## Appendix 4.1

### Interview Checklist

1. According to you, how important is communication in the process of turnaround?
2. What, according to you, are principles of good communication?
3. Did your Company prepare a communication strategy to enable the turnaround?
4. Is the communication strategy documented?
5. If yes, please let me have a copy of the communication strategy you developed?
6. If no, then which stakeholders did you identify for Regular/ Intermittent/Blocked communication? Circle the correct option.
   
   | i. Employees | R | I | B |
   | ii. Bankers | R | I | B |
   | iii. Institutional Shareholders | R | I | B |
   | iv. Agency Principals, if any | R | I | B |
   | v. Government | R | I | B |
   | vi. Industry associations | R | I | B |
   | vii. Customer | R | I | B |
   | viii. Supplier | R | I | B |
   | ix. International agencies, if any | R | I | B |
   | x. Media Relations | R | I | B |
   | xi. Public at large | R | I | B |
   | xii. Any other ...................... | R | I | B |

6. For each stakeholder mentioned above, please answer the following questions:

   a. Employees
      
      i. What were the communication objectives?
      ii. What messages did you wish to deliver?
      iii. Who did you select for carrying out this task and why?
      iv. How did this person/ group convey the message?
      v. Did you attempt to evaluate the effectiveness of this communication process?
      vi. If yes, how?

      (These may include several measures/ interventions planned by you. I would like to have inputs on all these initiatives)

   b. Banks & Financial Institutions
      
      i. What were the communication objectives?
      ii. What messages did you wish to deliver?
iii. Who did you select for carrying out this task and why?
iv. How did this person/group convey the message?
v. Did you attempt to evaluate the effectiveness of this communication process?
vi. If yes, how?

c. **Shareholders**
   i. What were the communication objectives?
   ii. What messages did you wish to deliver?
   iii. Who did you select for carrying out this task and why?
   iv. How did this person/group convey the message?
   v. Did you attempt to evaluate the effectiveness of this communication process?
   vi. If yes, how?

d. **Agency Principals, if any**
   i. What were the communication objectives?
   ii. What messages did you wish to deliver?
   iii. Who did you select for carrying out this task and why?
   iv. How did this person/group convey the message?
   v. Did you attempt to evaluate the effectiveness of this communication process?
   vi. If yes, how?

e. **Government**
   i. What were the communication objectives?
   ii. What messages did you wish to deliver?
   iii. Who did you select for carrying out this task and why?
   iv. How did this person/group convey the message?
   v. Did you attempt to evaluate the effectiveness of this communication process?
   vi. If yes, how?

f. **Industry Associations**
   i. What were the communication objectives?
   ii. What messages did you wish to deliver?
   iii. Who did you select for carrying out this task and why?
   iv. How did this person/group convey the message?
   v. Did you attempt to evaluate the effectiveness of this communication process?
   vi. If yes, how?
g. Customers
   i. What were the communication objectives?
   ii. What messages did you wish to deliver?
   iii. Who did you select for carrying out this task and why?
   iv. How did this person/group convey the message?
   v. Did you attempt to evaluate the effectiveness of this communication process?
   vi. If yes, how?

h. Suppliers
   i. What were the communication objectives?
   ii. What messages did you wish to deliver?
   iii. Who did you select for carrying out this task and why?
   iv. How did this person/group convey the message?
   v. Did you attempt to evaluate the effectiveness of this communication process?
   vi. If yes, how?

i. International agencies, if any
   i. What were the communication objectives?
   ii. What messages did you wish to deliver?
   iii. Who did you select for carrying out this task and why?
   iv. How did this person/group convey the message?
   v. Did you attempt to evaluate the effectiveness of this communication process?
   vi. If yes, how?

j. Media Relations
   i. What were the communication objectives?
   ii. What messages did you wish to deliver?
   iii. Who did you select for carrying out this task and why?
   iv. How did this person/group convey the message?
   v. Did you attempt to evaluate the effectiveness of this communication process?
   vi. If yes, how?

k. Public at large
   i. What were the communication objectives?
   ii. What messages did you wish to deliver?
   iii. Who did you select for carrying out this task and why?
   iv. How did this person/group convey the message?
v. Did you attempt to evaluate the effectiveness of this communication process?
vi. If yes, how?

1. Any other....................
i. What were the communication objectives?
ii. What messages did you wish to deliver?
iii. Who did you select for carrying out this task and why?
iv. How did this person/group convey the message?
v. Did you attempt to evaluate the effectiveness of this communication process?
vi. If yes, how?

7. Which of the following communication technologies play a role in enabling the turnaround process?
   i. LAN Y N
   ii. Internet Y N
   iii. ERP Y N
   iv. Mobile phone Y N
   v. SMS Y N

8. For those technologies that did play a role, please answer the following:
   a. When did you implement this communication technology?
   b. Why?
   c. What did the process of implementation entail? (How easy or difficult was it?)
   d. Is the technology implemented to its full capacity?
   e. What were the benefits accrued thereof?

9. Was it required to integrate the internal (with internal stakeholders) and external (with external stakeholders) communication strategy?
10. What were the issues that made this integration pertinent?
11. How did you integrate the two strategies?

*****************************************************************************
Table 6.1: Cross Case Synthesis

<table>
<thead>
<tr>
<th>Hypothesis No.</th>
<th>Hypothesis Description</th>
<th>TBEL</th>
<th>ESCL</th>
<th>ABCL</th>
<th>VPL</th>
<th>HMCL</th>
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<th>Result</th>
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<td>1A</td>
<td>Every company that undergoes a turnaround would necessarily have to address some of the communication objectives given in the framework though not necessarily all.</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes-9</td>
</tr>
<tr>
<td>1B</td>
<td>The list of communication objectives given in the proposed theoretical framework is comprehensive.</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>Yes-4; No-5</td>
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<td>2A</td>
<td>Every company that undergoes a turnaround would necessarily have to address some of the critical stakeholders given in the framework.</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes-9</td>
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<td>2B</td>
<td>Hypothesis 3: The list of critical stakeholders to be addressed during a turnaround proposed is comprehensive.</td>
<td>No</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>No</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes-6; No-3</td>
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<tr>
<td>3A</td>
<td>At least one of the communication actions listed in the proposed theoretical framework is employed to realize a corresponding communication objective during turnaround.</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes</td>
<td>Yes-9</td>
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<tr>
<td>3B</td>
<td>The list of communication actions recommended for achieving the communication objectives is comprehensive</td>
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<td>No</td>
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<td>No</td>
<td>No</td>
<td>No</td>
<td>No</td>
<td>No</td>
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Appendix 6.1
### Appendix 6.2

**Table 6.2:** The Match between the revised CS 4 OTA framework (Table 5.2) and the Turnaround Communication strategies of organizations studied.

<table>
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<tr>
<th>Stakeholder/ Turnaround Element (objective) / Possible Communication Action</th>
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<th>VPL</th>
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<td>1. Board of Directors/ Shareholders</td>
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<td>1.1.1. Present detailed turn-around plan</td>
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<td>2. Staff and Employees</td>
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<td>2.1. Credibility building actions by the new management</td>
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292
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<td>2.1.3. Make decisions transparent</td>
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<td>2.1.4. Exercise Communication Control</td>
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<td>2.2.1. Order preparation of daily, weekly and monthly cash forecasts</td>
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<td>2.2.3. Seek views on the general well being of the employees</td>
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<td>2.3. Confront employees attempting anti-establishment sentiments</td>
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<td>2.4. Mobilization of organization for turnaround</td>
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<td>2.4.1. Include key managers for development of industry</td>
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<td>2.4.2. Include only key managers for development of vision</td>
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<td>2.4.3. CEO should deliver the vision presentation in person and as often as possible.</td>
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<td>2.4.4. Hold special sessions for non-participating managers after vision has been developed to share planned vision</td>
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<td>2.4.5. Inject urgency in the communications plan. Explain what needs to be done and why</td>
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<td>2.4.6. Listen to the views of all managers. Gauge their reaction</td>
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<td>2.4.7. Understand perceptions and focus minds of managing team. Set the scene for turnaround.</td>
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<tr>
<td>2.4.8. Ensure all employees know what is going on, for what reason and how it will occur.</td>
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<td>2.4.9. Share the pulpit (Empowerment)</td>
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<tr>
<td>2.4.10. Deal with concerns of employees in open and honest manner. Offer follow up sessions</td>
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<td>2.4.11. Note any comments or queries and provide answers asap.</td>
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<tr>
<td>2.4.12. CEO must get out of the office to interact with the employees and to listen to them.</td>
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<td>2.4.13. Employ open ended communication style that encourages employees to find answers, take decisions.</td>
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<td>2.4.14. Repeatedly affirm the Company’s mission, core values, and the primary goals of profit and growth.</td>
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<td>2.4.15. Articulate a few highly concrete targets for the company for the next few months.</td>
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<td>2.4.16. Involve the staff to identify solvable problem areas and have their views on uninvolved</td>
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<td>2.4.18. Top managers must emphasize on integrity, fairness, hard work, resourcefulness and concern for the staff during interactions with the staff.</td>
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<td>2.4.19. Publicize and celebrate every employee and team success.</td>
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<td>2.5. Organize seminars for educating workers on their rights and developments in industry. This dispels misconceptions. (Educate employees on their rights and openly discuss them)</td>
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### Appendix 6.3

Table 6.7: Framework reflecting popularity of communication actions employed for each communication objective

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<td>2.3. Confront employees attempting anti-establishment sentiments</td>
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<td>2.4. Mobilization of organization for turnaround</td>
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<td>2.4.1. Inject urgency in the communications plan. Explain what needs to be done and why</td>
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<td>2.4.2. Deal with concerns of employees in open and honest manner. Offer follow up sessions</td>
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<td>2.4.3. Articulate a few highly concrete targets for the company for the next few months</td>
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<td>2.4.4. Top managers must emphasize on integrity, fairness, hard work, resourcefulness and concern for the staff during interactions with the staff.</td>
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<td>2.4.5. Listen to the views of all managers. Gauge their reaction</td>
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<td>2.4.6. Repeatedly affirm the Company’s mission, core values, and the primary goals of profit and growth.</td>
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<td>2.4.7. Understand perceptions and focus minds of managing team. Set the scene for turnaround.</td>
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<td>2.4.8. Ensure all employees know what is going on, for what reason and how it will occur.</td>
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<td>2.4.9. Share the pulpit (Empowerment)</td>
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<td>2.4.10. Note any comments or queries and provide answers asap.</td>
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<td>2.4.11. Involve the staff to identify solvable problem areas and have their views on uninvolved areas.</td>
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<td>2.4.12. Include key managers for development of industry wisdom</td>
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<td>2.4.13. CEO must get out of the office to interact with the employees and to listen to them.</td>
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<td>2.4.14. Publicize and celebrate every employee and team success</td>
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<td>2.5. Organize seminars for educating workers on their rights and developments in industry. This dispels misconceptions. (Educate employees on their rights and openly discuss them)</td>
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<td>2.5.1. Hold special sessions for non-participating managers after vision has been developed to share</td>
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<td>2.5.2. Employ open ended communication style that encourages employees to find answers, take decisions.</td>
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<td>2.7.2. Offer constant feedback to keep organization on track</td>
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<td>Insist that lower level disputes be settled at that level on a face to face basis</td>
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<td>Exercise Control on Communication Technology (NEW)</td>
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<td>Keep the atmosphere light.</td>
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<td>3. Unions</td>
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<td>3.1. Negotiation of support of Unions and neutralization of Unions' pressures</td>
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<td>Brief unions on the problems and strengths of the unit and some tentative turnaround plan.</td>
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<td>Seek support, concessions etc. from the unions</td>
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<td>Keep unions posted on the progress of the turnaround</td>
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<td>Get them to suggest turnaround steps</td>
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<td>Collect informal feedback for better negotiations</td>
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<td>Evolve jointly a broad turnaround strategy</td>
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<td>3.2. Managing Retrenchment</td>
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<td>Address all the workers directly and together to avoid misunderstandings and rumours</td>
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<td>3.2.2. Make it clear to the workers that the management would ensure a fair deal for them</td>
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<td>3.2.3. Let a manager who has dealt with workers and enjoys their goodwill handle negotiations</td>
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<td>3.2.4. Quantity of information shared at a time should be controlled and based on capacity of recipients to absorb it</td>
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<td>3.2.5. Do not hide the decision of closing down the unit from anyone who inquires</td>
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4. Banks and Financial Institutions

| 4.1. Negotiation of support of Banks and/or FIs and neutralization of Banks and/or FIs pressures | 1    | 1    | 1    | 1   | 1    | 1     | 1   | 3   | 1    | 8     |
| 4.1.1. Seek support, concessions etc. from Banks and/or FIs                                      | 1    | 1    | 1    | 1   | 1    | 1     | 1   | 3   | 1    | 8     |
| 4.1.2. Keep Banks and/or FIs posted on the progress of the turnaround                               | 1    | 1    | 1    | 1   | 2    | 1     | 1   | 3   | 1    | 7     |
| 4.1.3. Brief Banks and/or FIs on the problems and strengths of the unit and some tentative turnaround plan | 1    | 1    | 1    | 1   | 2    | 1     | 1   | 3   | 2    | 6     |

4.2. Educate the concerned bank officials on the working of the business/industry/NeW

| 4.2. Requires personal interaction of promoter/ top management with Bank senior officials          | 1    | 2    | 1    | NEW | 2    | NEW   | 2   | 2   | 1    | 5     |

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<td>4.4.1. Get them to suggest turnaround steps</td>
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<td>Access to Internet</td>
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<td>Email monitoring</td>
<td>LAN</td>
<td>Type of Connectivity</td>
<td>ERP domain</td>
<td>Mobile Phone Restrictions</td>
<td>SMS utility</td>
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<td>Net Connectivity at all points - 1</td>
<td>Email Official Comm-1</td>
<td>Email monitored - 1</td>
<td>LAN only - 1</td>
<td>Virtual Private Network - 1</td>
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<td>Net Connectivity at select points - 2</td>
<td>Email not official communication - 2</td>
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<td>Satellite Link - 2</td>
<td>ERP single location - 2</td>
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<td>For active marketing objectives - 3</td>
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