DESSLER’S APPROACH:

He has suggested a four step approach to management of change in following four steps:

a) Diagnosing the problem
b) Planning for change
c) Making the change
d) Evaluating the change

This diagnosing can be done through three steps:
1. Analysis of the present work scenario in the organisation.

2. Identification of important performance indicators.

3. Problem identification.

In order to introduce change successfully, it is expedient first of all to diagnose the problem. This is often missed by managers in a hurry. A detailed organisation analysis realising the organisational goals, plans, environment, practices & performance is important. The diagnosis will involve an analysis of the existing situation and the ideal situation & finding the differences between the two. At this stage itself assessment of the situation in the contemplated change should be carried out. Adequate mechanism to monitor performance during transition stage and a system to incorporate modifications based on the feedback during implementation should also be planned. In any case, no change is worth its while if the costs likely to be incurred are greater than the benefits. Desseler also however advises to keep in mind the frame of reference, that is from whose point of view we are considering the situation. As far as possible, the problems should be looked at from the point of view of management, workers as well as users or customers i.e.all those who are likely to be affected. It helps in identifying the problems and develop solutions that are in keeping with the organisational goals.

2.11.4 GREINER’S APPROACH:\textsuperscript{23}:

As per Greiner there are three approaches located along a continuum, with unilateral authority at one extreme & delegated authority at the other.
In the middle is the shared authority approach.

1. "Decree" approach or Top-down/unilateral Approach
2. "Shared-power" or "Participative approach .

1) Unilateral Approach : In this approach the change strategy can take form of an edict from top management which describes the changes & the responsibilities & roles of subordinates in implementing them. This may be appropriate in a chaotic situation but this can backfire if not used properly.

2. Shared Approach : This approach consists of involving lower level staff in the process of either defining the problem & alternative solutions or defining solutions only after higher level management has defined the problem. This approach engages the talents & insights of all numbers at all levels.

3. Delegated approach : In this the management relinquishes complete authority for management of new change to subordinate groups who then develop & implement the change themselves.

2.6.2 As per Greiner 21, out of these the shared approach is most commonly used in large organisations and is composed of six phases as under:-
1. **Pressure & Arousal**: On the management of the organisation warranting a change. This could be external pressures or internal arousals.

2. **Intervention & Reorientation**: Intervention by an outsider is often necessary to reorient the management away from routine approaches towards non routine approaches. The outsider, who could be a new managerial appointee, a corporate staff official or a consultant, brings a different perspective into the situation & serves as challenger to the status quo. But for such a change to be really effective top management must fully commit itself to the change at this point.

3. **Diagnosis & Recognition**: To be done by entire organisation from top to bottom to specify the problem. Greiner observes that the less successful changes use either unilateral or delegated approach in this step. The unilateral approach fails because management, presumes that they alone know the problem and its solution & thus ignore the necessity for involving the persons who will be affected directly by such changes. While delegated approach sometimes fails because the subordinates question the sincerity of management who totally relinquish their authority to subordinates in carrying out the change. But this appears to be highly impractical in a large and structured organisations.

4. **Intervention & Commitment**: Intervention by all layers of management & staff to invent new solutions to the problem can lead to high degree of commitment to the change through joint sharing of the experience, provided the top management continues to support the change with same stress.

5. **Experimentation & Search**: The desired change is implemented on a small scale at various points throughout the organisation to test the
validity of the solution on experimental basis. But this can be successful only if there is a separate monitoring team set up to take such work further to its logical conclusion.

6. Reinforcement and Acceptance: If step five is successful it provides positive signals, leading to a reinforcement effect on the participants encouraging them to accept the change & enlarge its potential. The above steps involve participation of superiors & subordinates in the entire process. Further the worker may not want to be involved if the leadership climate or organisational culture has created an atmosphere of mistrust & insincerity while implementing the change. The employees must be willing & able to voice their ideas. Even if they are willing, they must have expertise in some aspect of the analysis. The technical problems associated with the change in question may be beyond their scope of understanding but they may have valuable insights to add to the impact the said change may have on their & co workers jobs. The managers or change agents causing or initiating the change must be secure in their positions. Their personality & leadership styles must be compatible with the shared authority approach if it is to be a successful strategy. If they have pre determined solutions, the participation of employees will be a farce & soon recognized by them as such.

2.11.5 HERSEY & BLANCHARD’S APPROACH

2.11.5.1 They have suggested two styles of approaches in which a change can be brought about:
A) The Participative or Democratic style:

This is implemented by first improving the knowledge of the individual or group which is expected to develop the new changes. Positive attitude & commitment of this individual or group in the direction of desired change is very crucial. The individual or group should be involved in helping to select new methods for obtaining the desire goals. In order to translate this commitment into actual behaviour an effective strategy may be to identify the formal and informal leaders among the work groups & concentrate on gaining their behavioural support for the desired change. Once this is achieved, organised change may be effected by getting other people to begin to pattern their behaviour on the lines of those whom they respect & perceive as leaders. The participative management style is appropriate when subordinates are achievement oriented, having task maturity & willing to assume responsibility. It has deeper & longer lasting impact. This style involves individuals or the group involved in the change directly in helping to select or formalise the new methods for attaining the desired goals. It tends to be effective when headed by leaders with personal power, i.e. they are well liked & respected by their followers regardless of position power. Here the significant advantage is once a change is effected it tends to be long lasting because of commitment of people due to their involvement in the decision making process. But this strategy is slow & may take long to implement a significant change.

B) The Autocratic style -
This style begins by change being imposed on the total organisation by some external force such as higher management, the community, new laws etc. all of a sudden hoping that group behaviour will help change individual behaviour. This will affect interaction patterns which in turn, will create new knowledge. Such creation of knowledge will tend to change attitudes of those individuals who are stogy or laggards. It may even result in whole hearted acceptance of the change, giving the appearance of a participative change cycle. But it actually works in reverse order i.e. it works through group behaviour to individual behaviour & through their attitudes to their knowledge. The directive change cycle or autocratic cycle is appropriate when subordinates are less ambitious, often dependent & unwilling to take new responsibilities unless forced to do so. Advantage of this style is it has speed and therefore immediate impact but it tends to be volatile. This style necessitates that the leader enjoys sufficient position power i.e. control over rewards & punishments & sanctions. It can be maintained only as long as the leader has the position power to make it stick. It often results in animosity, hostility & in some cases covert behaviour to undermine the change.

2.11.5.2 Each style has its advantages & disadvantages. But these approaches do not represent an either/or position. It is the organisational culture & environment that should determine the choice. As a matter of fact the best choice would be a proper blend of the directive & participative change strategies, depending on the situation, than a forced choice. In fact one may have to use both in different situations. It is important to study existing pattern of communication, as each pattern fits
only in an appropriate style of leadership. If pattern is such that the subordinates can communicate only with the leader & not each other democratic style of leadership may not prove effective. Similarly if the pattern of communication permits mutual consultation autocratic style may find it inconvenient. Understanding this pattern will also help in adopting appropriate implementation style.

2.11.6 Adoptive Approach:
Schein prapogates a marketing approach to environmental demands & calls it as adoptive strategy. It usually starts with an assessment of the needs of the market place and then produces goods and services to meet these. The adoptive strategy involves the following sequence of activities:
1. Sensing a change in the internal or external environment.
2. Importing the relevant information about the change into those parts of the organisation that can act on it.
3. Changing activities inside the organisation according to the information obtained.
4. Stabilising internal changes while reducing or managing undesired byproducts.
5. Exporting new products, services, or methods that are more in line with the originally perceived changes in the environment.
6. Obtaining feed back on the success of the change through further sensing of the state of the external environment and the degree of integration of the internal environment.
Schein also indicates four conditions for successful adoption of this strategy. Conditions that are very similar to the ultimate criteria of organisational health

(1) Ability to take in and communicate valid information reliably.

(2) Internal flexibility and creativity to make the changes that are demanded by the information obtained;

(3) Integration and commitment to the goals of the organisation from which comes the willingness to change;

(4) An internal climate of support and freedom from threat.

2.11.7 Contingency Approach

According to the contingency school, the choice of an appropriate strategy and the implementation diagnosis consists of assessing eight independent variables or factors for a particular organisation. These are shown in the upper part of figure 2.4. Each variable is given a continuum of potential values. Based on the diagnosis which evolves, the basic implementation strategy will consist of selecting values along the continua for the three dependent variables as shown at the bottom of this figure. Once the values of these variables have been located and if the answers to the diagnostic for the independent variables fall towards the left of the continuum, then the implementation strategy would also be leftwards. On the other hand, if the values of variables tend towards the right side of continuum then the implementation strategy would also be rightwards. For example, if there is very little time available for introduction of change, the crisis or need for change is clear to all, it is a small organisation, and so on, the appropriate change strategy is tops-down, directive, and fast.
Figure 2.4: Variables for diagnosis and strategy setting of implementation of organisational change.

**Diagnostic (independent) variables**

1. Time available ----------------- Short------------------ Long
2. Clarity of crisis or need for change -- Clear to all ------------ Clear to few
3. Size of organisation ------------ Small------------------ Large
4. Effects of existing controls ---- Encourage ------- Encourage
   and incentives
   initiative focus
5. Organisational concentration ---- Concentrated ------- Concentrated
   of relevant knowledge at top at bottom
6. Expectation of people regarding
   involvement in implementation --------- None ------------- Extensive
7. Potential resistance -------------- Small -------------- Great
8. Total power base of change agent---- Great ----------- Small

**Implementation strategy (dependent) variables**

1. Pace ------------------------------- Fast ------------------ Slow
2. Use of power ---------------------- Tops-down ------ Bottoms-up
3. Management style------------------- Directive ------- Participative

So as per this approach, whenever one is faced with a problem of managing a change, assess the situation mentally and depending upon the diagnosis of the situation, proceed to the task of implementing change with reasonably greater probability of success.
2.11.8 Thus various authors from Lewin to Schein have prescribed certain strategies or approaches to manage a change successfully. Lewin’s 3 stage approach or Greiner’s 4 stage approach are the classical theories & adoptive cycle or the contingency approach are the modern theories. In India the approach of handling changes in a small business is totally person oriented and the approaches differ from community to community. The bigger companies who are headed by business dyons may have professional management but final say is of the head of family who controls the company. The public limited companies do adopt the various approaches enumerated in this chapter, occasionally. The position of government undertakings and departments is still different.

2.12 MANAGEMENT OF CHANGE IN GOVERNMENT

2.12.1 The various facts of change management are applicable to all organisations. But some fine tuning is necessary to suit different situations and different type of organisation since both the case studies discussed in subsequent chapters belong to bureaucratic organisations. A typical bureaucratic organisation whether in government or business has certain typical features which have been identified by Max Weber. A look at these will be of help in evaluation of the approaches adopted in the two government departments, namely the railways and customs whose computerisation projects are studied in chapter three and four.

1. Specialization - Duties of each position or post are clearly specified, thereby increasing organisational efficiency as members gain experience & do their job well. Such specialization reduces chaos & uncertainty.
2. Formalization & standardisation - The duties of each role are formalised through rules & regulations. Standardised procedures are laid out for dealing with clients etc. Rules are the basis of self protection for the members, as they reduce internal conflict. Departments & their members occupy a specific role the organizational division of labour. Formalization of duties limits the demands others can make on a person in a particular position. A response to a difficult or unusual request is typically “that’s not my job”. And one can often get away by giving such response.

3. Decentralization - Routine operating decisions are delegated to various units & departments. Centralization of authority is limited to important policy decisions & planning & top administrators deal only with exceptional & unusual cases that subordinates cannot handle.

4. Hierarchy - An official hierarchy of authority that establishes a firm ordered system of superiors & subordinates in which there is a supervision of the lower offices by higher one

5. Limited rewards to office holders - The means of administration i.e. the resources of the organisation are attached to the office and not the office holder. A member implicitly accepts an obligation to faithfully perform the duties of office, but gains no personal rights to the office.

6. Universalistic Performance Standards: Hiring & promotions are ideally based on competence and universal standards. This is excepted to give confidence to a person to work without fear or favour as the performance of the person is not judged on isolated instances but on
overall basis. While it has benefit it also leads to elements of disobedience or covert resistance.

7. Carrier advancing opportunities: Provides prospects of carrier advancement, increase in authority and income within the organisation. Mobility through the ranks is based on universalistic criteria and is a way of motivating persons to perform well continuously.

2.12.2 The potential impact & penetration of public life by the bureaucracy in India is so pervasive that there is no other formal organization which wields such a great capacity & power to influence. It reaches people in the remotest areas with personified symbolism of government. However, despite its power & penetration its structure and ethos continues to be colonial, which was institutionalised during British Regime. The phenomenon of structural lag was the inevitable outcome of such a situation where goals have fundamentally changed, yet the structure continues to be similar. It is believed that such a dissonance reinforces feudal colonial patterns of administration which are detrimental to the process of development. This explains how the system becomes so powerful that despite the fact that very intelligent & bright people are recruited at the higher levels of bureaucratic hierarchy, they become ineffective very soon. Most of the departments have working systems and practices which have been carried on through colonial days till date. It is on such a backdrop that computerisation was taken up in eighties in India. Two departments of Government Of India, the Ministry Of Railways and Central Board of Custom And Excise, under the Ministry Of Finance tried to set up On Line Real Time Computer Systems all over India in the forthcoming chapters these projects are studied in depth from the view
point of how this change which was a quantum jump in technological
terms was handled.

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