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UTTAR PRADESH RAJARSHI TANDON OPEN UNIVERSITY

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MBA-3.14
Managing Change in Organisations

FIRST BLOCK
Concept of Managing Change

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Managing Change in Organisations

Block

1

CONCEPT OF MANAGING CHANGE

BLOCK 1 CONCEPT OF MANAGING CHANGE

This Block comprises five units dealing with the concept of change i.e., what change means and how it occurs in an Organisation.

Unit 1 deals with the process of organisational change, the dynamics involved in it, and how transformational change occurs in complex organisations with raid changes in the enviornment.

Unit 2 focuses on key roles in organisational change; those who are involved in initiating the change; the team, the consultants, the chief implementor, the task forces.

Unit 3 'Culture and Change, spells out the importance of social culture for the management of change with specific reference to the Indian Culture.

Unit 4 deals with how to manage resistance to change, by bringing about the positive role of resistance, the main sources of resistance and the action plan to resist the change.

Finaliy, **Unit 5** sets the framework for effective implementation of change.

UNIT 1 THE PROCESS OF ORGANISATIONAL CHANGES

Objectives

After going through the unit you should be able to:

- understand the dynamics of planned change
- understand the main sequential stages
- appreciate the value of transformational change

Structure

1.1 INTRODUCTION

Change can be defined as an alteration in the existing field of forces which tends to affect the equilibrium.

Change is inevitable in the history of any organisation. Organisations that do not change or keep pace with the changing environment suffer from entropy and soon become defunct. Organisations have an internal environment but exist in an external environment. The internal environment is in terms of the task, structure, technology, social (People) and economic variables, while the external environment is in terms of the larger social, political, economic and cultural factors. To function effectively, organisations have to achieve an equilibrium within the internal variables in active interaction with each other and also with the external environment. However this equilibrium is not static but dynamic. Hence organisations have to modify and change to adopt to the changing internal and external environment.

A short list is given below regarding some of the changes which affected almost all organisations in the past few decades is given below:

- Technological innovations have multiplied; products and know-how are fast becoming obsolete,
- Basic resources have progressively become more expensive,
- Competition has sharply increased,
- Communication and computers have reduced the time needed to make decisions,
- Environmental and consumer interest-groups have become highly influential,
- The drive for social equity has gained momentum,
- The economic interdependence among countries has become more apparent.

These and many other changes compel organisations to cope with the environment and become more adaptive. If they donot adapt to the circumstances they become extinct.

1.2 THE NATURE OF PLANNED CHANGE

Change is a complex process. Social scientists have suggested a number of models about change, one model suggests that change takes place when the forces favouring a particular innovation become stronger than those opposing it. Another model suggests that change results when an individual, a group of people or an organization recognises

a problem and succeeds in finding a solution. Another model suggests that change occurs through the borrowing of ideas and practices from people of other societies or cultures. Still another is that, within an organisation, group or society, some people institution move out ahead of the rest who, eventually, imitate the innovators and general change occurs. Undoubtedly, these and other models of the change process are descriptive of the complex dynamics of change, all of the processes operating simultaneously in various segments and on several dimensions of society. Regardless of the model of change dynamics that seems appropriate in each situation, the task of the sponsor or manager of change is to stimulate, reinforce and promote those social forces and activities which seem to promise successful movement in the direction of proposed change, and to discourage those which do not. To do this with some skill, those involved in planned change need the knowledge and understanding of the dynamics of change.

1.3 DYNAMICS OF PLANNED CHANGE

We need to know a few aspects of planned change so that planning of change can be more effective.

Significant Change is Qualitative: To understand the dynamics of successful change it is important to understand what change is effective. A head of the department may become convinced that he should be more democratic in his department so he decides to hold meetings of his people more frequently. This is a change in frequency. It may contribute nothing to more democratic management unless the nature of his relationship with his staff is changed so that they actually contribute to the departmental decisions. It may be a quantitative rather than a qualitative change. Such a change in procedure may be a necessary step towards significant change but by itself it does not constitute the kind of change that must make a long term impact.

An inspector of schools may want to encourage teachers voluntarily to request help in their teaching. Realising that they are hesitant to admit their weaknesses to him, he may use a questionnaire through which they can anonymously suggest ways in which he can assist them. This is a change in technique only. The qualitative change the inspector wants, takes place when a teacher uses the new technique to ask for help, for the first time, with the sincere desire to improve his work.

Mechanical or procedural changes may make possible qualitative change but they do not constitute it nor do they necessarily assure that it will take place. *Qualitative change takes place when clients develop the desire to change,* go through personal introspection, study and experiment, and modify their behaviour in meaningful ways. Where the individual who goes through this conscious process is a part of an organised group, such as the staff of a department, his modified behaviour and that of his associates will interact in such a way as to bring about organic change in the nature of the programme of the organisation. Change programmes which do not fully recognise qualitative organic change as their goal often result in change in the name only or in the form only. This may be part of the explanation of the fact that during the past fifteen years literally thousands of Indian teachers have attended seminars, workshops and training courses on social studies, examinations, english teaching and many other topics, with little actual impact on their day-to-day work.

Unfortunately, much of the discussion of innovations and diffusion of innovations has not been adequately concerned with the actual effectiveness of results of the mechanical or procedural changes, many of which do not penetrate deeply and do not last.

In **distinguishing between surface change and qualitative change** the story is often told of a Pacific Island community which experienced large-scale contact with the American army during World War II. It is said that before the war it was an accepted practice for wives of the islanders always to follow their husbands when the two were walking through the village or the fields. Following the war it was observed that wives often preceded their husbands. Some observers readily concluded that contact with Americans had resulted in a fundamental change in cultural values that the wife no longer was considered to be an inferior being who followed behind her husband of higher social standing. Closer study of the change revealed, however, quite a different reason for the new procedure — the village, roads and the surrounding fields were still full of explosive mines left over from the military action! This change is procedure, obviously, did not result from nor represented a qualitative change in values as was first thought.

CASE

In one Teacher Training College, because of certain traditions and leadership of high quality, the faculty took very seriously their responsibility to carry out a full programme of extension work for the secondary schools. They did so realising that experience in assisting secondary teachers should lead to improvement in their own training of future teachers in the college. From time to time, the relationship between in-service projects for the secondary school personnel and the training college programme was discussed in staff meetings.

One of the newer faculty members was interested in trying a method of evaluation to find out the extent to which participation in extension programmes led to actual changes in the college programme or in teaching methods in the college. He had learned of the method at a workshop on evaluation and had subsequently studied reports of groups of teachers who had used it in the United Kingdom. The method required each faculty member to keep a diary, and periodic analysis and discussion of the recorded changes in teaching method or content, if any, in staff meetings. This staff member discussed this technique with two of his friends; they saw the advantages and seemed interested in trying it.

A few weeks later the extension programme was once again on the agenda at the staff meeting and the diary method of evaluation was suggested. In the discussion that followed, the two friends of the person suggesting the technique and one other spoke in favour of trying it; all others were either sceptical or opposed. Two of the older staff members reported that a similar impractical idea had been suggested before but never tried. Others thought it would take too much time. One staff member in particular expressed unwillingness to discuss his teaching methods openly in staff meetings; others seemed to agree on this point. All agreed that improvement in their teaching should be evaluated; the question was how to do it? The staff member who suggested the new method was discouraged with the discussion, but he volunteered to try it himself. The principal, who was interested in using the method as a way of encouraging the staff to talk openly about their experience and problems, asked if the faculty would be interested in having a committee to observe and evaluate the experience of the one innovating member. This was generally agreed to, although a few did not say anything. The principal appointed as chairman one of the two friends of the innovator, the third person who favoured the idea, and a senior staff member who opposed the idea and who was considered something of a spokesman for the older faculty members.

The committee met twice, with active discussion, including some critical questions and comments from the older member. At the third meeting all were surprised when another committee member presented his own diary for discussion. At the next staff meeting the work of the committee was on the agenda. This led to discussion of the quality of the extension programmes; the extension coordinator suggested several ways in which greater cooperation from the faculty would be helpful. One other faculty member volunteered to join the evaluation committee and to keep a diary for discussion. Several members who had opposed the new evaluation technique when it was first discussed repeated their opposition, but their comments stirred little reaction in the face of the actual experience of the committee which indicated how the technique could be helpful.

The work of the committee continued over the next several weeks with a considerable amount of informal discussion going on among small groups. At the next staff meeting two other faculty members came forth with a tentative plan for improving the work of the science and social studies clubs they had helped to establish in several schools. In the course of discussion of their plan the principal asked whether these two members would be interested in trying a similar kind of evaluation technique covering not only the success of their idea for improving the school clubs but also covering how the work with the clubs affected the methods papers they taught to prospective science and social studies teachers. They were hesitant, indicating that they had not thought much about evaluating their plan. The chairman of the evaluation committee invited them to meet with his committee to discuss the diary technique and this was agreed to. In due time these two members added the technique to the plan of the project to improve school clubs, and discussion of their experience was included in subsequent staff meetings.

In this way, from time to time the principal and others suggested ways in which new evaluation technique could be used, and the faculty gradually accepted this innovation. The teacher who suggested it in the first place ceased to be discouraged, and the principal reflected favourably on his early decision not to force the acceptance of the innovation nor to abandon the suggestion just because a majority initially opposed it.

What generalisation about change did the principal follow in his decision on how to handle his staff? How might the staff have reacted if the principal had imposed the new evaluation technique on everyone at once? What were some of the dynamic forces at work in this faculty which conditioned their reaction to the new idea?[1]

Direction of Planned Change: It goes without saying that each planned change programme has goals. Each programme is based on a logic, it has a basic purpose and rationale. It is usually part of a larger plan and it fits into the overall programme for the development on an organisation, a community, an aspect of the economy, a state or a nation. It is intended to help accomplish something thought by the planners to be necessary for a better life. In other words, planned change has a positive direction, if the planning has been well done, and therefore it is desirable.

In one sense it is better to say that planned change has a direction than to say that it has aims or goals. The former implies that change is a continuing process; the latter may imply that change is accomplished when goals are reached. The major theme of this unit is that change is a continuing characteristics of all societies and all cultures; planned change is not different in this respect. In other words, *change is a process, not an end objective.*

The so-called underdeveloped countries often think of their goal as being that of achieving economic and social living standards found in the more advanced countries. Towards this goal a tremendous amount of effort is put into a variety of development schemes. It is often forgotten, however, or not fully recognised, that the so-called advanced countries are currently going through more rapid change than the underdeveloped countries. Some of their economic goals of development have been achieved for most of their people and they are now concerned with problems of leisure unemployment caused by automation. Pollution caused by affluence or how to put back into life some of the meaning that may have been lost in the process of satisfying the basic economic needs. So planned change has a direction rather than a final set of goals. Perhaps it is helpful to think that long-range goals indicate the purpose of planning, that interim or intermediate aims provide the theme of individual development projects, that specific objectives provide the day-to-day focus of activity, and that all of these several levels of planning indicate the direction of planned change.

Direction and Means: The means used to bring about change, as well as the goals, aims and objectives, are important elements in change of dynamics which influence the quality and direction of change. Let us look at several examples. One of the long-range goals of Indian development is a mature democratic system of government. Towards this end many political and educational programmes exist to prepare the citizens to play their role in a democracy. If autocratic means of promoting these programmes and administering political and educational institutions, predominate, then these means detract from the intended achievement of democratic attitudes and skills among the citizens. To be more specific schools in a developing democracy share responsibility for training the youth to participate democratically in the operations of society. If the means of running the school contain few elements of democracy the students are not likely to leave the school with orientation towards or training for democratic behaviour. There is an even more tragic contradiction in the school with an apparently active student government which, on investigation, is found to be run in every detail by the headmaster and teachers. Democracy in form only adds to cynicism towards democracy; it adds little to the democratic direction of education. One of the authors visited a school recently which was well known for its student government. The government was patterned after the British parliamentary form. On short notice, the student parliament put on a show of parliamentary debate that was animated, heated and yet handled in good order. It made a good show for visitors. Several probing questions from the visitor revealed, however, that questions and answers were

memorised and the procedures clearly specified in detail, in advance by the teachers in charge. Furthermore, this student parliament never debated the real school issues.

They played no part in the running of the school. In every sense this student government was an artificial organisation. Such sham democratic forms are likely to contribute little to the development of democracy; they probably detract from this purpose.

Another long-range goal of Indian development universally agreed to by the development planners is to reduce the extent to which authoritarianism permeates the culture. One way of contributing to this goal is to build non-authoritarian methods into the development projects themselves. Involvement in planning is one such means. Another is to provide channels of communication between persons at lower levels and the administrators of projects such that the results of experience become a recognised contribution to the replanning of the project. Still another is to make sure that results from the improvement project provide early benefit to persons at the various levels in the hierarchy. Democratising human relations, giving credit where it is due, stimulating creative thinking at all levels, and using democratic group procedures in meetings, are other means for de-emphasising the value now placed on authority and authoritarian patterns of behaviour. The use of non-authoritarian means in development programmes may be the best way to reduce the automatic acceptance of authoritarianism as a cultural value.

In the case cited above, the principal of the training college wanted to increase discussion, and self-appraisal among his staff. He recognised that the suggestion of using staff diaries as a basis for self-evaluation could contribute towards achievement of this aim. He could have yielded to the all-too-common tendency to impose the new evaluation scheme on his faculty. He chose otherwise because he realised that such an autocratic means would not contribute to the desirable end; in fact, it probably would have made it even more difficult to increase free discussion and self-criticism.

Other examples of the relationship between ends and means can be found in in-service training programme for the teachers. If such training is given through lectures alone, with no opportunity for the teachers to practice the skills under supervision, little skill will be increased. Both of these unintended results become a part of the social dynamics affecting the success of other attempts to improve teaching, and the effect is not on the positive side. Still another example is found in workshops emphasising the recognition of the interests and needs of the students in teaching. In too many cases these workshops are organised without taking into account the real interests and needs of the participating teachers. This neglect colours the operations of the workshop and builds blocks and in other programmes intended to help the teachers grow. The attemps to teach the teachers to use group discussion in their classes through training courses consisting almost entirely of lectures are useless.

Contradictions between means and purposes may sometimes be unavoidable due to lack of time, shortage of facilities, and other reasons beyond the control of programme organisers, when this is true, the nature of the contradiction, the reasons for it, are discussed with the clients. Their sympathetic understanding of the inevitability of the contradiction will help to minimise the negative results, even though they come to realise more fully what is being lost through the use of inappropriate means. The promoters of change often become so enthusiastic about their answers to problems that they want to put them into effect immediately, and too often the means that seem to promise greater speed contradict long-range purposes. The only excuse in this case is impatience, and impatience is sometimes the enemy of progress.

Adoption Rates Vary: In planning change in an organisation, we are interested in change in individual members and employees. However, in most cases a person works as a member of a group — the member of a project team, employee of a department, the staff of a school, the faculty of a college or the inspectors in the district office. Furthermore, we know that for a change programme to be effective it must have an impact on more than one person on a staff; in fact, most innovations in management bring about qualitative change in the supervision only if they are seriously taken up by the supervisors as a group or by a majority of the persons to whom the innovation applies. Not only individuals change but also the group character is altered. For this reason it is important to understand how successful change tends to spread among the members of a group. Our discussion of this process is based on the fact that individuals differ in their tendency to initiate change, and in their rate of acceptance of innovations.

Systematic studies have been carried out by the rural sociologists of communities and groups of people among which successful change has taken place. They have found that, in retrospect, those people who eventually accepted a particular change tend to fall into five categories : innovators, early adopters, early majority, late majority, and laggards. The innovators are those who help to initiate or adopt the innovation very readily. They are imbued with a high degree of readiness and administrators or an associates, they put the new idea or practice into operation. The "innovators" make up the first 2.5%. These are followed by the "early majority", those who are highly motivated and who need only an example or mild persuasion to step forward; they constitute 13.5% of the total group. A third group, also the "early majority" represent the first part of the preponderant group who come along after some time, and after they have been given some help in understanding and preparing for the innovation. They constitute 34%. The "late majority", the large number who are slow to change but who do respond in time to the pressures of the new conformity, represent another 34% of the total. The last to adopt the change are called the "laggards", and they constitute 16%. Depending on the period of time over which the change in a group is studied, this last group may include some who never accept the innovation. The rate of acceptance among a group tends to follow the normal distribution curve.

This analysis of people who accept change should help the agent of change in planning his work. If he realises that people normally fall into these several categories he will not feel frustrated when all members of a group do not respond with the same speed. He will recognise this as the normal situation and try to capitalise on it. He may seek to identify the potential innovators and work them first. Realising that, a beginning has been made, the potential early adopters will join the innovators, both providing the example, testing and tryout, which may be highly desirable before the innovation is opted by the majority. Every group will have laggards and usually it is a waste of time to work with them during the early stages because so much effort is required to get results. If the laggards can be identified, may be the best the agent of change can do, is to take steps to neutralise their opposition.

A word needs to be said about the innovators. Special studies have been made of this group. As would be expected, they tend to be the more adventuresome members of a group. Also, they are usually less dependent on the respect of their immediate peers. They look more to the outside impersonal sources for their ideas rather than only to group standards. They tend to be young and less conditioned by tradition. Because they tend to be non-conformists they are sometimes viewed as deviants, or radicals who have poor judgments and who are willing to flirt with new ideas. In fact, these judgments are often true of the innovators to a significant degree and these characteristics often alienate them from the majority of the group. If the agent of change recognises the potential contribution to group change which the innovator can play he will do well to work towards an increase of communication between the innovator and the total group and to build respect and, possibly, acceptance for non-conformist behaviour.

Diffusion is often aided by the early adopters who share some of the characteristics of the innovators but who tend to be more predictable about how long it will take for a particular change to develop through the several stages or for diffusion to permeate a group. Some study of this aspect has been done which indicates that speed is conditioned by such factors as the complexity of the new practice, the amount of risk involved in accepting the innovation, the relationship between the innovation and deeply held traditional values, the degree of readiness for the change, the amount of skill to be learned to make use of the innovation, and the kind of promotion given to the new idea or practice. Innovations which are substitute for elements in the culture are more slowly accepted than are those which require only variation or addition to the present culture.

Another caution should be voiced over the tendency to dub a person as a chronic laggard or a predictable innovator in all situations. It is true that the behaviour of a person stems from his general personality and values and therefore an innovator will tend to behave consistently. The same may be said for a laggard. But to some extent a given person may be an innovator in respect of one situation or area of his life and a laggard in others. A political liberal may dress very conservatively, for instance. A person who eschews traditional religious beliefs may be very traditional in his food habits. A teacher may be an innovator in experimenting with new teaching techniques

but very hesitant to question in any way the traditional authority of the Headmaster. Or, an inspector may be ready to promote modern ideas about school administration and conservative on the language question. Human beings are complex and unpredictable. To foretell an individual's response to a new idea requires knowing him very well, and even then you may err. While it is wise for the promoters of change programmes to keep in mind the ways in which persons tend to differ in their readiness and speed of adopting new things, it is unwise not to remain open-minded as to the likely reaction of each individual.

Another caution stems from the fact that the studies of categories of adopters have resulted from the analysis of fairly large groups–whole communities or the employees of large organisations. The staff of a given school or the inspectors of a school district may be too small a group to contain representatives of all the categories. In respect of a given innovation the staff of a department may, for instance, have no innovators or early adopters. Such a department may have difficulty in carrying out improvement programmes. Among departments such a department may fall in the late majority or laggard category. On the other hand, a department may have few or no laggards because the head of the department has been selective in choosing employees over a period of years. Such a department may rank high among the departments. Because of the small size of the group or because factors have operated to give the group an unnatural composition, there is danger in generalising too readily about the overall make-up of a group. It is also true that studies of adopter groups have not been carried out extensively among teachers in India so that we do not know how they compare with the population in general or with other professional or vocational groups. There may be factors at work which cause the more conservative people to become teachers and hence teaching groups would tend to have fewer innovators and early adopters than some other gorups. Or the reverse may be true.

1.4 SEQUENTIAL PROCESS OF CHANGE

Change takes place through steps or phases. By this we mean that the process through which a given innovation becomes an accepted part of the personality and way of working of individuals, is usually evolutionary. Seldom does a new idea or practice become accepted in one step, small or large. Perhaps a better way of putting it is that people who accomplish successful change go through a number of sequential stages in reaching their goal. This latter way of putting the matter is important because it implies that people, not the innovation, go through the steps. This point is often lost sight of in large-scale development projects. Sometimes the planning is done by one group, usually a group of high-level administrators. Try-out or experimentation, if included at all, is turned over to the lower level administrators, and those who are expected to use the innovation may have experienced none of the developmental thinking involved. This is very likely to lead to uninformed, insensitive and indifferent implementation, if implementation takes place at all. The dangers of this way of handling the stages of development can be minimised by indirect involvement in planning and evaluation, and by good communications among all the people who will eventually be touched by the new practice. But the problem remains one to be kept in mind in the planning and steering of any development effort.

Several models of sequential steps or stages in change have been suggested. All these models envisage change as a continuous process involving several stages. The following eight stages are proposed here as framework of organisational change:

1. Initiation: Initiation is the stage of vocalisation of the need for change. Organisational change starts when someone takes the initiative of proposing that something has to be done at the level of the corporate management where the concern for some dimension of organisational functioning is shared and discussed. The idea may be mooted at the level of the corporate management, at times based on observations or recommendations by some other level of the organisation, and sometimes as a result of discussion at the level of the organisation, and sometimes as a result of discussion at the level of the corporate management. This usually leads to the hiring of a consultant from outside, or discussion with the appropriate set of people within the organisation.

2. Motivation : Motivation is the stage of the involvement of people in detailed thinking about the proposed change. At this stage both the corporate management and the expert who helps in the organisational change take necessary steps to involve a larger

section of the organisation in thinking about the various dimensions of the change process.

3. Diagnosis : Diagnosis is an attempt to search for the main cause of the symptoms encountered.

4. Information Collection : At this stage detailed information is collected on the dimension indicated by the diagnosis. Based on the diagnosis the necessary information is collected.

5. Deliberation : The deliberation stage is concerned with evaluating various alternatives generated for change.

6. Action Proposal : This is the stage of framing up an action proposal.

7. Implementation : Implementation is concerned with translating the proposal into action.

8. Stabilisation : Stabilisation is the stage of internalising change and making it a part of the organisation's normal life. The various stages in the process of organisational change may be useful to pay attention to the process in the beginning much more and this will help to pay less attention to the process as the organisational change proceeds further. Later much more attention can be given to the task.

It is necessary to understand the psychological processes behind each stage of change, and the behavioural outcomes or indicators. These are suggested in Figure 1.1.

Stage of adoption	Psychological (cover) process	Behavioural outcomes
1. Initiation	Arousal	Readiness : dissatisfaction with the present state
2. Motivation	Selectivity and stimulus perception	Seeing or hearing about innovation
3. Diagnosis	Orientation, and exploration	Gathering information and data
4. Information collection	Exploration	Collecting more relevant data
5. Deliberation	Cognitive reorganisation and reinforcement	Discussion and Planning
6. Proposal	Expectancy	Presenting one proposal with pay off and detailed planning acceptance by the group
7. Implementation	Acquiring new-learned drives	Extended use of the innovation
8. Stabilisation	Generalisation of the learned behaviour and inhibition of older modes of behaviour : consummatory response	Change of attitude and acceptance as a part of the total behavioural complex with secondary changes in other forms of behaviour: communication reinforcing adoption.

Figure 1.1 : Dynamics Sequential Processes of Change

As will be seen from the paradigm, the underlying psychological process at the initiation stage is arousal, resulting in readiness and characterised by dissatisfaction with the present state of affairs, more specifically with the practice being used currently. Readiness is the result of several maturational and environmental factors.

At the motivation stage, the overt behavioural characteristic is that the individual sees or hears about the innovation. The underlying psychological process is selectivity and stimulus perception, the stimulus being the practice the individual sees or hears about.

The diagnosis stage has an underlying process of orientation and exploration reflected in the behavioural characteristic of gathering more information about the practice.

At the deliberation stage, an important process takes place perceptual reorganisation. The relationships are shifting and the individual sees a number of patterns, as if he were looking at a kaleidoscope. These shifts in relationships are reflected in the behaviour of the individual who is weighing the pros and cons of adopting the practice and who meets people to check with them about his perceptions, concerns, ideas, etc.

At the stage of action proposal, the overt response is a tentative action plan in details, with its pay offs. This response is the result of expectancy of results.

At the stabilisation stage, characterised by change of attitude as a part of total

behaviour, there is generalisation of the learned behaviour and inhibition of older modes of behaviour.

1.5 THE PROCESS OF TRANSFORMATIONAL CHANGE

The process of change assumes qualitatively different dimensions in large and complex organisations. There are demands by the external environment and varying pressures from internal groups. In complex organisations, with rapid change in the environments, the process of change is one of transition from the present to the future. In such a case vision becomes an important process of collectively creating models of the future, and helps most people to move towards these models. Changes are complex, involving the structure, systems, processes, and new norms and behaviour. Continuous, monitoring is needed. Change has to continuously balance innovation with stability.

When an organisation undertakes to respond to a new challenge, to complex and changing environments, it needs to re-examine and re-define its mission, create a vision for the members of the organisation, and develop broad strategies of mobilising energies of most members of the organisation to move into the future. Such a change will be called transformational change. Beckhard (1989) suggests four types of changes as transformational : a change in what drives the organisation, a fundamental change in the relationship between and among organisational parts, a major change in the ways of doing work, and a basic change in means, values or reward systems.

Beckhard suggests 10 pre-requisites for success of (Table 1.1) and 8 steps in the process of transformation change (Table 1.2). The role of the top executives is critical in transformational change.

Table 1.1 : Pre-requisities of Success of Transformational Change

1.	Commitment of top leaders
2.	Written description of the changed organisation
3.	Conditions that preclude maintenance of the status quo
4.	Likelihood of a critical mass of support
5.	A medium to long-term perspective
6.	Awareness of resistance and the need to honour it
7.	Awareness of the need for education
8.	The conviction that the change must be true
9.	Willingness to use resources
10.	Commitment to maintaining the flow of information.

Table 1.2: Steps in Transformational Change

1.	Designing the future state
2.	Diagnosing the present state
3.	Extrapolating what is required to go from present state to the transitional state
4.	Analysing the work that occurred during the transitional state
5.	Defining the system that is affecting the problem
6.	Analysing each of the members of the critical mass with regard to readiness and capacity
7.	Identifying the power relationships and resources necessary to ensure the perpetuations of change
8.	Setting up an organisation (or structure or system) to manage the transformation.

1.6 SUMMARY

In this unit, the Process of change in organisations and the factors that are related to it are explained. The stages which are involved in bringing about the Organisational Change, the Psychological process and behavioural outcomes of it are discussed. Finally, Transformational change and the Pre-requisites and the steps involved in it are described.

1.7 SELF-ASSESSMENT TEST/QUESTIONS

1) Discuss the Process of Change in Organisations and the factors that are important for it.
2) Discuss, with supporting practical illustratives, some of the changes confronting the work organisations today. What is the need for planned organisational change?
3) Explain the stages which are involved in bringing about organisational change and the Psychological Process and behavioural outcomes of it.
4) Explain the Process of transformational change and the Pre-requisites and the steps involved in it.

1.8 FURTHER READINGS

Planning of Change edited by W.G. Bennis, K. Benne and R. Chin (Holt Rinehart, first published 1961, and several revised editions) is a classic for the dynamics of change.

The Process of Planned Change in Education by W.H. Griffin and U. Pareek (Somaiya, 1970) has several chapters on dynamics and contains several "critical incidents" from Indian education (one of which has been borrowed in this chapter). The book has an extensive annotated bibliography on planned change.

R. Beckhard and R. Harris's *Organisational Transaction: Managing Complex Change* (Addison-Wesley, 1977) is an excellent source on understanding the processes of managing complex changes. Beckhard has discussed the dynamics of transformation change in his paper "A model for the executive management of transformational change" in the 1989 Annual (University Associates, 1989, pp. 255-266). Chapter 19 of Managing Organisational Change edited by S. Chattopadhyay and U. Pareek (Rawat, 1982) discusses the dynamics of management of change in large decentralising organisations.

Unit 14, MS-10 : Organisational Design, Development and change – change Agents: Skills, Block 5, IGNOU, New Delhi-110 068.

Unit 11, Managing Change, Block 3, MS-1 : Management Functions and Behaviour, IGNOU, New Delhi-110 068.

UNIT 2 KEY ROLES IN ORGANISATIONAL CHANGE

Objectives

After going through the unit you should be able to:

- understand change as a collaborative effort by several individuals and teams in an organisation
- appreciate the function of different levels of individuals and teams
- have ideas on improving effectiveness of the key roles.

Structure

2.1 INTRODUCTION

In order to speed up organisational change and help it to be implemented smoothly, several roles play their parts. These include both outside and internal roles. Six main roles, relevant for organisational change are discussed here. They are:
1) Corporate Management 2) Consultants 3) Internal Resource Persons 4) Implementation Team 5) Chief Implementor 6) Task Forces. Organisational change is a collaborative effort, in which several roles and individuals are involved. Various roles performs different functions. They make their specific contribution to the designing and implementation of organisational change. Various functions of the key roles are discussed below.

2.2 CORPORATE MANAGEMENT

Corporate management includes the chief executive and several top executives who are involved in policy decisions.

The following are the main functions of corporate management in relation to organisational change.

Legitimising function: Corporate management legitimises the change being planned, recommended and implemented. The more actively the corporate management promotes the change the more legitimate it becomes and the quicker it is likely to be accepted. If the corporate management does not clearly indicate its interest and support for the change, the change is likely to be slowed down. The concern on the part of the corporate management and the visibility of such concern are very important for organisational change.

Energising function : Organisational change is a very difficult process. It may be slowed down at several stages. In many cases the enthusiasm may go down. In other cases some difficulties arising in the natural course may discourage people who may find it difficult to deal with such problems and may like to take the course of least resistance by reverting to the older methods or ways of management. The role of the corporate management at such critical points is crucial. Corporate management energises the slackening pace and interest by taking up problems for discussion and by showing concern.

Gate-Keeping function : Corporate management helps in establishing the relationship between the consultants and various groups in the organisation. This is usually done by calling various meetings in which the purpose is explained and then the consultants get an entry into the organisation.

2.3 THE CONSULTANT(S)

A consultant or a team of consultants usually comes from out-side but they can also be insiders. The consultant's role is that of experts, who have both knowledge and experience in the field in which change is proposed. There are some advantages in having outside consultants for some time. The internal persons, even though they may have the necessary expertise, are likely to be inhabited to have their own perception of the problem. Also, they may be restrained by the internal dynamics. This may make the internal people less effective. Therefore, even organisations with a very high quality of expertise in a particular field invite outside consultants for sometimes. The following functions are performed by the consultant(s):

Implanting function: The consultant does not supplant the internal expertise available but supplements such expertise. It is necessary that the consultant carries along with him the various people at different states of the process of organisational change. Then the consultant is able to make change a part of the organisation.

Transcending function: One great advantage of the consultant is that he is not bound by the constraints of the organisation. He takes an overall view. He transcends both the ecology of the organisation, i.e., the various units and department, to be able to take an overall view of the organisation, and also transcends the time and people into the future of the organisation. This transcending function makes the role of the consultant more creative. He thinks about the total organisation, not only as it is now, but as it is likely to be in the future. This helps to give a wider perspective to organisational understanding.

Alternatives generating function: The consultant is not as much for working out a specific solution as for helping the organisation develop the capability of evolving solutions. The consultant does this by generating several alternatives. He also develops the ability to design interventions and ways of solving problems.

Process facilities function: The consultant is primarily a process facilitator. He has to be perceptive of the reality in the organisation. There is nothing like an ideal or a best one. The consultant may see the repercussions of the solution, and may like to make the necessary modifications to suit the situation. The consultant also helps in developing various roles as the change programme proceeds and the change is being implemented. The process facilitating role helps the consultant to move towards self-liquidation. He helps the relevant people in the organisation to take over the role as the programme is being implemented.

Shock absorbing function: During the planning of change and making necessary recommendations, much unpleasant feedback may be required to be given to the organisation. It is difficult for internal people to do so. They cannot take the risk necessary to make some things explicit. The consultant can take such risk. He can effort to absorb the shock created by the change and can help the system to confront reality and discuss certain processes which may be quite unpleasant but without which it may not be possible to move towards the solution.

Resource sharing function: The consultant brings with his background the latest knowledge and a wide variety of experience, which he uses in making organisational change effective. He collects such resources and shares them with the internal people so that the knowledge can be utilised for making the change effective.

Resource building function: The consultant helps in generating resources within the organisation by building the necessary expertise as he works with the organisation. This does not mean that he makes people dependent on him. By sharing his knowledge and experience and by continuously discussing matters with the concerned people he helps in building internal resources.

Self-liquidating function: By building internal expertise and resource he is working towards withdrawal from the organisation and liquidating his role and indispensability.

In many cases the consultant enjoys the influencing function so much that he may continue to play this role in the organisation. This is bad both for the organisation and the consultant. The consultant deliberately refrains from using undue influence on internal executive decisions. And as the work of the organisational change is over he takes definite and deliberate steps to withdraw and wean the organisation from depending on him. The self-liquidating role is very difficult. Once a consultant is successful and effective, he may have the temptation to continue to influence the organisational decisions. If the consultant is not perceptive enough, and in his eagerness to be helpful he makes the organisation dependent on him, and enjoys this dependency, the results may be bad for the organisation as well as for the consultant.

The organisation should have the capacity to assimilate the influence and expertise of the outside consultant and necessary preparation should be made to make use of the consultant in the organisation. It is important that continuous communication is maintained by the consultant at all stages of the change process.

2.4 INTERNAL RESOURCE PERSONS

Even if the expert is from the outside, some people from the organisation work with him. These people represent the same expertise as the consultant has, or, at least, they propose to develop that expertise. In many organisations, these persons are called Internal Resource Persons (IRP) or Facilitators. This role may already exist in an organisation, or this may have to be created. For example, if the management information system is to be introduced, people with enough technical experience and expertise may be involved, and, if such people do not exist in the organisation, they may have to be recruited. In several organisations HRD facilitator role is being developed as a part of implementation of the HRD system.

The IRP's help in implementing the policies and details of the organisational change as worked out and accepted, and in stabilising these in the organisation. It is only through the Internal Resource Persons that the change becomes a part of the organisation. Much more attention needs to be given to the role of the IRP. Several relevant questions in this regard are : Should the IRP be an independent individual or group as should members from different groups constitute a team to function as the IRP? How to legitimise the IRP role in the system? How much time is required for the IRP to develop the expertise? and so on. In many cases jealousy develops when the IRPs become successful and effective. Their success produce some feeling of threat in other members of the organisation, leading to various prejudices and jealousies. This issue needs to be discussed. Enough attention should be paid to the development of the IRP. Without such resources, the organisation may not be able to stabilise the changes. Several important aspects of the development of the IRP deserve attention, these are mentioned below:

Support of the community

The role of the IRP has to be legitimised in the organisation. It is necessary for various important roles in the organisation to sit together and define the role of the IRP. The legitimisation process can be accelerated by discussing the role openly in the system rather than only appointing persons in this role by the head of the organisation. Role Analysis Technique can be used to clarify and work out the role in details. It is also useful for various members in the organisation to project their expectations from such a role. The person to be selected for such a role should have some qualities of functioning as a change agent. There should be enough time for the preparation of the person for this role.

Linkage with consultants

The persons who grow as IRP should have linkage with several outside consultants. The initial linkage should be with the external consultant associated with the change from the beginning. The external consultant can help the IRPs through several programmes as well as by giving them graduated readings. The linkage can be established by the IRPs becoming members of some professional bodies like the Indian Society for Applied Behavioural Science, and the National HRD Network.

Stabilisation of the role

It is necessary that the role is stabilised in the system through sharing of successes and failures of this role. The review of the IRPs work can be done from time to time by the organisation.

Professional development

It is necessary to attend to the continues professional development of the internal OD facilitators. This can be achieved by helping the IRP attend some advanced programmes, become a member of the professional organisations and work with other organisations in a helping role.

2.5 IMPLEMENTATION TEAM

The implementation team consists of a group of people from various departments or areas of the organisation who are given the responsibility for monitoring, deliberating and making necessary recommendations from time to time. Such a team ensures proper motivation of people throughout the organisation, and takes necessary steps for effective implementation. This has been discussed at several places in this block. The following are the main functions of the implementation team.

Collaboration building function

The implementation team helps to build collaboration amongst various sections and departments of the organisation for the change programme. It should therefore be a real team, every member having respect for the other, and collectively thinking and evolving a consensus in spite of differences of views. An effective team is one which has representation of various expertise and diverse experiences relevant for the change. And yet people are prepared to listen to each other and take collective decisions which are not necessarily unanimous or by majority, although enough consensus develops.

Gate-keeping function

The implementation team helps to keep the communication between those who are planning and implementing change and the rest of the organisation open, This is done by developing liaison between the various departments and sections of the organisation. Since the team has representatives from such departments and sections, it is able to carry various matters to the departments and raise various questions there it similarly, carries back some feedback from the departments for discussion by the implementation team.

Reviewing function

The implementation team reviews from time to time the progress of the change programme, and makes necessary adjustments in the programme so that the implementation becomes effective. The reviewing function is both to take stock as well as to make necessary modification so that implementation is not hampered.

Policy formulating function

The implementation team, in the light of the review, makes necessary recommendations and formulates policies to ensure that the programme of change is both effective and smooth. This helps in making the change programme more realistic.

2.6 CHIEF IMPLEMENTOR

Organisational change has to be implemented and this need not be done by those who are working in a particular area. In fact it is better to make implementation independent of the functional responsibility in an organisation. The chief implementor is usually the chairman of the implementation team. But his responsibility is not confined only to discussing the problems and making recommendations. He takes the responsibility of monitoring and ensuring proper implementation. The main difference between the role of the chief implementor and the implementation team is that a group can never take on executive responsibility. This can be taken only by an individual, and the group can help him to perform his function more effectively in several ways. The following are the main functions of this role.

Monitoring function

The chief implementor monitors the programme of change. He has to be a tough person, a go-getter so that he relentlessly keeps the programme on the schedule, he ensures that the programme design that has been prepared and the time schedule that has been laid down are followed.

Diagnostic function

From time to time the chief implementor looks at the programme to find out what is preventing the smooth functioning and progress as planned. This is the diagnostic function of the chief implementor, he collects the necessary information through specially designed questionnaires or through interviews and uses these to discuss with the implementation team to be able to take necessary action for either modifying the programme or for providing additional input for the proper progress of the programme.

Executive function

The chief implementor has the responsibility of implementing the programme. This is an executive function, it involves not only making recommendations but ensuring that action is taken on whatever has been decided. He mobilises the necessary resources and works on the implementation of the programme.

The chief implementor should be systematic in his approach, he should have great concern for systematic planning and going into the details of the various steps planned. At the same time he should be flexible. If the chief implementor has his own strong views and ideas and finds it difficult to accept other's points of view he would not make a good implementor. In one organisation, an otherwise very effective implementor developed his own prejudices; and this resulted in unintended delay in the implementation of the change.

The chief implementor needs to be creative and imaginative. He comes across several problems and has to find solutions to them. He should search various ways of dealing with the problems sometimes even unconventional ways. He should also be resourceful, and should have an eye for the resources available in the organisation.

The chief implementor should have high acceptance in the system. His role requires a high level or rapport with various persons in the organisations, so that he can find out their problems, and people feel free to talk to him. He should have high respect in the system and should be known for his qualities for implementation, and for his concern for the organisation and for the people.

2.7 TASK FORCES

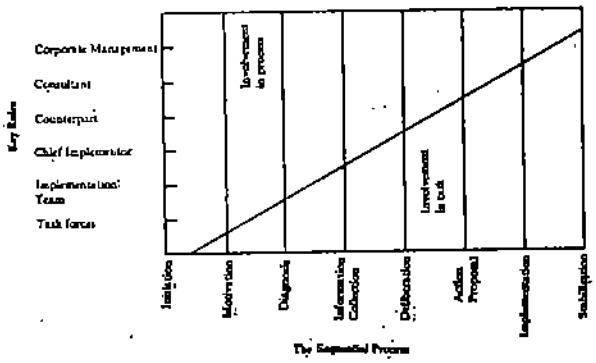
The task forces are set up for specific purposes in order to prepare material, collect information, generate ideas, and take specific responsibility which is time bound and which is completed very fast. There may be many task forces, which get dissolved as soon as a particular task is over. The task forces help in making use of the various kinds of expertise and skills available in the organisation.

The six roles suggested above are involved both in the process and the task. However, their emphases differ. For example, the corporate management and the consultant are primarily contributing to the process. Their major function is to facilitate the process so that the necessary movement towards organisational change is possible. The internal resource persons also contribute to the process, although their preoccupation with the task increase. The most concern for and involvement in the task is by the task forces and implementation team. The chief implementor of the organisational change is certainly involved in the achievement of the task, he is also involved in the smoothening of the process.

Although, every role is concerned with the process as well as with the task, the difference may lie in terms of the emphasis. Some roles are primarily involved in the process while others are in the task, it would, for example, be dysfunctional if the chief executive or the corporate management are concerned directly with the task. Similarly, the focus of the outside consultant may be on developing the necessary understanding through diagnosis and preparation of the recommendations. But the involvement of the

outside consultant in implementation of the task may not be useful, it does not mean that the corporate management or the consultants are indifferent to the task or implementation of the recommendations. They are not directly involved in action, nor do they take the major responsibility for implementation; they provide the necessary climate and support. Figure 2.1 shows this.

Figure 2.1 : Key Roles in Sequential Process of Organizational Change



The figure also indicates the relative involvement in the process or task, that is likely to make a role effective at different stages of the change process (see unit 1). At the initial phases involvement required in the process is greater than that in the subsequent phases when gradually more involvement in the task will be possible. When the change process is being started, all roles concerned with it should pay more attention to the process and if it is properly done, the task performance becomes easier. Towards the end all roles can pay attention to the task. Moreover, the exhibit also indicates that, even towards the end the top management has to be concerned with the process though the intensity and the time spent by them will be less. As a matter of fact the involvement of the top management will be predominantly on the process only whereas that of the task force would need to pay attention mainly to the emergent tasks. The relative focus of the different roles in orienting themselves in this proportion of the process-task continuum will be useful.

2.8 SUMMARY

In this unit the key roles involved in Organisational Change are explained. How the Internal resource persons help consultants in bringing about change is described. The main functions of the implementation team and the role of the chief implementors are explained.

2.9 SELF-ASSESSMENT TEST/QUESTIONS

1) Explain the key roles in organisational change.
2) How do the Internal Resource Persons help consultants in bringing about change?
3) Explain the main functions of the implementation team.
4) Explain the role of Chief-Implementor.

2.10 FURTHER READINGS

Most references (suggested readings) cited at the end of unit 1 contain material on the various roles in organisational change. However, chapter 9 in *Managing Organisational Change* edited by Somnath Chattopadhyay and Udai Pareek (Oxford & IBH, 1982), from which material has been heavily borrowed in this unit, discuss the roles in details, chapter 12 discussed some issues in the role of the chief executives.

Chapter 23 of U. Pareek's *Organisational Behaviour Processes* (Rawat, 1988) and Chapter 11 of Chattopadhyay and Pareek's *Managing Organisational Change* discuss how internal resource persons can be effective and can be developed.

UNIT 3 CULTURE AND CHANGE

Objectives

After completing the unit you should be able to.

- understand the importance of societal culture for management of change
- appreciate some positive aspects of Indian culture''
- understand how organisational change can imflemene culture.

Structure

3.1 INTRODUCTION

Societal culture, and then Organisational culture are important contextual factors for introduction and implementation of change. Culture can be defined as cumulative preferences of some states of life over others (values), response predispositions towards several significant issues and phenomena (attitudes), organised ways of filling time in relation to certain affairs (rituals), and ways of promoting the desired behaviour and preventing the undesired ones (sanctions), understanding of and respect for a culture is important for those who are involved in planning and management of change. It is true that planned change or development is impossible without accompanying changes in the larger contexts, including cultural values. For example, it is often said that the examination system controls education so tightly that little improvement is possible until the examinations are changed. This is actually unfair; the fact of the matter is that the values of the educated classes determine the educational programme, including the examination system, and neither will change fundamentally until cultural values are altered. The tragedy is that no one seems to be working on this basic problem.

3.2 SIGNIFICANCE OF CULTURE

The possible implication that all current Indian values are wrong and should be changed is not intended. Certainly there are values currently operative which should be preserved, which will continue to serve the needs of individuals and of society. The impatient reformer may want to change all society overnight. He may see only the negative in the traditional ways and feel that the perpetuation of the present way of life serves no purpose. There is little he can do to realise his desire, for social change is by its nature very slow. It can only be made less slow. Such a pessimistic view of the current culture can work against his best efforts, for it may cause him to overlook ways in which the present cultural system serves a constructive purpose during a period of change, and to ingore customs and values, which can definitely aid the introduction of innovations.

In the first place, a reasonable degree of stability is required as a setting for planned change. Organised programmes for development cannot function amid extreme social turmoil or political instability. Systematic planning of projects requires predictable patterns activity and routine organisations through which to work, faulty as they may be. There must be an on-going, structure way of life within which to initiate change. Responsibilities of various individuals must be known; the methods of decision-making must be subject to analysis; the multiplicity of factors which give a society its cultural character must be amendable to consistent identification. These factors make it possible

for the planner and agent of change to do their work with some assurance that their plans and procedures will be dependable. In the absense of the organised character which the traditional practices and values give a society, a planned approach to change would be very difficult.

In the second place, the continuity of the ways of living provided by tradition gives a needed psychological security to individuals caught up in changing times. Human beings need something dependable and familiar on which to lean while wrestling with new concepts and practices. They need to maintain certain feeling of integrity, of position, of worthiness, of self-respect and dignity. Where the threat to the individual's way of life is too great, he tends to develop traits of insecurity — aggression, defensiveness, retaliation, and over-justification for the present situation and his personal behaviour; or he may become a misfit who is lost in his own culture.

In the third place, traditional institutions, individual practices and values often serve to facilitate change. For instance, the psychological and material security provided to young people by the joint family system has often needed support for young people who want to venture out for study abroad, to set up an independent business or to move to the city to take up professional work. This assumes, of course, that the new endeavour of the young person does not force a complete break with his family. Continuing family ties also make it possible for such venture some young people to influence other members of the family.

The young innovator periodically visits his family and reports on his experience. He may encourage brothers or sisters to make a break with the family tradition. Thus, the extended family can become a multiplier of change.

Or, traditionally established leadership can serve to facilitate change. All societies have ways of identifying certain persons as informal leaders, persons to whom groups or communities look for guidance, to set the pattern, to say "yes", or "no" to new ideas. The existence of such patterns of leadership often makes it possible for a new idea or practice to get a hearing, to be given a try-out, assuming that the leader can be convinced of the merit of the innovation or is willing to experiment with it. Without the role of traditional leadership it would be necessary to convince each and every individual separately that the innovation was worth trying.

The custom of *annadan*, and the value of helping underlying it, provided a ready-made vehicle for the collection of food grains and money for the midday lunch programme in schools in Tamil Nadu. Similarly, in some Muslim countries, the Islamic duty to give alms (*zakat*) has been turned into organised financial support for social service programmes.

And finally, it must be recognised that traditional culture may possess qualities which should be and will be preserved. What these qualities are will vary from society to society. These changes taking place in related aspects of the culture, or dead traditional values may need to be revived and revitalised. In short, traditional values, customs and institutions, while subject to necessary change, provide for order and predictability without which the planned change would be impossible; they give desired psychological security to persons threatened by change, and they provide the vehicle for change even while they themselves are undergoing alternation.

Traditional values, and their associated institutions and practices, are perpetuated because they have functional worth to the people of a society. It follows that change must prove its worth to the people if it is to become an accepted part of life. In other words, the feature of a culture are what the majority of people, or large groups within the whole, have accepted as meaningful for their lives. It follows, therefore, that changes in the culture can be brought about only to the extent the people initiate or accept the change and make it a part of their way of life; lasting change must be meaningful and rewarding.

Motivation for change may come from sources; the emerging of new problems which urgently need solution, or development of a new consciousness of old problems; contact with other ways of life; informational and educational programmes designed by agents of change to promote particular projects; the recommendations of respected leaders and scholars; innovations already accepted which encourage or make necessary additional change; demonstration of new devices, tools or ways of working which seem to be an improvement on those currently in use; major changes in the environment such

as opening of a new canal and pressure from government through legislation or administrative regulations which enforce new requirements or procedures, or promote new programmes. Whatever the motivation for change significant and lasting change will result only when the new idea, method or practice is accepted by the people as a meaningful addition or substitution. The culture cannot be changed by decisions at the top levels of government alone it cannot be legislated, it cannot be forced. The Government action may be one of the influences on the acceptance of innovations, but it does not constitute change in and of itself. Involvement in and acceptance of change must have a broad base in the population.

Furthermore, acceptance of a new idea depends on its functional utility in a variety of senses. People cling to traditional ways because they provide emotional satisfaction as well as meet practical needs – because they lend integrity to personality, provide for acceptance and identification for the individual and a feeling of psychological safety. New ideas may be rejected if they threaten the psychological functional cultural factors even though they are clearly preferable for practical reasons. For instance, good teachers in India are identified and rewarded by society in terms of the percentage of their students who pass the external examination. They hesitate to accept new methods and purposes of teaching which, even though the validity of the new methods and purposes are recognised, pose a threat to the results which afford the teachers emotional and psychological satisfaction.

Also the old way of doing something may be valued not so much for its obvious purpose but because it serves a number of secondary purposes. The new way may appear to serve the obvious function more adequately but it may not contribute at all to the other purposes felt to be important; as a result the new idea is rejected. For instance, villagers in several countries have hesitated to use piped water systems, not because the new system did not provide a more adequate and more healthy water supply, but because the open well provided a social function for the wives and daughters who carried the water. The new system did not serve this secondary purpose and hence was not accepted. In other case a Middle East government was offered assistance from a European country to build a grain silo with an accompanying bakery to make a loaf type of bread, which may have been healthier in some ways. Their response was slow, partly because its taste was different, but also because the loaf bread could not be folded and used as a spoon as was the custom with the flat nan.

The following case from the field of village development illustrates the point.

CASE

A scientist developed a gas plant for cooking in the village. It reduces the drudgery connected with the usual *chula,* and it is fairly inexpensive to make. It uses cow dung to produce a gas which burns for cooking or for lighting the room. In the process the cowdung is "digested" into a form that is odourless, repellent to flies, and increased in value as a fertiliser. This very useful innovation seems like the answer to a prayer for the Indian villages.

This gas plant was introduced into a block of villages by installing it free in the homes of a number of people who volunteered to try it. It was announced that other people who saw the plant operate and wanted one for their own homes could buy them at a subsidised price. Only a few did so, and after several years the innovation had spread to a very small number of additional homes. Some of the families who had accepted the gas plant free on a trial basis had discontinued using it. The block leaders who had introduced this new, promising device were baffled.

It was decided that a team of social scientists would make a study to find out why the gas plants were not popular. They interviewed those who continued to use the plant, those who had discontinued using it, and those who had not attempted to make the change. They found that the new device required an alteration of the usual pattern of cooking which the villagers could not easily make. The housewife in these villages not only tends to do the cooking and the keeping of the house; she also works in the fields. Normally, before going to the field in the morning, she would light fires in several *chulas:* one for heating milk, one for cooking dal, one for cooking fodder for the cows, one for tea water, and may be one for bathing water. While she was working in the field the slowburning *chulas* were doing their work. When she and her family came in from the field work it was an easy task to

finish preparing the meal, by making rotis, feeding the cows, and bathing. The milk was ready to be put away for making curds or ghee. The new gas plant did not fit into this schedule as it had to be lit and used immediately; it could not be left alone for a long period of time. Also, while the cost of one unit was reasonable for a villager, to buy several to serve the various functions was beyond his means. And finally, the amount of cowdung required by several gas plants exceeded the normal supply.

In the case given above, a good idea was not accepted because it was not truly functional in the situation in which it was to be used. It did not serve all the purposes which the customer demanded of it. So the gas plant in spite of its obvious advantages was rejected in favour of the time-worn *chula*. The agent of change must recognise that cultural patterns are both preserved and changed by the people in terms of what satisfies their own feelings of need. In the long run, changes to be brought about in the Indian way of living will be decided by the people generally; they will choose from among the many alternatives what they consider to be most worthwhile.

Change should be viewed more as development from within the tradition than as a "break with the past"; careful planning for the change, therefore, requires thorough analysis and understanding both of the traditional culture and of the proposed innovations and of predictable interaction between the two. The following case is an illustration of what can happen if this aspect is neglected.

CASE

A few years ago, special officers of the Department of Public Instruction were given the task of establishing schools in the tribal areas of a state. The government had been feeling guilty over the neglect of the tribal areas. It was decided they should have schools. They should not only have schools, they should have schools identical to all other government schools, with the same curriculum, the same textbooks, the same schedule, the same kind of building, the same programme of activities, and the same student uniform. The tribal areas were to have the best.

It was recognised that some of the tribes might resist the establishment of government schools in their area. They had a reputation for resisting all government programmes intended for their benefit. Of course, they would change their minds once the schools were established. So the schools were to be established with full government backing. The Public Works Department moved into the area and put up the schools. The teachers were assigned for each school. The schools were inaugurated in many places by the Governor, or some other high government official served to lend authority and dignity to the occasion. The police were helpful in enforcing attendance. All the backing was given to the Tribal Education Officers to ensure success. They did what they could to explain the school to the tribal people and encourage their cooperation.

One Tribal Education Officer had misgivings about the project. He was trained in sociology and was sincerely interested in the life of the tribal people. He was hesitant about forcing a school on them. Nevertheless, he cooperated with the plan of the Department. The people of one particular tribe in his area were unusually hesitant about sending their children to the new school. He spent quite some time with the leaders of the tribe seeking their cooperation. They did not say much but it was clear they were not convinced. Howsoever, the number of students gradually increased. Some of the leaders came to the school and observed from a distance. They made a few suggestions to the Tribal Education officer for changes in the school schedule, and particularly for exemption providing the required school uniform. The Tribal Education Officer could make no decision in the matters himself but he agreed to seek permission from the Department for such variations. Answers to this requests were slow in coming, and negative. The plan had been developed at the state level, it could not be changed at the local level.

One day, on his visit to this particular tribe, the Education Officer found the school burn to the ground. He was at first very angry, and apprehensive that he would be held responsible. He was also baffled as to who had done it, and why. He made inquiries but learnt nothing. The teachers could not help him. Then he began to wonder. He decided to investigate the situation more deeply. With his sociologial training to guide him, he decided to make an indirect approach. He

decided to start with the people with whom he had already established some rapport. He asked about the tribal customs, about methods of choosing leaders, about how the children were taught different skills, what they were taught in their homes about tribal affairs In time he learnt very much, and he came to know why the school had been burnt down. This tribe had a very well developed system of educating their children in the ways of the tribe. It was complete with organised study, special dress, ceremonies at different stages, and educational games. This system was very dear to them, it was very old, and very jealously guarded. They found they could not find time to continue their system when the children had to attend the new government school. They resented the school uniform which was not at all what they thought children should wear to the school. Furthermore, what was taught did not in any way educate the children to be good tribal citizens. The school was incomprehensible to them, and it was a challenge to their way of life. Burning down the school building was their only alternative.

The case given above speaks for itself. In time, the government policy towards tribal education was modified, but not until considerable damage was done. It would appear that the attempt to establish typical government schools in tribal areas is a clear case of repeated the error the British committed of not understanding and treating Indian traditions with respect.

Mechanisms and procedures for introducing, accepting and assimilating change are present in every culture; they vary in sophistication among cultures with resulting variations in speed and quality of changes. Variations in rapidity and kind of change also occur from one historical period to another in the same culture. The task of the promotor change is to identify the change mechanisms and procedures that have served the culture during its periods of most rapid progress and see whether or not they might be stimulated or revived to serve the development needs of today. It may also be necessary to invent new procedures and mechanisms where those from the past are judged to be inappropriate, or where there are formidable obstacles to reviving them.

A good example of such procedures for change is found in the traditional Islam. Change and growth were provided for through the doctrines of *ijma* (consensus of the educated leaders of each community), analogical deduction from the principles of the *Koran* and *Hadith, zand ijtihad* (individual and independent interpretation). Application of these doctrines led to the creation of procedures throughout the spreading Islamic Empire for growth and adaptation to varying conditions and problems. These procedures were responsible in part for the maintenance of vitality and validity in the Muslim way of life over a wide section of the world and for its growth as the leading civilisation of the time. Starting in the eleventh century, however, orthodoxy began to set in, *Ijtihad* became more and more limited until the exercise of individual interpretation was entirely prohibited. This marked the decline of Islamic civilisation which has not fully recovered even today. In recent years some Middle Eastern countries have attempted to revive these creative doctrines by giving them appropriate modern form, with limited success.

The Hindu culture has also had built-in mechanisms and procedures conducive to innovation and change. For instance, Hindu pundits had the authority to reinterpret scriptures in the light of new events. This made it possible to depart from the traditional ways without being ostracised. Swami Dayanand Saraswati used this provision in establishing the Arya Samaj movement. He said he was not forsaking Hinduism, he was only reinterpreting it. Many other splinter groups were started this way, with resulting alterations in their way of life. Among the same line, any preacher of a new doctrine, if he was convincing and commanded a following, was accepted for official listing among the incarnations (*avatars*) of God. The Buddha was so accepted; even though the way of life he preached was a major reformation of orthodox Hinduism as then practiced. The allowance of *apardharna,* the giving up of traditional requirements, during a period of crisis in the life of a group or of an individual, made possible group and individual departures from orthodoxy. Another device that provided a loophole was the doctrine that anything done in the presence of God was acceptable. In Puri; for instance, the practice of the high caste Hindus eating with the untouchables has been going on for generations, but it is done in the presence of the proper god. Even today at Tirupathi marriages are solemnised during periods when they are normally banned, but such marriages are performed in the temple.

These and other devices have made it possible for the Hindu culture to change and grow, to accommodate itself to changing forces and tendencies of the people. Some of these practices continue today; whether or not they are appropriate mechanisms of change in terms of India's development plans is a difficult question to answer. They were effect in a setting where all matters – social, economic, political, personal, were a part of religion. Can they be encouraged by a government committed to separation of religion from politics? Yes, if more recognition is given to voluntary, non-official agencies of cultural change. Certainly Mahatma Gandhi made use of them in influencing the masses to follow his revolutionary path.

3.3 A FRAMEWORK TO UNDERSTAND CULTURE

Culture is reflected in various forms of the external life of a society or an organisation, as well as in the values and beliefs held by its members. The conceptual framework of values of Kluckhohn and Strodbeck (1961) has been quite frequently used in understanding cultures. They have proposed five main orientations based on the meaning of human existence, human labour and endeavour, relationship of man and nature, time-orientation and relationship of man with fellow beings. These dimensions have been used to propose a paradigm. Western (industrialised) culture being at one end with a mastery-orientation to nature, active and optimistic view of man, society built on competitive, relationship, and future orientation. At the other end are the traditional culture (non-industrial societies) with opposite orientations. Industrialising societies may be located on this continuum. Another useful and potential framework is one of power proposed by McClelland (1976): Individual orientations being defined by the course of power (external or internal), and the target of power (others or self). The framework can be used in conceptualising typologies of cultures. Borrowed from Freud, the framework has been used to understand some other typologies. For example; the distribution between doing orientation, being orientation, and being-in-becoming orientation (Kluckhon and Strodbeck) can be seen as relevant here. The fourth dimension can be added to the three, "enabling orientation", in which active doing by self is replaced by facilitating action by others. The following figure is an adaptation of McClellend's framework:

Sources of Power	Target of Power	Freud	McClelland (Managers)	Kluckhon & Strodbeck	Typology of culture
External	Self	Oral	Dependent	Being	Expressive
Internal	Self	Oral	Autonomous	Being-in becoming	Conserving
Internal	Others	Phallic	Manipulative	Doing	Assertive
External	Others	Genital	Serving	(Enabling)	Expanding

It may be useful to consider the main concerns of human beings in studying cultures. Their concerns relate to coming to terms with nature, their immediate environments (context), time, collectivities of which they are parts, and natural biological differentiation (sex). One other aspect deserving attention relates to coming to terms with power in the collectivity. The various dimensions of culture can then be derived from these concerns:

- **Relationship with nature:** In a relationship, either may be regarded as dominating. If nature is seen as powerful and dominating, and individuals as helpless, a fatalistic orientation may result, taking the nature for granted. The opposite orientation of scientism may result from the belief that man can manipulate and change nature. The concept of the locus of control is relevant here.
- **Orientation to the environments (context):** The environment may be seen as structured and unchanging, resulting in a sense of satisfaction. In that case ambiguity in the environment may be disturbing. Or, people may like and enjoy ambiguity. This dimension called 'ambiguity tolerance' or 'uncertainty avoidance' is a useful dimension. Another dimension may relate to giving importance to the context in understanding meanings of some phenomena, or ignoring the context in search of clear universal meanings. The terms "high context" and "low context" cultures have been proposed. In high context cultures, events can be understood only in their

contexts, meanings and categories can change and casuality cannot be unambiguously established.

- **Time orientation:** This dimension can be in terms of orientation to the past, to present, or future. Time may also be seen as a collection of discrete units, or as a flowing phenomenon. We shall discuss the dimension below.

- **Orientation to collectivities:** The relationship between the individuals and the collectivities to which they belong can be seen in two dimensions: primary and identity. If the individual is seen as more important than and independent of the collectivities, an orientation of individualism may result. If collectivity is seen primary, subordinating individuals, the orientation or collectivism may result. Collectivities may be defined by their identities, and persons belonging to them may have stronger identification with them. We may call this particularist orientation, contrasted with universalist orientation in which the individuals do not have strong in-group vs out-group feelings. Another dimensions may relate to the use of norms in a collectivity. If norms are determined by the collectivity and individuals feel obliged to follow these norms in deciding whether their behaviour is right or wrong; we have an 'other directed' orientation. If individuals evolve their own norm, and judge their actions against these norms, we have "inner-directed" orientation.
- **Orientation to sex differences:** In human society their are biological differences between men and women. If these differences are overemphasised, dividing social roles according to the sexes, what has been called masculinity may result. If the differences are not overemphasised in social allocation of roles we may have an orientation of feminity. Androgyny may be a better term for integration of characteristics usually attributed to the two sexes.
- **Orientation to power:** In a collectivity, power is not distributed equally. However, in some collectivities there may be uneasiness about unequal distribution of power, associated with attempts to redistribute it. Other collectivities may tolerate the differences in power.

Some of these are described below:

1) **Fatalism vs. Scientisms :** If most members in a culture feel helpless in relation to nature, and perceive nature as dominating and beyond human manipulation, an orientation of fatalism may develop. Contrasted is the orientation of scientism that nature can be changed and adapted for better use of human society.
2) **Ambiguity tolerance:** If members of a collectivity feel uncomfortable with ambiguity and try to structure the situations to avoid ambiguity, there tolerance for ambiguity is low, or uncertainty avoidance is high. Under ambiguity tolerance unstructured, vague, unpredictable situations provide opportunities for using multiple approaches. Detailed and rigid structures, procedures and uniform behaviour, as also beliefs in absolute truths, can help in avoiding ambiguity. The following beliefs characterise their dimension of ambiguity tolerance:
   a) Several truths may coexist, without causing disruptive conflicts. People not only tolerate but find the various "truths" mutually enriching.
   b) Deviant behaviours and ideas should be tolerated. These are seen as sources of creativity.
   c) Time is seen and treated as cyclic, not deserving undue importance. Cultures with low ambiguity tolerance overstructure time.
   d) The role of rituals is to achieve order in a society or an organisation.
3) **Contextualism:** In a high context culture the meanings of events, phenomena and behaviour are interpreted in the context in which they occur. One behaviour (e.g. eating in the same plate with a member of another caste) may be right in one context (in a temple), and not in another context (at home). The apparent contradictions in behaviour arise out of the contexts. In a low-context culture, all events and behaviour are judged by one standard, and there is an attempt to evolve universal rules or explanations.
4) **Temporalness:** The cultures may differ in their orientation to time. The past-oriented cultures think and indulge in what happened in the past (usually glory of the past), and are oblivious of the present demands and future

possibilities/problems. The present orientation, called temporalness here, is reflected in the importance given by members of a culture to the present. They get involved in the immediate tasks. However, they may not ensure the endurance and continuity of the tasks. They live in discrete time periods, without strong links with the past or the future. In such cultures attention is paid to the immediate groups. They are able to easily switch from one task or group to another.

5) **Collectivism v. Individualism:** According to Hofstede, individualism stands for a preference for a loosely knit social framework in society wherein individuals are supposed to take care of themselves and their immediate families only. Its opposite, collectivism, stands for a preference for a tightly knit social framework in which individuals can expect their relatives, clan, or other in-group to look after them in exchange for unquestioning loyalty. The fundamental issue addressed by this dimension is the degree of interdependence a society maintains amongst individuals. It relates to people's self-concept: 'I' or 'We'.

In a collectivist culture a person belongs to one or more cohesive collectivities, and is obliged to serve them, as much as the collectivities are obliged to protect the interest of its members. The following beliefs/behaviour characterise 'collectivism'.

a) Relations are moral and not contractual. In individualist cultures relations are treated more as contracts for a particular purpose. In collectivist cultures mutual obligations between the individual member and the collectivities are sacred, and have moral tones; neither can get out of this mutuality.

b) Individuals have strong obligations towards their collectivities. This is a part of the moral nature of the relationship. Loyalty to the group is important in such cultures.

c) Relations take precedence over tasks. In a collectivist culture maintaining relationships and fullfilling personal and communal obligations are more important than completing tasks.

d) Harmony is a collectivity must be preserved. Maintaining harmony is highly valued in a collectivist culture. This would mean not confronting a person, and avoiding conflicts.

e) Opinions are predetermined collectively. In a collectivist culture, in most cases individual opinions are influenced by the decisions of a collectivity.

f) Some tasks are accepted as collective tasks.

6) **Particularism :** In a collectivity (society organisation) there are several groups with identifies formed on some basis: ethnicity, religion, region, caste, speciality etc. If such groups have strong identities, resulting in an in-group/out-group feeling, we may have an orientation which may be called as particularist orientation. This is different from universalist orientation in which the groups do not have insular and strong identities. In a particularist culture there is a tendency to classify persons as belonging to one's in-group or belonging to an out-group. In a particularist culture, an individual feels secure in his/her own in-group and tends to make the in-group stronger in comparison with the out-groups.

7) **Other-directedness vs. Inner-directedness:** Cultures, and individuals, differ on a scale with two opposite poles. They could be inner-directed (behaviour being directed by internal standards), or other-directed (behaviour being directed by standards or opinions set by others). In an other-directed culture a person is guided by the accepted standards or conduct of a collectivity, and preservation of face by individual in the collectivity is critical. Often contrast is made between "guilt cultures" and "shame cultures". In the former inner worth and sin are said to guide behaviour, while in the latter honour and reputation are critical.

The following values or beliefs characterise other directedness.

a) Loss of face is very painful to individuals. Individuals do not like to be seen as violating norms which are obligatory in a society. If some one points out a case of such violation in front of others, the concerned person feels very bad.

b) Conflict must be resolved without loss of face for either party. Since loss of face is so critical to individuals, attempts are made not to create situations in which either of the parties loses face. Conflict situations have potential of loss of face by one party. In an other-directed culture, conflict management strategies are dominated by consideration of preservation of face on the part of all the parties involved in the conflict.

c) Indirect communication is better than communication. A corollary of (a) above is that confrontation, for fear of resulting in the loss of face by a party, is avoided.

d) Pleasant and pleasing behaviour towards the senior is more desirable than telling the truth which may be unpleasant. This is a special case of avoiding confrontation.

8) **Androgyny :** Different qualities have been attributed to the two sexes. Men have been attributed to toughness, competition, aggression, perseverance, achievement, assertiveness. Women have been seen as having qualities like compassion, empathy, harmony, collaboration, nurturance, aesthetics, creativity. If a society emphasises differentiation of sex roles, and allocates social roles according to such differences, expecting men to work in areas of achievement and physical activities (work and defence) and women to work in areas requiring female virtues (nursing house keeping etc.), we have sexist orientation. We call it sexist because the roles are determined by men, and they impose their own values, emphasising competition and toughness in contrast with empathy and collaboration. In such a society competitive aggressive characteristics are valued. In contrast with such a culture, if there is less differentiation of the sex roles, and social roles are not allocated to sexes according to their sex differences, an orientation called 'feminism' may develop. In such societies both the categories of qualities, attributed to men and women are valued and integrated. We shall call such a culture androgynous culture. Western culture is an example of sexist culture, where as Indian and Indonesian cultures are androgynous cultures. One symbolic image of androgyny, found both in India and Indonesia, is the depiction of Shiva as *ardhanariswara* (halfman and halfwoman).

   In androgynous cultures interpersonal trust is highly valued. Harmony and friendship are seen as desirable, and there is a high concern for the weak and the underdog. Mahatma Gandhi represented this orientation so well.

9) **Power-distance tolerance:** Hofstede studied this dimension. He calls it 'power distance' and defines it as "the extent to which the members of a society accept that power in institutions and organisation is distributed unequally. People in Large Power Distance Societies accept a hierarchical order in which everybody has a place which needs no further justification. People in Small Power Distance societies strive for power equalisation and demand justification for power inequalities. The fundamental issue addressed by this dimension is how a society handles inequalities among people when they occur". In a society with high tolerance for power distance, inequality in power is seen as a normal, and acceptable reality. The following characteristics define this orientation.

   a) The senior persons look after the interest of, develop, and properly guide their juniors. The senior persons take the nurturing role.

   b) People respect and learn from the elders. In a society with intolerance for power, people are not given respect because of their age.

   c) Hierarchical relations are seen as necessary and useful to maintain order in a society or an organisation.

   d) The corollary of (c) is that persons in power are seen as knowledgeable and capable of protecting the interests of other members.

   e) Leaders are faithfully followed. Their wisdom is not questioned. In a society with low tolerance for power distance, leaders are questioned, and there is criticism of their behaviour.

   f) Procedures and systems laid down by the seniors are faithfully carried out. The cultures are usually ritualistic following the traditions more faithfully.

   g) It is believed that higher status in the hierarchy can be obtained by the help of the elders. As a rsult, in society, the ascribed status is emphasised, contrasted with acquired status.

   h) Manual work has low value, and is usually allotted to persons in the lower strata of society or organisation.

3.4 FUNCTIONALITIES AND DYSFUNCTIONALITIES OF CULTURES

The various dimensions of culture briefly discussed above can be used to prepare a profile. The profiles can broadly fall into categories on modern-traditional continuum.

One question before the developing societies is whether their characteristics are dysfunctional for moving towards modernity, with the implication that if this is so they need to adopt characteristics of the cultures of the 'developed' societies. Enough experiences in managing development has shown that the developing countries need not adopt (or copy) the culture of the 'developed' world. This implies that there are many functional (for modernisation) aspects in their cultures, and these can be preserved and used for modernisation. Similarly there are many dysfunctional aspects in the cultures of the industrialised societies (dysfunctional for the creation of the future). In fact, developing countries can contribute a lot in evolving future societies capable of meeting new challenges. Because of long periods of colonisation the developing countries have lost self-confidence with a negative self-image. It is not surprising that members of such societies do not see much strength in their cultures and tend to use the framework of the colonising power.

Sometime the opposite view is taken as a reaction by some persons in the developing countries, eulogizing the past and creating delusions about the functionality of their cultures. The revivalistic tendency, that the past or traditions were glorious and must be restored in order to achieve the glory again is more dysfunctional than lack of awareness of one's own strengths. What is needed is a critical attitude, shifting functional from dysfunctional aspects of the culture.

We shall briefly mention below functionality and dysfunctionality of nine aspects of culture of most developing countries. A similar analysis can be done of industrialised culture also. In most cases the same aspect can be functional if used in one way (or within limits), and can become dysfunctional, if used in another way or beyond some limits. In mentioning functionality and dysfunctionality of cultures, the ten dimensions discussed above have been used. Some examples from Indonesian culture will be cited in the next section.

1) **Fatalism:**
Functionality : Fatalism as a mode of surrendering to circumstance is dysfunctional for managing change. In this mode a person or a group has high external locus of control (believing that control of outcome of action lies outside in nature or significant persons). However, this orientation makes a group more realistic and helps it to hibernate and survive. In some societies an absence of this mode of externality may lead to frustrations and dysfunctional conflicts. It helps persons to perceive the contraints about which nothing can be done.

Dysfunctionality: Fatalism is obviously dysfunctional, making individuals and groups passive, reactive, and dysfunctionally tolerant of conditions that need to be changed. It lowers self-confidence and reduces exploratory tendencies to search for solutions problems.

2) **Ambiguity tolerance :**
Functionality: Ambiguity tolerance helps a culture to develop several rich traditions which are not seen as necessarily conflicting. It develops tolerance for differences. Also there is much higher role flexibility in such cultures.

Dysfunctionality: In a culture with a high tolerance of ambiguity there is lower respect for structure and time. Many areas in which structuring is necessary are left unattended, causing confusion, delays, and anxiety.

3) **Contextualism :**
Functionality: High-context cultures develop much more insight into social complexities, and have higher empathy for others who may differ in their behaviour from the known norms. Persons in such a culture are more sensitive to other persons and groups. They are able to understand the contextual factors faster.

Dysfunctionality: In high context societies and organisations common norms and procedures take time to develop. There may be confusion in interpreting the events or behaviour, because different persons may use differnt contexts to understand these.

4) **Temporalness:**
Functionality: Emphasis on the present and a tendency to live in the present results in high involvement of individuals in the current activities they are doing. The emphasis on 'here and now' may help in dealing more effectively with the current problems. Present-oriented cultures are likely to develop competencies of working with and using temporary system.

Dysfunctionality: Present-oriented cultures are likely to develop competencies of working with and using temporary system.

5) **Collectivism:**
Functionality: The following are the strength of this orientation contributing to individual and organisational strengths.

a) Good relations are maintained and the affiliation needs are satisfied.

b) There is high trust amongst the members of the collectivity with high potential for collaboration.

c) Consensus is attempted more frequently, for example in Indonesia the tradition of *musyawarah* is a very useful one.

d) There is sharing of work and reward. In Indonesia the practice of *gotong-royong* (shared work) is a good example of this.

e) Members have a high sense of belonging to the collectivity.

Dysfunctionality: Collectivism produces several handicaps for the individuals and society.

a) People find it difficult to confront their seniors in matters requiring confrontation and exploration.

b) There is lack of initiative by individuals and groups.

c) There is lack of self-confidence, and lack of efforts for individual development. Individuals, living under the shade of their collectivity, do not develop autonomy and individual identity.

6) **Particularism :**
Functionality: Particularist cultures have strong in groups, and the persons belonging to them have a very high sense of identity with their groups.

Dysfunctionality: On the other hand, ingroup/outgroup feeling reduces objectivity of the members who are generally prejudiced in favour of their in-groups and against the out-groups. Favouritism and clique formations are encouraged, taking attention away from the achievement of results.

7) **Other directedness:**
Functionality: Giving importance of norms laid down by society may help to reduce "improper behaviour" of individual members. The concern to save face may also contribute to behaviour useful for maintenance of the collectivity.

Dysfunctionality: The greater dysfunctionality is in terms of lack of internalisation of the values, and developing criteria which are internally consistent to oneself.

People in such cultures are afraid of taking risks if this involves some possibility of loss of face.

8) **Androgyny:**
Functionality: Androgyny contributes to the values of the future human society. It helps groups to value (and develop), interpersonal trust, caring, harmony, concern for the weak, and collaboration.
Dysfunctionality: However, overemphasis on such values may reduce the effectiveness of competition which is also needed in societies and organisations.

9) **Tolerance for power distance:**
Functionality: There are some strengths in societies with high tolerance of power distance. Respect for seniority and age may help persons to learn from experienced people. Conformity may be high, and is needed for effective functioning of groups.

Dysfunctionality: However, high tolerance for power distance may result in stress on form against substance. There may be higher centralisation, with little autonomy for lower level units and individuals. Ascribed status is valued more, leading to lack of value for achievement. There may be much higher dependence on authority.

3.5 STRENGTHS AND WEAKNESSES OF INDIAN CULTURE

As already discussed for organisational change the societal culture is a very important context. Organisations exist in the society; they are part of the society, and they derive

strength from it. In order to be effective, it is necessary that the organisations are aware of the major cultural characteristics of the society in which they exist. We shall now discuss how organisations can use this knowledge and whether should they adapt to the culture or they should try to change it.

In order to understand the cultural context of Indian organisations it may be useful to pay attention to some important cultural characteristics in India. Eight different cultural characteristics have been selected for this focus. Many of these characteristics are negative, which does not mean that we do not have any positive aspects in our culture. The first two aspects discussed are examples of the strengths in the culture. However, some negative aspects have been taken to focus attention on the dimensions requiring change.

Extension Motivation

In Indian culture, there has always been concern for others, although this concern has not acquired the same character as in western society. viz., concern for the community. Concern for others in India has been much more general, even though this has been a strong trend. The concern has also been for society in general; but when it comes to specific aspects, the concern has not been as prominent. One important characteristic of Indian culture has been its high extension motivation which is reflected in several traditions in the country.

Synthesis

Indian culture is characterised by a tendency towards synthesis, absorbing various influences which impinge on the culture, and internalise it. Similarly, various conflicting points of view are also well synthesised. In many cases, the synthesis may go to the extent of several contradictions existing at the same time. This may be a result of the combination of several characteristics. The characteristic of synthesis has helped the culture to survive over thousands of years, and has helped to develop a tradition which is quite unique in the world. It is a great pity that much attention has not been paid to this important positive characteristic of the Indian culture.

Dependency Motive

Being a feudal culture, the dependency motive has been fairly strong in India. Dependency motive is characterised by a tendency to depend on and please the authority figure, and to expect others who are lower in the authority to do the same thing in turn. This is reflected in various forms. When dependency is high, it results in some of the following behaviours:-

a) **Avoidance syndrome:** In a dependency situation, the individual does not take the initiative to deal with problems; he looks to his immediate superior to take the decision and he would merely carry this out. Lack of initiative is one symptom of avoidance syndrome. Similarly, a person does not take responsibility for an action, because he himself is not responsible for the action. Another characteristic of avoidance syndrome is exaggerated view of obstacles. When a person faces problems, he exaggerates these, and he is overwhelmed with them; such an exaggerated view would justify him not to take the necessary action. Such syndromes can be seen in the organisations also. In many cases the obstacles loom large before persons who went to take action. Difficulties come up first and there is unrealistic obsession of such difficulties. The tendency is to avoid trying out something new because that would require taking responsibility and risks which people find difficult to face.

b) **Excessive fear of failure:** Another dimension of dependency motive is excessive fear of failure. In a dependency culture, the main concern is to prove oneself acceptable to the authority, and, as a result of that, one does not want to be seen as failing at all. This results in excessive fear of failure. All of us have some amount of fear of failure; but if the fear is an obsession that is the only way to avoid failure. Risk-taking is completely avoided and easy targets are kept so that there may be no chance of failing at all.

c) **Conformity:** In the dependency motive, the tendency is to conform to a given framework, rather than trying out a new framework. Creativity is low in dependency, because creativity involves risk-taking, taking initiative, taking responsibility for both success and failure. Such conformity is quite evident in most organisations where the tendency is to do what is given, rather than take the initiative and try out something new.

Casteism

Although the caste system is disappearing from the country and has little influence in the sophisticated section of society, the spirit of casteism, i.e., the tendency to stratify society and organisations into various levels, and developing different norms of behaviour for different levels of society, still dominates. Casteism is reflected in status consciousness and in assigning different peoples to different levels of society or organisation. It produces several dimensions.

a) Difficulty in relating at the peer level: One behavioural implication of casteism is reflected in the problem people have in developing peer-level relationship. People are quite uncomfortable in organisations unless they know where they stand in relation to others on the authority dimension. In the government one important consideration is who is 'senior'. Even in problem-solving meetings people first try to establish the hierarchy of seniority and then they are confortable in relating to each other. Peer-level relationship is very difficult to establish. However, without such relationship many new problems cannot be solved.

b) Lack of Interdependenc: When peer-level relationships cannot be established, the relationship becomes much more of dependency, and this reinforces the dependency motive. It is good to establish interdependent relationships in an organisation. Certainly the new tasks require this.

c) Role fixation: In the Indian culture when a person takes a particular role, he finds it difficult to grow out of it, and others also find it difficult to accept him in a new role. This is reflected, for example, in student-teacher-relationship. In the traditional context, even when the students is an adult, he finds it difficult to accept this peer relationship with his teacher; it has to be student-teacher relationship throughout his life. This phenomenon is called role fixation. This is also found in organisations. For example, in the Indian Administrative Service a person who has joined one or two years earlier is regarded as senior and treated as senior throughout the career. In an organisation, when a person who has joined the set-up recently, and therefore is regarded comparatively as a junior, gets promoted, a great deal of stress is produced; people find it difficult to accept him in a senior position. Of course, in modern organisations, things are changing, and promotions are not made only on the basis of seniority. Still this phenomenon continues.

d) Role boundness: Another dimension of casteism is that a person is primarily responsible to his role, and not responsible for the whole system. Role boundness is very much dominating in the Indian organisation. Those who are highly efficient and do their work very well, and are seen as such, have a tendency not to go beyond their roles and help the organisation.

Fatalism

The tendency to depend on or refer to unknown factors is very high in the culture. This can be termed as fatalism. The general tendency is to see outside forces as highly important. Certainly there have been historical reasons for this, and because of long experience of dependency on various factors, this tendency has persisted. It is shown in two ways in the organisations:

a) Cynicism: In many organisations fatalism (which, by implication, means lack of trust that one can do something about certain things, and, that their control lies somewhere outside), leads to a general cynical tendency, that things are bad and cannot be improved. We find such cynicism stronger amongst the intellectuals. If internal locus of control in people is low, and their ability is high, they tend to be more cynical. We find bright young people frustrated in organisations and talking about their organisations in cynical terms, that they are only passing time in the organisation, and that not much can be done.

b) Lack of critical self-examination: Because of exaggerated importance given to outside factors in determining things, there is a tendency to avoid taking responsibility and holding oneself responsible for certain actions. In that case the person need not examine what he himself lacks, and no appropriate action need be taken to improve. This is reflected in the analysis of stories written by managers from various organisations. In their stories, the element of what is called personal block (perceived difficulties of personal nature for which the person himself may be responsible) were found to be very low.

Non-Involvement and Non-Commitment

This characteristic (a tendency to keep oneself uninvolved) may have some spiritual-religious roots. There is a general tendency to avoid involvement. This, for example, is reflected in the tendency of most Indians not to take clear and strong positions on issues, if such positions are in conflict with other points of view. When it comes to discussions or expressing opinions, there is a tendency to take a 'golden mean', as it is the safest position to avoid confrontation. It results in two main characteristics in the Indian organisations:

a) **Non-confronting behaviour:** Non-involvement and non-commitment would make a person take a more compromising position and avoid any position which will put him in a confronting situation with others. This tendency is seen in a people when discussions are held and when some uncomfortable opinions need to be shared. There is a general tendency to avoid that.

b) **Excessive tolerance:** Another result of non-commitment and non-involvement is to tolerate various things. Tolerance is a positive quality, because it reflects the respect people have for others' views, and a tendency to see good things in others' points of view. However, it creates problems when the tolerance is excessive. Our tendency of excessive tolerance is reflected in the general social behaviour. In organisations, this tendency may result in not being bothered with some disturbing signs. For example, people may tolerate lack of standards, or behaviours like late coming, etc.

Individualism

Indian culture by nature is individualistic, even though there has been a tendency to show concern for the world and others. Usually, Indian culture emphasises individual spiritual pursuits. It results in two main characteristics:

a) **Lack of interpersonal trust:** When the basic concern of the individual is for the self, the tendency to trust others is low. This results in a more or less unstated and underlying suspicion of other people. This is often reflected in organisations where collaboration may be low because the tendency to trust other persons in low.

b) **Difficulty in collaboration:** As a result of individualistic orientation, the tendency to work together is rather low. One foreign behaviour scientist made a profound remark about Indian organisations and people. He said that while Indians as individuals could be compared with the best and most competent persons anywhere in the world, they formed poor organisations and they found it difficult to work as groups. Collaboration which requires skills of working together on problems is lacking in most cases.

Irreality Orientation

This is an interesting characteristic of the Indian culture. There is a tendency to avoid reality, and what may be called 'irreality orientation' results. This is primarily reflected in the difficulty we in India have in anticipating problems and failures. When planning is done, people find it difficult to anticipate what kind of problems are likely to come up, and, therefore they find it difficult to prepare a plan to cope with such possible failures or problems. This is reflected in personal planning, organisational planning and planning at the national level. We tend to prepare plans which are not met. Targets are kept too high, without taking the possible difficulties and obstacles in view. Of course some organisations prepare realistic plans and achieve them. But the general tendency in the culture is to see the brighter side and not to expect and be prepared for the problems and difficulties.

3.6 A PROACTIVE APPROACH TO CULTURE AND CHANGE

There is a conflict between traditional cultures and demands of modern management. As already stated, two extreme views are taken on the subject, some advocating that management practices should be designed to suit the culture, while some others advocating that modern management practices should be uniformly adopted to suit the goals of the organisation.

The argument that various systems in the organisation should be designed to suit the culture of the organisation and the culture of the society is a reactive position; it will

keep the organisation where it is. We spend a major part of our life (the important part of life in which new things are learnt and new attitudes and skills are acquired) in work organisations. Change can be effectively introduced through them. We should consider the major responsibility of work organisations as producing the kind of culture which is needed for future effectiveness of these organisations and society. Moreover, work organisations have an edge over other organisations in society. They have the advantage of getting better educated citizens, those who think a little differently, and probably those who may be able to accept and disseminate new values. It will, therefore, be a great pity if work organisations merely perpetuate the culture they have inherited, or the culture which prevails in society.

As we have already stated, each culture has its strengths and weaknesses, functionality and dysfunctionality for developing modern organisations. Even those who argue about designing systems to suit the culture do not talk about such strengths. While designing an organisation or a system in an organisation, we can build on the existing strengths, further reinforce these strengths, and use the positive aspect of the culture for organisation designing. In the Indian context, for example, organisations should make sure that such positive qualities of the Indian culture as concern for others, tendency to harmonize and synthesize various points of view, positive regard for different points of view, and general respect for knowledge and expertise are properly used while designing systems. For example, instead of promoting individual competitive spirit in the organisation, a spirit of collaboration may be developed. Systems may be designed to suit these needs. Unfortunately, when we talk of change and think of designing new systems, we usually have only western models before us, and we implicitly argue either for or against such models. In the latter case, we taken the position that the model does not suit our culture. It is certainly important that we search our own cultural traditions and experiences to develop models and learn from the experience and cultural traditions of other countries. By taking a close look at our culture and learning from the available elements of various models we should be able to make some conscious choice regarding the type of organisation we want to build, and the systems we want to develop in the work organisation.

A proactive strategy would be to preserve, use, and consolidate the strengths of a culture in management practices, and to use management to change the dysfunctional aspect of a culture. However, using management for changing culture would require careful planning and monitoring. It may be useful to do field analysis of facilitating forces and strengths, recognise blocks, produce counterforces, and pay enough attention to the process. We shall illustrate this in the next section by citing a case study from Indonesia.

A proactive action strategy would involve the following steps:

- **Determine the direction:** It is necessary in the beginning to be quite clear about where the organisation wants to go. The direction should be defined not only in terms of specific systems like performance feedback, counselling, potential appraisal, career planning, etc., but also in terms of process movement, e.g., towards more openness, more collaborative action and consulting each other. An open discussion about new directions will help the organisation to make necessary psychological preparation for accepting the system. Thoughts above new directions should be widely shared.
- **Share possible consequences of the Journey:** Introduction of the human appraisal system is like starting a new journey. The fact that the journey is not likely to be very pleasant should be known from the beginning and understood very clearly. Usually, consultants who work on the introduction of such a system not only communicate it verbally to the client but also make clear in their written reports the possible consequences. For example, it should be made known and should be communicated that the appraisal system may increase dissatisfaction to some extent, because individuals will begin to voice some problems when the system becomes open. It should also be made clear that, as a result of the introduction of the system, some managers will complain that subordinates do not accept their statements, and ask more questions. When a system is beginning to be open, people test the limits of the openness to some extent. It should be understood that these processes are part of the "teething problems" experienced in introducing the system. If these are not communicated and understood, the organisation may be unduly disturbed when it faces such problems. Instead of taking these problems as a necessary part of the introduction of the system, they may be taken as signs of failure, and the system may

be abandoned. Those who are introducing a new system should clearly anticipate such problems and be prepared to deal with them.

- **Start from where you are:** Each organisation has a tradition and some rudimentary forms of a particular system. The design of a new system will be different for each organisation. While the direction may be determined so that the organisation knows in what direction it has to move, the nature of the system will naturally differ. It may be useful for the organisation to understand this and start from the level where it stands in terms of the sophistication of the system.

- **Take one step at a time:** Organisations should prepare a careful plan to phasing various steps. Various elements of a system cannot be introduced simultaneously. For example, while introducing an appraisal system, a simple appraisal form may be introduced at first. After the form has been properly understood and used, counselling and feedback system may be introduced, followed by analysis of critical attributes of various jobs and a system of assessing these attributes. A full appraisal system may be introduced later. This kind of phasing may be done for various subsystems.

- **Prepare for the journey:** The introduction of a system requires preparation. The system needs changes in the orientation and attitudes of the people in the organisation and skills which are needed to implement and use the system. In the absence of these the system is likely to fail. As the system is being introduced, these needs may be identified and steps may be taken to meet these needs. Various complications may arise if the skills and competence to run a system are lacking. It would be wrong to introduce, for example, feedback and counselling unless enough preparation has been made to develop skills of giving feedback and the employees counselling by various managers. The problems may arise if necessary training does not precede the introduction of a system. However, in the name of such preparation, the introduction of a system should not be postponed indefinitely. If an organisation argues that it will introduce a system only after necessary conditions have been achieved it may have to wait forever. Sometimes this may be used as a pretext for not introducing the system. Action to provide such preparation is necessary. But the preparation may also be phased. This may have to be done at various stages of introduction, and not at the beginning alone.

- **Be prepared for reversals:** The introduction of a system would produce certain changes. There may be two kinds of consequences about which the organisation should be clear and be prepared. Changes may produce some disturbing symptoms in the organisation. The introduction of a new system may create confusions, give rise to suspicion, create doubts, and result in more problems of communication. This may be a necessary part of the change which is never smooth, easy, and pleasant. Any change, especially when it intervenes in the culture of an organisation, creates disturbances. Secondly, at several stages it may seem as if preliminary work has been wanting and the organisations is back to "square one". Such reverses may appear especially when progress is not according to the schedule. Managers may report that their feedback and counselling sessions have not been as good as they anticipated they would be in the beginning; the quality of counselling was probably very good but later they found that this was not so. Such reverses should not arouse anxiety. It should be understood that reverses are likely to occur and the organisation should be prepared to deal with them and move forward.

- **Develop internal expertise:** It is necessary that while a system is being designed and implemented there is enough internal expertise which increases with the development of the system. A system cannot be implemented with the help of external expertise alone. Outside help may be useful, either at the beginning or at a later stage, when some dimensions need attention. However, continuous work will have to be done through internal resources alone. If enough attention is not paid in developing such expertise in the enthusiasm of accepting a system, the system is likely to fail.

- **Continue moving:** Persistence in the implementation of the system is important with various sequences, with certain reverses, and for phasing the system. And such perseverance is possible if the organisation is able to prepare a long term plan and identify one person or a small group of persons to attend to the introduction of the system and its implementation. The main responsibility of these people may be to take necessary steps to deal with the problem, and not let these come in the way of

the final implementation of the system. The very fact that a system is followed up doggedly and that steps are taken continuously to implement the system will ensure its success. In many cases a system fails because reverses and problems create anxiety. Often, these are seen as signs of failure and the system may be abandoned.

- **Have a compass and a speedometer:** Monitoring mechanisms in the implementation of the system are necessary. At each step, enough information should be collected about the progress of the system and in which direction the system is going. An individual or a small group of persons may be given the responsibility to monitor progress. For example, special interview schedules/questionnaires can be designed to gather information about the quality of employee feedback and counselling after performance appraisal forms have been completed. Such information will help in taking corrective action. From time to time, meeting of various groups may discuss such problems, and how these could be rectified. The problem should be studied to make the system effective in the organisation.

To sum up, proactive strategy requires planned and persistent work. Past experiences of failure and problems being experienced in implementing some systems confirm these needs. Advocates of reactive strategy adopt these as defences to argue that such systems are not suited to the culture and that they should be evolved to 'suit' the culture. Such a strategy may not help an organisation to take necessary steps for change.

Management working for change in a culture needs to pay attention to four aspects: structural elements, processes, strategy of change, and tactics to be employed. Eventually cultural change must be built into the system so that the new culture becomes a part of the organisation. This cannot be done without paying close attention to the process underlying the structural elements. Simultaneous attention to strucure and relevant processes would require a clearly thought out broad plan of action (strategy), and to spell out strategy into specific action steps (tactics). This S-P-S-T four-fold model (structure-process-strategy-tactics) can help to develop culture-changing management. These dimensions, with the various sub-aspects are listed below. Most of these are self-explanatory, not needing explanation.

S. STRUCTURAL ELEMENTS
1. Stable structrue
2. Temporary systems
3. Linkage building mechanisms
4. Information system
5. Rewards
6. Regular budget
7. Guidelines

P. PROCESS
1. Incremental planning
2. Action research approach
3. Modelling
4. Mentoring
5. Process awareness and orientation
6. Counselling
7. Organisational norms

S. STRATEGY
1. Anchoring in and using strengths
2. Sensitivity to stone walls
3. Competency building
4. Critical concentration
5. Developing key institutions
6. Sanction and support
7. System ownership

T. TACTICS
1. Prepare in advance
2. One step at a time
3. Prepare for the journey (resources)
4. Go together

5. Stop and review progress
6. Keep up the spirit (reinforcement)
7. Keep going (perseverance)

3.7 SUMMARY

In this unit, the impact of culture on the organisation with specific reference to Indian Culture is explained, Functionality, Dysfunctionality, Strength and weaknesses of Indian Culture are specified. Finally, a proactive approach to culture is described.

3.8 SELF-ASSESSMENT TEST/QUESTIONS

1) Explain the importance of social and organisational culture in bringing about change.
2) Discuss Functionality and dysfunctionality of culture.
3) Describe some strengths and weakness of Indian Culture.
4) What are the steps involved in Proactive action strategy? Explain.
5) Explain how the S-P-S-T model helps in developing culture-change management.

3.9 FURTHER READINGS

Variations in value orientation (Rose, Peterson, 1961) by F. Kluckhohn and F.L. Strodbeck is a classic for understanding values in different cultures, their proposed five value-orientations (based on the meaning of existence, meaning of human endeavours, relationship of man and nature, and relationship of man with fellow beings have been used by several authors to suggest paradigms of modernisation.

D.C. McClelland's *Power: The Inner Experience* (Irvington, 1975) provides a new way of looking at a basic source of shaping the dynamics of human responses to understand the dynamics of culture.

The most widely read work on culture and management is G. Hofstede's *Culture's Consequences: International Differences in Work-related Values* (Sage, 1980). Hofstede, suggested four dimensions as most relevant to explain culture differences. The implications for management are further discussed with data from more countries by Hofstede in "Cultural dimensions in management and planning" (*Organisational Forum*, 1985, 1 (1), 12-31).

Organisational Culture and Leadership (Jossey-Bass, 1985) by E.H. Schein is a good reading on organisational culture and how to deal with it. He has proposed three levels of variables in a culture: (a) artifacts and creations, which are visible but often not decipherable (technology, art, visible and audible behaviour patterns), (b) values, which indicate greater awareness (both testable in the physical environment, and testable by only social consensus); and the deepest level of basic assumptions, which are taken for granted, are invisible, and preconscious (relationship to environment; nature of reality, time and space; nature of human nature; nature of human activity; nature of human relationships).

U. Pareek in *Organisational Behaviour Processes (Rawat, 1988, Chapter 2)* discusses in details the relationship of culture and management. Planned changed in education by W.H. Griffin and U. Pareek (Somaiya, 1973) discuss the role of culture in planned change in education (the two incidents or cases have been borrowed from there).

UNIT 4 MANAGING RESISTANCE TO CHANGE

Objectives

After completing the Unit you should be able to:

- appreciate the positive role of resistance
- understand the main sources of resistance
- plan action to manage some source.

Structure

4.1 INTRODUCTION

Introduction of change is a highly complex process. The uncertainties caused by the expected change and inequilibrium, as a consequence of changes, sometimes results in resistance to change. The resistance may result in decline in Production, increase in rates of turnover, absenteeism, strikes and so on. Resistance to change arises from individual's problems rather than technical problems of change.

In order to reduce the resistance to change, attempts should be made to make them understand why that particular change is needed and how helpful it will be for the organisation.

4.2 A POSITIVE APPROACH TO RESISTANCE

Resistance has usually been seen in negative terms. The proponents of a change are unhappy with resistance shown by some persons or groups. The general experience has been that in many cases resistance plays a positive role. If individuals and groups had not resisted some changes like urbanisation of some rural or forest areas, or construction of roads which disturbed ecological balance and so on, we would have been poorer in our ecological heritage. In the flush of enthusiasm, the proponents of a change do not see some negative (and often unintended) consequences of change. Resistance help to bring some of these to their notice. Resistance also brings to the notice of the planners the likely difficulties in the implementation of the change. So, resistance at least gives warning which if needed can lead to better implementation of change.

Resistance to change is like dissent. The value of dissent is to stimulate the individuals and the group to consider many factors they may otherwise ignore. It also helps to generate alternatives. Resistance may bring to the attention of those involved in introducing change factors that are likely to disrupt the basic cultural fabric, or threaten core values of the group. The earlier attention is paid to them the better it is likely to be for the change programme.

Resistance may also point out flaw in the process of introducing change. If a change is being introduced by outsiders in the organisation or the community, it will not be "owned" by them. Resistance may show lack of "ownership" of the change programme by the community, in which it is being introduced. Resistance may show that the process of change has not been participative.

Resistance may, therefore, be helpful in bringing attention to some aspects neglected by the change planners – threat to the core values and life styles, unintended

disturbances causing problems, "bad" process of introducing change etc. Resistance can be used for making the change process more effective. Taking such a positive approach to resistance Karp suggests 4-step approach to resistance as shown in Table 4.1. This relates to bringing out resistance (surfacing) by encouraging people to express resistance; giving importance to it as reflected in listening and acknowledging; exploring the reasons of resistance to learn what can be done; and rechecking after analysis if still the resistance is substantial.

Table 4.1 : Four Step Treatment of Resistance adapted from Karp, 1988

1. Surfacing	• Make expression of resistance safe • Ask for it all
2. Honouring	• Listen • Acknowledge • Reinforce permission to resist
3. Exploring	• Distinguish authentic from pseudo resistance
4. Rechecking	• Probe

4.3 THE LANGUAGE OF RESISTANCE

In a change process, some gain and some lose. Resistance may show that some persons are threatened by change. If resistance is not legitimised, it is likely to come out in different ways of expressing difficulties with change. Various alibis are likely to be given against the change process. In the absence of legitimate channels of exploring the dissent, the language of alibis is likely to be distract attention to non-issues. Murthy has suggested a large number of alibis people use for resistance to change. This is shown in Table 4.2. The more an organisation encourages and analyses resistance, the less the alibis are likely to be used.

Table 4.2 : Alibis for Resistance to Change
(From PVR Murthy's Managing Change, Unpublished)

Bad theory alibis
1. This is all theory
2. Theory is different from practice
3. It is nice to hear and easy to say but difficult to practice
4. We have been doing it for thirty years
5. It is not the best solution
   Let us get the best solution then we shall implement it
6. We have to get more facts
7. Let us form a committee

Unsuitable Alibi
1. We are not in Japan
2. We should all visit Japan if we have to believe all that
3. We are all divided by Cast, Community etc. So we can't bring changes
4. It won't work in our company
5. We tried it before and it didn't work
6. The other company tried and gave up
7. No one can help us. Company is beyond repair
8. We are not yet ready
9. We don't have money for all these changes
10. We don't have time at all

Too risky alibis
1. We need consistency. We cannot keep on changing
2. We can't take risk..... you see
3. It is impossible
4. What will happen to the present people?
5. We need the change..... but you see
6. The customer will jump on us
7. The competitor will exploit our failure

Unacceptable to others alibis
1. I follow, but our people are bad
2. I understand but others cannot
3. It is not my problem
4. The problem is with the government
5. The problem is with the top management
6. Boss won't like it
7. All the problems are because of the top management's incompetency

8. My bosses should change first
9. The problem is with the middle management
10. The problem is with the supervisors
11. The union won't like it
12. The problem is with the inter-union conflict
13. The workmen can never understand
14. The old employees won't understand
15. The younger employees do not have patience
16. Our youngsters do not have maturity

No gains alibis

1. We are not paid Japanese salaries
2. What do I get out of the change
3. Why should I work for the change
4. Last year I worked hard what did I get in turn
5. Why do we have to stretch ourselves?
6. I suggested all that long back. Nobody bothered at that time. Why should I listen to them now
7. Benefits are limited, why trouble ourselves?

4.4 SOURCES OF RESISTANCE

Resistance results from disturbance of equilibrium in individuals or groups (organisations). Resistance has been seen as a natural way of keeping homeostatis. Change may produce some stress, as (See Watson, 1969) exercise increases pulse rate but "resistance" to this change brings back the heart rate to normal. Similarly, a training programme may bring about temporary change in people influenced by it, but they soon revert to their old habits (unless the training effect is reinforced by other means). In this sense resistance is a natural phenomenon of homeostatis. Similarly, things learned first become "resisters" for new thing. Watson has suggested various forces of resistances, relating personality of individuals and the organisational dynamics, as shown in Table 4.3.

Table 4.3: Forces of Resistance to Change in Individual and Organisation (From Watson, 1969)

Individual

1. Homeostatis (the tendency to revert to old ways)
2. Habit (ingrained accustomed ways of doing things)
3. Primacy (first experiences powerfully determining our actions)
4. Selective perception and retention (using one's own ideas)
5. Dependence (learning from role models becoming internalised)
6. Super-ego (internalised traditions determining behaviour)
7. Self-distrust (blaming onself rather than seeking external change)

Organisations

1. Confirmity to norms (tendency to follow known ways of behaviour)
2. Systemic and cultural coherence (tendency to remain homogeneous)
3. Vested interests (groups or individuals affected by change)
4. The sacrosact (some areas having strong emotional sensitivity)
5. Rejection of "outsiders" (the question of "ownership"). Considering both the individuals and the organisations, ten sources of resistance are suggested in Table 4.4 (next section).

4.5 MANAGING RESISTANCE

Managing resistance will involve using resistance as a positive of the change process, preventing resistance, and coping with it.

Watson (1969) has suggested some ways of reducing or preventing resistance. These relate to ownership of change, nature of change, and the process of changing.

Ownership: Resistance is likely to be low if the change is perceived as being the need of and suggested (owned) by those affected by it, and when it has the top management support.

Nature of Change: Resistance is likely to be less if change is seen as reducing problems and burdens, conforming to the core values of the group, offering new and interesting experience to the group, and does not threatening autonomy and security.

Change Process: Resistance can be reduced by joint and agreed diagnosis of the problem, consensus on the broad design of change, listening to "objections" (and learning from them), periodical review and feedback, development of high interpersonal trust and cohesive teams, and openness to revision.

Various sources of resistance and the possible coping mechanisms are summarised in Table 4.4. These are briefly discussed below:

Table 4.4 : Sources of Resistance and Coping Mechanisms

Sources of Resistance	Coping Mechanisms
1. Perceived peripherality of change	Participation in diagnosis
2. Perception of imposition	Participation and involvement
3. Indifference of the top management	Active support from the top
4. Vested interests	Fait accompli
5. Complacency and inertia	Fait accompli
6. Fear of large scale disturbance	Phasing of change
7. Fear of inadequate resource	Support of resources
8. Fear of obsolescence	Development of skills
9. Fear of loss of power	Role of redefinition and reorientation
10. Fear of overload	Role clarity and definition

1) **Perceived peripherality of change:** If the executives perceive that the change being introduced in the organisation is not critical for them or their units, they are likely to resist such a change. Implementation of change can be effective if the change introduced is seen as critical and useful. This can be achieved by involving the concerned managers in the diagnosis of the issues or problems, so that they can appreciate the need for change. Their attitude to the innovation introduced will then be positive.

2) **Perception of imposition:** Similarly, if the managers in an organisation see the change as being imposed by the corporate or the head office, they are likely to resist the change. Such resistance can be reduced by involving them in the introduction of change at several stages. This can be done through seminars, work groups to evolve the various parts of the change programme, and task forces to work out details of implementation. Participation of the managers at various stages of the change increases the commitment to the change.

3) **Indifference of the top management:** The behaviour and attitudes of the top management are critical in the implementation of change. If the top management do not show much enthusiasm or interest in the change, the people at the lower level will put up increased resistance to it. The top management can show their interest by frequently getting information and feedback on the progress of the change, participating in some seminars organised to discuss the experiences, meeting new occupants of new roles created as a part of the change, providing positive strokes (encouragement and appreciation) on the success experiences, and mentioning the experiment in the significant documents such as the annual report etc.

4) **Vested Interests:** Change produces some disturbance, and sometimes some dislocation. For example, if an organisation creates new units, which are located in the smaller towns, people moving to the smaller towns from capital cities will face problems and experience inconvenience. As a result of this they are likely to resist the change. They may, of course give different reasons, which may appear logical. However, once they go and work in the smaller towns, they may enjoy the change and may see its positive aspects.

5) **Complacency and inertia:** As a general rule change produces discomfort. People develop complacency while being in one state. The change of state is somewhat painful. The solution of the problem is to introduce change and help people experience new conditions. Then the resistance usually goes down.

6) **Fear of large scale disturbance:** In a large organisation there may be a genuine fear that proposed change is likely to lead to some changes with unpredictable consequences. This is particularly true if the proposed change is a sensitive area, and requires special skills. As already discussed, phasing of the change programm

may reduce resistance arising out of this dimension. Resistance to change is not always bad. It plays a positive role in indicating the areas of potential failure or problems, which may come in the way of the effectiveness of the change or system. Preventive sanction such as experimentation, adjustment, phasing, etc., may be helpful.

7) **Fear of inadequate resources:** Resistance may also increase if the implementation of change requires additional resources in the form of new skills, additional manpower, or budget. Provision of such resources support may reduce resistance it may, however, be examined whether there is a genuine need for the resources. For example, if a new unit is created with greater autonomy the support of planning, personnel and technology may be provided to help the units to succeed in meeting their objectives.

8) **Fear of obsolescence:** Resistence to change may also be high if the change requires new skills and the existing people may feel that because of lack of those skills they may become obsolete. This may be a real threat. Resistance can be partly reduced if the concerned people are given orientation and are trained in the new skills needed. For example, introduction of the HRD may succeed if the existing functionaries in the personnel or organisational planning departments are given enough training in the new function so that they feel confident in carrying out these effectively.

9) **Fear of loss of power:** Sometimes resistance to a change is high if there is a feeling that as a result of the change some roles will lose power. For example, creation of new planning roles may raise such a fear, as the planning functionaries may not get the operational powers. Or creating of a new unit may "deprive" the existing top managers of the operational powers being delegated to the units. Such resistance can be reduced if the roles are redefined and redesigned so that the concerned role occupants can perceive that they may have different kinds of power which may be of a higher order, although different in nature. The involved roles may be helped to realise the power.

10) **Fear of overload:** If some people feel that the change will increase their work load, they are likely to resist change. This may happen if they perceive new functions being assigned to their roles. However, if their roles are defined, and they are able to prioritize the functions, and decide which functions can be delegate to their subordinates, the resistance can be reduced. This would require seminars on role definition and clarity, and negotiation for delegation of some functions.

Coping strategy to be adopted may also depend on the situations Maheshwari (1991) has suggested overall six strategies each of which would work in a special situation: education and communication participation and involvement, facilitation and support (e.g. training in new skills), negotiation and agreement (e.g. modify details), manipulation and cooperation, explicit or implicit coersion.

4.6 SUMMARY

In this unit, it is explained, how employees resist change in an organisation, how it should be viewed in a positive way, what are the Sources of Resistance, and how the resistance should be Managed.

4.7 SELF-ASSESSMENT TEST/QUESTIONS

1) Why do people, in organisations, tend to resist change? Explain instances of resistance to change in your own organisation and the effectiveness of Management strategies to overcome the resistance.
2) Why do individuals and organisations resist change?
3) What are the sources of resistance? Explain coping mechanisms to resist the change.
4) Discuss how it is possible to manage resistance.

4.8 FURTHER READINGS

There is excellent material on resistance to change in chapter 9 of W.G. Bennis, K.D. Benne and R. Chain (Eds.) *The Planning of Change* (Holt, 1969, 2nd edition), including positive aspects of resistance. G. Watson's reading in that section is still a classic.

H.B. Karp in "A positive approach to resistance" in *1988 Annual : Developing Human Resources* (P. 143-146) edited by J.W. Pfeiffer (University Associates 1968), Karp has discussed positive aspects of resistance to change and the strategy of using resistance to make change effective.

Chapter 22 in Udai Pareek's *Organisational Behaviour Processes* (Rawat, 1988) discusses various coping mechanisms for resistance to change.

Roger Plant's *Managing Change and Making it Stick* (Grower, 1967) is a good source for dealing with resistance.

Some recent experience of management of change in India been reported in *Management of Change through HRD* edited by BL Maheshwari and DP Sinha (Tata McGraw Hill, 1991). Chapter 1 by Maheshwari also deals with the management of resistance.

PVR Murthy in "Management of Change" (unpublished) has given a list of some generally expressed excuses for the change not accepted. These have been cited in this unit.

UNIT 5 EFFECTIVE IMPLEMENTATION OF CHANGE

Objectives

After completing the unit you should be able to:

- appreciate the need to study implementation of change
- understand the process of implementation
- plan monitoring of change

Structure

5.1 IMPORTANCE OF IMPLEMENTATION

A change is an alien element, and to become functional it should become a part of an organisation in which it is introduced. Unless a change is internalised and integrated, it remains 'alien'. Introduction of change in an organism (a body) and an organisation have some common features. The transplanted part in a body has to be integrated with that body. It can be rejected at any time. And so a watch has to be kept to ensure that the part is not rejected, and necessary steps are taken to facilitate the process of integrated. The same applies to an organisation. It is necessary to ensure that the change gets integrated in the organisation, it is stabilised, becomes a part of the organisational working. This is a part of the implementation process.

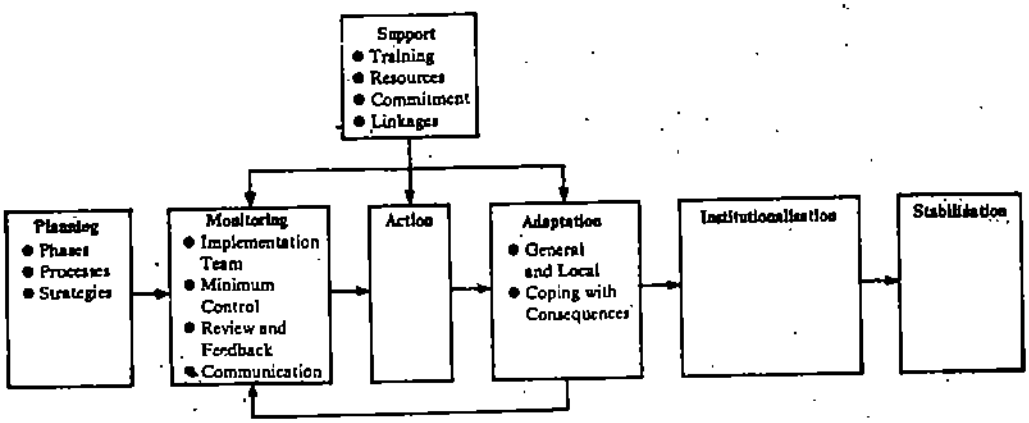
Implementation can be defined as the institutionalisation and internalisation of a change after it has been accepted by an organisation and a decision has been taken to accept and make it part of the ongoing activity. Implementation starts after the decision has been taken about the change programme. Several contextual factors have been found to be significant for the success of implementation. Fullan and Pomfret (1977) have suggested four different dimensions of implementation requiring some attention. These dimensions relate to the characteristics of the innovation (explicitness of innovation, and the complexity or degree and difficulty of change), strategies and tactics (inservice training, resource support, feedback mechanisms, and participation in decision making), characteristics of the adopting unit (adoption process, organisational climate, environmental support, and demographic factors), and characteristics of macro-socio political units (design issues, incentive system, evaluation, and political complexity). Implementation has been raised as an issue of control versus decentralisation and facilitation of change through participation.

Implementation may be seen as a multi-dimensional process. Paul (1980) has proposed the concept of strategic management for the implementation of public programmes as an interaction between four dimensions — environment (opportunity, needs, constraints, threats, scope, diversity, uncertainty), strategy (service-client-sequence, demand-supply-resource mobilisation), process (planning and allocation, monitoring and control, human resources development, motivation-compliance), and structure (differentiation-integration of tasks, structural forms, degree of decentralisation, and degree of autonomy).

The end result of implementation is the institutionalisation and stabilisation of change. Institutionalisation means making the change a permanent part of an organisation; and internalisation means stabilisation of the change so that it becomes a natural part of an organisation's working and style; the former is more structural, and the latter more processual.

In order to achieve the end results the whole process of implementation starts with planning. Implementation primarily consists of monitoring the change, taking action in relation to the change, and making necessary adjustments in the programme which has been accepted for implementation. This may be called adaptation. This three-phased implementation process monitoring-action-adoption-is possible if necessary support is provided at the several stages of implementation. This gives a basic model of the implementation process which is shown as figure 5.1. As the figure indicates, planning is the initial process followed by the circular process of implementation in which the feedback goes from adaptation to monitoring. This leads to institutionalisation and stabilisation of change. Various aspects of this process are briefly discussed here.

Figure 5.1 : The Model of Implementation of Change in an Organisation



5.2 PLANNING

The main purpose of planning is to have an overall understanding of the nature of implementation. Here planning refers to planning of the implementation process after a decision has been taken on implementing a change. The following three dimensions are involved in planning. Reviewing several Asian experiences in the area of implementation of curriculum change a group of experts have suggested that the preparation should include broad based participation by people involved in the implementation of the programme itself, public support and adequate resources for implementation of the programmes. According to them the preparation of the community becomes necessary because, among other things, this would facilitate curriculum renewal as an essential part of curriculum implementation.

Phasing: Planning may be focused on the phasing of implementation. Implementation may be a short term or a long term programme. Depending on the nature of the change programme, the implementation process may have to be phased. Phasing may be either temporal (in terms of time), or spatial (in terms of the various parts of locations of an organisation). Temporal phasing would involve preparation of a plan in which some elements of innovation may be introduced earlier, and some other elements may be introduced later. For example, in some organisations in which a new system of human resource management is introduced, performance appraisal is implemented first, and after it gets stabilised, potential appraisal system is implemented. The whole system may not be implemented at one time. Phasing may help to stabilise some elements of the change programme before the next elements are introduced.

Phasing can also be in relation to the parts of the organisation. For example, the change programme may be implemented in some parts of the organisation first, followed by some other parts. If the organisation is a large one, it may be a good idea to implement the change programme in that part of the organisation where acceptability is high; experience may be collected in that part to see what new changes and modifications are needed in the programme. Such attention to phasing in the beginning is necessary.

Processes: Planning should also pay attention to various processes involved in implementation. Often the processes are neglected. Most of the time the underlying processes of implementation are taken for granted; this may lead to several difficulties. Enough attention needs to be paid to the process of collaboration, increasing the capability of the organisation to cope with problems as they arise, establishing norms of

openness and various other values which are necessary for the implementation of the change programme, developing creative relationships to deal with the problems, self-reliance, etc. If attention is paid to these processes in the beginning, implementation will become easier. It may be useful to understand which human processes and values are critical and therefore will require enough attention to make planning more effective.

Strategies: The strategy of implementation needs to be given attention in the beginning, at the planning stage. Questions like the following need to be included in the strategy: Will any help be taken from outside agencies? When will a more or less permanent structure be evolved (institutionalisation) and set up in the organisation? Which parts of the organisation will be selected for experimentation and initial implementation if phasing is accepted as a strategy? How will support be ensured to the various groups involved in implementation? What interlinkages need to be built for effective implementation etc.? All such questions need to be answered before implementation is finalised.

Havelock and Huberman, (1977) analysing the responses of 81 experts to several questions on implementation of educational innovations, suggest five factors of effective strategy formulation: participative problem solving (innovation should be controlled by the local people, it should be responsive to their needs, and should emphasise local resources and self-help), open input (innovation should be broadly and flexibly designed to make the maximum use of all ideas and resources from inside and outside); power (innovation should be clearly directed from above, using laws, formal networks of opinion), planned linkage (innovation should be carefully planned, based on clear and realistic objectives, dialogue between innovators and all relevant others, and high sensitivity to the user's actual situation).

5.3 MONITORING

A World Bank document in 1977 defines "monitoring" as: the gathering of information on the utilisation of project inputs, on unfolding of project activities, on timely generation of project outputs, and on circumstances that are critical to the effective implementation of the project. A document issued by the United Nations in 1978 on monitoring and evaluation defines the concept of monitoring as follows: The term monitoring usually refers to the process of routine periodic measurement of programme inputs, activities and outputs undertaken during programme implementation. Monitoring is normally concerned with the procurement, delivery and utilisation of programme resources, adherence to work schedules or progress made in the production of outputs. Both these definitions agree that the function of monitoring is to provide early warnings concerning shortfalls in inputs or outputs in order to enable the programme management to undertake timely corrective measures.

Monitoring is necessary to make implementation effective. Monitoring would mean ensuring that a plan proceeds according to the original design. It is necessary to set up a mechanism of monitoring and reviewing a change programme and its implementation. Monitoring and institutionalisation may be kept independent for sometime in an organisation. Further, the monitoring function may precede, and institutionalisation of the change (in the form of setting up a permanent or semi-permanent unit to take over that change programme) may be done later on, so that the advantages of monitoring may be fully utilised. There are several reasons why monitoring and institutionalisation may be kept independent for some time. While a monitoring group may be a temporary system, the group which takes over the change programme, and through which the change programme is institutionalised in the organisation will be a permanent or a semi-permanent system. Firstly, it is necessary to involve a broader group of people in the monitoring function. It is not possible to do so if the change programme is quickly institutionalised and a permanent unit or department takes over this function, and also performs the monitoring function. In order to make monitoring broad based, it may be useful to have representation of various groups in the implementation team (IT). This may be possible if the implementation team (IT) is only a temporary system. Secondly, if the function is institutionalised too early, the new department or unit will have a tendency to justify its existence, and may therefore not pay attention to several factors which may create problems in the implementation of the change. An independent and temporary group, not having any vested interest in the change programme, is likely to

pay attention to these difficulties much more easily. Thirdly, if the monitoring group continues to be an independent group, it may be able to attend to several dimensions which require continuous attention, and these may be neglected by a permanent or semi-permanent group because the group may be too busy with the day-to-day activities, and thus some important dimensions may be neglected in favour of the urgent ones, in the hope of coming back to these in the near future, which may never happen. And lastly, being a broad-based group the implementation team (IT) may be able to get more support of people in the total organisation.

Several dimensions of monitoring require attention. Some of these are mentioned as follows:

Implementation Team: A broad-based task group or implementation team (IT) should be set up to look after the implementation of the change programme and to monitor such a programme more effectively. It is useful to have almost a wholetime coordinator of such a group. This group, IT, may have representation from several parts of the organisation. IT should include people who are known for their creativity, who are positive and critical, and who are interested in providing support to new ideas. The convener of IT should have a high enough status in the organisation so that he may be able to get the necessary support for the group. He should also have high acceptance in the organisation; should have high task concern to pursue matters effectively; should enjoy creative work in which there is no authority involved; and should have interest in the field of the change programme.

> In one organisation where a new human resource development system was designed and implemented, a task group for implementation was set up even before the new department was created. Such a task force continued for sometime. The convener of the task force was well-known for his implementation skills and for his high task-orientation. The task group had representation from several sections of the organisation. After the task group functioned for some time, a new department was created in order to institutionalise the HRD system, and a senior person at the level of the director was appointed to be incharge of this new function. The convener of the task group was of the general manager level. However, the task group continued to function, and the chief of the new function (who was of the director's level) attended the meeting of the task group as a permanent invitee. Although he was of the senior grade, he continued to attend the meetings and provide necessary information about the functioning of the HRD system, whereas the implementation team continued to work on new dimensions, and transfer to the HRD department those dimensions on which enough stability had been reached.

The experience described above may indicate that in some organisations people who are acceptable can continue to have such a parallel temporary system for some time in order to provide support and critical feedback to the new function.

Minimum Control: Monitoring will be most effective when it is able to keep track of what is happening at various levels in the organisations, and at the same time provide enough support for local experimentation and make necessary modifications in the programme. Monitoring is a delicate affair. In one sense it is a control function, getting all the necessary information from time to time in order to take decisions, ensuring that the programme is carried out according to the design, reminding the people and communicating the seriousness of completing the schedules according to the plans. On the other hand, it also attempts to develop new norms of creativity, diversity, and experimentation. This combination is possible if the IT is using minimum formal controls, and yet is able to keep control of the implementation of the programme.

Review and Feedback: Implementation requies getting data and experiences about the use of a particular programme. Periodical reviews may be based on continuous feedback. Monitoring also involves providing feedback to the people on how well they are implementing or not implementing the programmes. The function of the review is to know what difficulties people are experiencing in implementing a programme, so that the necessary support in its implementation can be provided.

Dissemination of Information: As a result of review and feedback the IT may collect enough information about what is happening in the various parts of the organisation where the change is being implemented. The IT may prepared their own strategies of

collecting such information and disseminate the experiences of success to reinforce a sense of success amongst various people. Information which is needed to implement the change programme may also be disseminated from time to time. The implementation group may like to prepare a programme in advance of how such information is disseminated, and what will be the form of the dissemination. It may issue written instructions and may send written communication. At the same time it may convene some special seminars and meetings in order to discuss the problems and then disseminate the experiences.

5.4 ACTION AND ADAPTATION

The change programme requires certain steps to be taken, Action will cover all the details of what is to be implemented. Such implementation will involve various phases and the steps people and various groups take in relation to the change programme.

Fullan and Pomfret have suggested two main dimensions of implementation: what they call fidelity (the actual, use corresponding to the intended or the planned use), and mutual adaptation (flexibility, so that a programme gets developed and changed during the process of implementation). Adaptation has thus been suggested as one of the two main criteria of effectiveness of implementation. A programme in which no modifications are introduced later does not show effective implementation. Implementation would require understanding and analysing the experiences people have with the programme and learning from them. This would be reflected in the modifications which are made in the programme. Adaptation may be both general, in the sense that some modifications may be made in the original plan, and some may be local. Local adaptations may indicate that while the programme is being implemented throughout the organisation, some units in the organisation may make necessary modifications in the programme to suit their requirements. Such an approach may give necessary flexibility to the change programme.

Dealing with consequences of change: A change being an alien element, causes disturbance. When a change is introduced in an organisation, it may cause some threat to some people. Such threats are more imaginary than real. It may also produce some immediate "negative" results. For example the introduction of a job enrichment programme, or work redesign programme may result in an initial fall in productivity, initial dissatisfaction among some people who may have to learn new things, and initial concern among the supervisors about their functions. The term "initial" has been used to indicate that these are temporary symptoms of disturbance which is a necessary part of change. The organisation has to deal with such consequences. If attention is not paid to such consequences, the symptoms may accumulate and may contribute to the rejection of change. This is once again similar to the problem of the transplantation of a part in a human body. Transplantation produces some disturbances, showing up in the form of high temperature, change in blood pressure; etc. These symptoms have to be controlled. If the early period can be managed properly, the transplantation may be successful.

It has been reported in the change efforts of job enrichment and work redesign that immediately after the change is introduced in an organisation, there is a fall in production. In work redesigning efforts, the dissatisfaction of the supervisory staff increases gradually, when they perceive that their roles are becoming redundant. Unless the change programme does something about the dissatisfaction of the supervisory staff (e.g., redesigning their roles, involving them in some critical decisions, etc.), the change may not succeed. The supervisory staff may create several obstacles.

In one organisation a new human resource system was introduced, which included a new performance appraisal system. As a result of more open discussion of the objectives of the employees with their managers, and later discussion of the favourable and unfavourable factors for performance (which were parts of the new appraisal system) the employees wanted to know more details about the ratings. Some managers felt uneasy, and thought that the new system was increasing "indiscipline". The problem was solved by organising training programmes for employees (appraisees) and managers (appraisers) on how to receive and give feedback and counselling. In another organisation these consequences were anticipated, and a similar remedial action was taken prior to the introduction of the new system. This helped to reduce the problem considerably.

5.5 SUPPORT

Support of various kinds will be required for the implementation of a programme. The main support comes from administrative and managerial groups. Some main dimensions of support area suggested are as follows:

Training: New skills are needed for the implementation of a programme. It is necessary to provide training for such skills. This may include some process skills such as, collaboration, openness, problem solving, decision making, etc. Or, these may be specific technical and work-oriented skills like the skills and collecting information for specific purposes.

Resources: Implementation would require support in terms of various types of resources such as, manpower, financial, and material resources, by people who are implementing the programmes. The implementation team provides such support by finding out what is needed from time to time. Resource support may be needed for all the three aspects – for monitoring, for implementing the action, and for bringing about some modifications and adaptations.

Top Management commitment: A critical dimension of support is the top management support. The involvement of the top management may be necessary. This may come about if enough signals are given by the top management, that they consider the change as important, that they are interested in its implementation, and they themselves are involved in the change. In one organisation where the HRD system was being implemented, there was less enthusiasm during the first year. Next year when it was known that the chief executive himself had sat with his secretary and had helped him to prepare the next year's plan and spent some time with him on the performance review, the implementation of the HRD system was faster. This was a kind of top management support in doing what the top management wanted other managers to do. In another case, the chief executive attended seminars which were initially organised to discuss the problems of implementation of the HRD system. This gave the signal of support by the top management.

Linkages: Support may also be required in terms of building linkages both with external (various other agencies) and internal departments and groups that may provide necessary help in the implementation of the programme. While the programme may officially be the responsibility of one group, it should be the responsibility of the whole organisation to implement it. The development of internal linkages between the IT and the proposed department or unit, between the IT and the line management, between the IT and the top management, etc., helps to provide the necessary support for the change.

Linkages are also needed between the internal people (IT or the internal facilitator), and the external consultants. An external consultant does not work by himself.

The IT to a great extent depends on vital linkages between the external consultant and the internal people in the organisation.

5.6 SUMMARY

In this unit, the importance of implementation, planning, monitoring of change are described. How to deal with consequences of change are explained. The support necessary for implementation of change such as what type of training is required, the resources required are explained. Support in terms of top management, linkages between external and internal department are specified.

5.7 SELF-ASSESSMENT TEST/QUESTIONS

1) Briefly explain the importance of implementation of change.
2) Explain, in details, the model of implementation of change in an organisation.

5.8 FURTHER READINGS

Discussion of implementation of change in this unit has been borrowed from Udai Pareek's chapter 8 "implementation of change in organisations" in Somnath Chattopadhyay and Udai Pareek *Managing Organisational Change*. Oxford & IBH, 1982.

Based on an extensive review of the various studies an implementation of curriculum innovations and doing factor analysis of large data M. Fullen and A. Pomfret have discussed the dynamics of implementation process in "Research on Curriculum and Instructions Implementation" *in Review of Educational Research*, 1977, 47 (2), 337-397. The findings are applicable to other fields also.

The issues of implementation of strategic programmes, have been discussed by Samuel Paul (1980) in *Strategic Management of Public Programs*. (Kennedy School of Government, Harvard University, Mimeographic).

Interesting material on strategy formulation for effective implementation can be found in *Solving Educational Problems* by R.G. Havelok A.M. Huberman Unesco, 1977.

NOTES

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Managing Change in Organisations

Block

2

DIAGNOSIS AND INTERVENTION

BLOCK 2 DIAGNOSIS AND INTERVENTION

This Block consists of 5 units: Unit 6 to Unit 10. Unit 6 describes the concept of organisational diagnosis i.e. issues related to diagnosis, possible domains of organisational diagnosis and the link between theory and practice of organisational diagnosis. Unit 7 discusses the issues related to methodology of organisational diagnosis. It explains how to plan and use diagnosis; the best possible approach for diagnosing; and different methods used for diagnosis. Unit 8 examines different diagnostic methods: Quantitative and qualitative. Description of observation, interview, questionnaire, survey feedback, projective methods archival/unobstrusive measures are given. The process of content analysis is explained. Unit 9 explains the concept of intervention, and different types of intervention in organisational change and how they are applied. Unit 10 describes the evaluation of organisational change programmes and its processes.

UNIT 6 ORGANISATIONAL DIAGNOSIS: ISSUES AND CONCEPTS — AN OVERVIEW

Objectives

After going through the unit, you should be able to:

- comprehend the concepts and assumptions of Organisational diagnosis..
- understand the dynamics of issues related to diagnosis.
- identify different possible domains of organisational diagnosis
- develop insight into the linkages between theory and practice of organisational diagnosis
- evaluate and think critically about the various models.

Structure

6.1 INTRODUCTION

In Unit 1 of Block1, various models of planned change have been indicated. These models envisage change as as a continuous process characterised by certain stages. This death as passes through its different periods: the baby stage, childhood state, preadolescent stage, adolescent stage, youth stage, etc. The person does not experience any discontinuity, yet each state has its own distinctiveness and characteristics. Similarly organisational changes are direction dominated rather than goal driven, continuous and marked by stages. From the eight stage sequential model of planned change presented earlier (units 1 and 2, viz. 1. Initiation, 2. Motivation, 3. Diagnosis, 4. information collection, 5. Deliberation, 6. Proposal, 7. Implementation, and 8. Stabilsation). The third and the fourth stages (Diagnosis and Information collection) are being given special treatment here under the shortened heading "Diagnosis". Subsequently, stages 7 and 8. viz., Implementation and Stabilisation, under the general libel "Intervention", will be further elaborated. Stages 5 and 6, viz. Deliberation and Proposal, being between the two major foci of diagnosis and intervention lean heavily on both of them.

Some authors have expanded the scope of the term intervention very broadly Schein (1969) stated that" **...every act on the part of the process consultant constitutes and intervention...**" (p. 98) though, at the same time, he viewed process consulting as comprising of two processes: diagnosis and intervention (Schein 1969). Later he observed that the entire range of activities that a consultant does with respect to an organisation. "**...can best be conceptualized as two types of interventions — diagnostic and confrontive...**" (Schein, 1988, p. 141). This dichotomy has its own problems. Diagnosis can be used for an intervention and an intervention can be used for a diagnosis. In fact the very act of diagnosis itself is an intervention; but there are intervention-free diagnoses as well as diagnoses-free interventions.

These two terms, diagnosis and intervention, will be used here as conceptual labels for two distinctly different phenomena. The difference stems from the basic principles that guide these two processes: diagnosis is centrally concerned with **knowing** whereas intervention with **doing**. To maintain this distinction, a consultant is a **diagnostician** when he is occupied with diagnosis. Similarly, the term, **interventionist**, coined by Argyris (1970), will be used here to denote that role of the consultant when he is occupied with intervention.

6.2 DIAGNOSIS — GENERAL CONSIDERATIONS

Most of the calculated management decisions are based on some sort of diagnosis. Every manager, irrespective of his level, is in a continuous cycle of diagnosis-decision-action-evaluation, so long as his decisions and actions are not impulsive. His ability to diagnose directly affects his performance. Top management often takes decisions forwarded by the managers at lower levels. The top managers have often to 'see', not with their eyes but with their ears. The ears listen to what the other managers have diagnosed. The direct contact with organisational reality is minimum at the lonely heights of the organisational top. Yet, periodically, they are supposed to know clearly what is happening within the organisation. Much data, helpful for diagnosis, are screened off by managers at the lower echelons at their own discretion. The upper level may thus be handicapped by less available information and data. Their level is the converging point of divergent views of the lower levels which make their own diagnoses. How many managements reject or synthesise these views without knowing the diagnostic bases from which their managers tend to operate?

Sometimes the management seeks help from external diagnosticians. Is this done in the interest of objectivity? It is to crosscheck its own views? In a recent study of 85 chief executives, by Bhattacharya, Chattopadhyay and Sengupta, it was found that about 85 per cent of the chief executives agreed quite strongly that one of the reasons for using external diagnosticians was to have objectivity. But when it came to comparing the management's own views with those of the outsider, only about 75 per cent agreed quite strongly with the proposition while 29 per cent quite strongly disagreed. Putting these two sets of data together, one may get an indication of the dilemma that prevails in the situation. Neither can be internal diagnosis be accepted, nor can it be rejected. One feels that the objectivity lies outside; one has to crosscheck the internal diagnoses. Yet, how can one agree to crosscheck one's own internal diagnoses since they often constitute the operating base? The dilemma seems to be. "Do I not trust and depend on my own instruments?"

To know ("gno") is the central concept in diagnosis. The urge to know, to sense what happens around an individual and integrate the experiences into a pattern, a syndrome, and to arrive at a distinguishing meaning of these experiences constitutes a basic urge of a variable, dynamic organism. This cognitive process of diagnosing is characterised by a high degree of selectivity in sensing. With selectivity, screening takes place. Differential preferences and specialisations emerge. Different schools of thinking develop. The specialisations which are likely to affect both internal managers and external diagnosticians, provide rich depth and breadth in differentiation and divergence. But the associated need for integration and convergence to a single point of action-decision remains more often than not unattended. The role of the top management is specifically to deal with this duality.

6.3 ORGANISATIONAL DIAGNOSIS — ITS CONCEPT

Diagnosis involves

- defining the episode under study by picking up the relevant "symptoms"
- arranging them into a pattern, and
- distinguishing them from other patterns.

A systematic process of diagnosis has been widely used in natural sciences, in applied sciences like forensic science and criminology, medicine, agriculture, engineering and in such other fields. In these spheres, diagnosis quite often ends when a name can be put to a distinguishable pattern of the mosaic of symptoms. For example, a criminologist's diagnosis is complete when he correlates all the relevant facts of a case and concludes it to be a murder and not a suicide; a physician or the radiologist concludes that it is a case of spondylitis (and not myocardial infarction); a psychologist diagnoses the man as having high achievement motivation (and that he is not a social deviant). Organisational diagnosis, essentially, follows the same process. But since organisational pathology has not been studied in any great detail, it is impossible at present to integrate symptoms into such precise and definite syndromes. Moreover, basic sciences have contributed a great deal to understanding cause-effect relationships in other fields of science and technology. Such contributions being limited in organisational sciences, a great deal of heuristic approaches necessarily come into play.

Because of these limitations, there are different expectations from the role of an organisational diagnostician; (a) he should diagnose to the point of describing the present ailment; or (b) he should add to it his prognosis: his estimates of the likely consequences over a period of time; or (c) in addition to diagnosis and prognosis, he should recommend prescriptions of active interventions. No firmly established norm has yet been developed regarding the extent to which the meaning of diagnosis should be extended. However, it would be pragmatic, if the process of diagnosis includes prognosis but not interventions'. More importantly, it should trigger a process of self-searching through a relationship of mutuality between the external diagnostician and the organisation.

In the study of Bhattacharyya, Chattopadhyay and Sengupta, attention of the chief executives was drawn to this mutuality. Only some chief executives (12 per cent) said that the diagnostician "made his own diagnosis; and announced it to us". But other chief executives saw different approaches: 7 per cent said, "he sold to us his way of looking at the problem"; 12 per cent asserted that "he presented a tentative diagnosis, subject to changing", 26 per cent said that "he defined the parameters of the problem, invited suggestions and evolved the diagnosis"; and lastly, in the opinion of 43 per cent, "he was able to involve us in jointly arriving at a diagnosis". These studies indicate the variability in approaches but also show the dominant trend.

The approaches to organisational diagnosis vary not only with the nature of relationship between the diagnostician and the organisation, but in a very substantive way depend on: (a) the preferred domain of diagnosis, (b) the methodology adopted in diagnosing, and (c) the assumptions in diagnosing.

6.4 DIAGNOCUBE: THE DOMAIN OF DIAGNOSIS

One of the concomitant aspects of specialisation is selectivity in the preferred domain of work. With the same patient, a homeopath and an allopath will have different domains of work; so will there be differences between the approaches of a neurosurgeon, an orthopaedic surgeon and an ophthalmologist. An organisation, defined as a synergistic aggregate of systems and subsystems, offers different domains to work upon. The concept of domain as used here differs from that given by van de Ven and Ferry (1980). According to him "Domain refers to the specific goals of an organisation in terms of the functions it performs, the products or services it renders, and the target population and market it serves". In this definition the concept of domain is embedded in the contextual factors. The definition by which the word "domain" has been used in this chapter refers to the areas of substantive activities or constituents in the content of the organisation.

The domains of organisational diagnosis can be conceived as bounded by four dimensions: (1) systems (2) components of the systems, (3) the coverage of area, and (4) the surrounding external environment. A model of domains of diagnosis is presented in Figure 6.1.

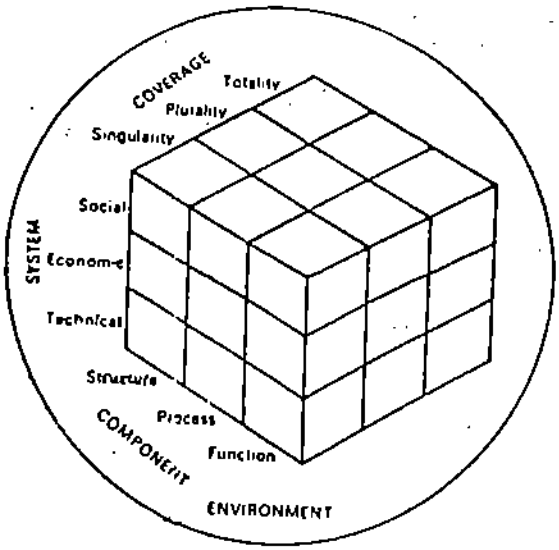

Figure 6.1 : Domains of Organisational Diagnosis

1) **Systems:** An organisation can be considered as a combination of SET—Social-Economic-Technical systems. The social system, that is the peoples system, consists of psychological, social, cultural and political subsystems arising out of people at work as individuals, groups and multiple groups in a techno-economic setting. The economic system includes procurement, allocation and utilisation of all resources, finance, cost marketing and the like, in a perspective setting made up by the other two systems—social and technical. The technical system includes work and technology required to perform the work in a perspective of socio-economic setting. Organisational diagnosis has often remained confined to any one of these systems.

2) **Components of the systems:** There are three components in each system where the diagnosis is undertaken: (a) structure, (b) process, and (c) function. Structure refers to all elements in the organisation and their comparatively enduring and lasting relationships and arrangements which have formal sanctions. Process refers to the manner in which events are conducted sequentially. Function includes strategic variables, performance variables, results and achievements and end products.

3) **The coverage of the area:** The coverage of the domain refers essentially to the area of the organisation opened up for diagnostic investigation. This may be in terms of time, space, people, events or phenomena occurring within the organisation. The coverage may be classified into three categories: (a) singularity, (b) plurality, and (c) totality of events in the life span of the organisation. For example, a medical diagnostician may be called in to diagnose a single episode of ailment (singularity), or a number of episodes and ailments (plurality), or the total health of the patient (totality). A diagnostician similarly can be called in to investigate a single episode of say, a strike, a relationship in a given department, marketing of a particular product, one decision of a particular investment, and so on. Plurality of coverage indicates the opening up of the organisation to more than one specific episode for investigation. The range of plurality will vary. Totality of coverage denotes a diagnosis based focussed on the entire organisation, or on any phenomenon in its entirety.

4) **The surrounding external environment:** These domains are encircled by the environment. Organisational diagnosis can be undertaken on environment relation to any one of the cells of the domains or without relating it to any specific cell.

Besides environmental investigations, the model thus provides 27 typologies of organisational diagnosis. Each typology, represented by each cell, has three dimensions. Economic-Structure-Plurality (ESP) will perhaps require the expertise of structure combined with knowledge of, say, engineering or chemistry. Social-Process-Singularity (SPS) will call for the expertise of a social scientist who is a process diagnostician and is skilled in working on a single episode.

It is also possible that within each typology there are variant forms and emphases. For example, within a social system there are psychological, sociological, political and cultural sub-systems, as mentioned before. Therefore, the specialisation of the diagnostician can further narrow down the focus of his diagnostic activity.

Often the diagnostician operates on more than one cell. But he can discern a distinct bias in his emphasising a specific cell. It may be better when diagnosticians are able to use more and more cells in combination. This typology is useful to provide the identifications of the base from which the diagnosis is made—may be by the manager or by the external diagnostician; and the other bases that can and should be added to it to get a meaningfully comprehensive picture.

6.5 THEORY IN ACTION: THE FRAMEWORK OF ORGANISATIONAL DIAGNOSIS

Beyond the diagnostic domain that the diagnostician selects to work upon, and the method that he chooses to use, are some of his basic assumptions regarding, man, organisation, man-in-the-organisation, quality of work life and the interrelationships that are crucial in organisational life. These assumptions in their turn also influence him to decide on the domain to work upon and to direct the process of diagnosis in a substantive manner.

In practice, diagnosticians have been observed to take different stances. The stance often taken in diagnosis is to examine the present state of affairs of the organisation in relation to its future goals; and then the strategic variables take the topmost priority. But the controversy arises in determining the goals of the organisation: (a) any organisation pursues multiple objectives and these objectives need not be necessarily congruent; (b) the objectives at a given phase of development are not the same as at another phase of development of the organisation; and (c) the impact of the environment of different types at different points of time will have different effects on the organisational objectives. Taken together, one may see that the **goal-oriented parameters of diagnosis** are not really static but are in a state of continuous flux.

Another approach pursued by the diagnostician is essentially normative. The organisation, at the point of time of diagnosis, is as if sick and therefore deviant from the normal. The role of the diagnostician is to find out where the deviations exist and also to estimate the nature and magnitude of these deviations such that ameliorative, corrective action can be taken to revert it back to the normal. This is the stance of the physcians in diagnosing patients' ailments. When they find that the deterioration is irreversible, they attempt to arrest or retard the further progress of the disease. Some 'business healers' tend to follow the same principle.

The assumptions about organisational diagnosis have been influenced by early conception of organisations as a machine or organism. The fact of the matter is that an organisation is neither a machine nor an organism. The analogies are valid only up to a certain level. The mechanistic approach to find the optimal fit of factors leading to a normative existence, or the organismic approach to find adaptation to environment are, therefore, likely to be functional only up to a point.

Yet another approach, basically influenced by the practice of psychoanalysis, relies on the diagnostician analysing how he himself is made to feel at different stages of the relationship between the consultant and the client; and how those perceptions can be used to clarify the nature of the problems confronting the client (Bain, 1976). There are quite a few practitioners of this method. In this method also, the organisation-organism analogy is quite manifest; the client is ill; the ailment lies not in malfunctioning at the conscious level, but the cause is rooted somewhere deep down at the unconscious level of the organisation. Diagnosis of that mental block and the clients' deeper realisation of its are what is to be aimed at.

One uses concept like "health". But then what is health? A sense of well being. What is well being? Diverse answers from philosophies are possible. One talks about the guiding concepts, like dynamic homeostasis, coping ability, balance of integration and differentiation, negative entropy, equifinality, etc. Concepts have been borrowed from sciences like philosophy, physics, chemistry, thermodynamics, ecology and biology. There is nothing wrong in borrowing. Progress of science has been accelerated by such acculturation. But the fact that so many concepts from different disciplines are in active use, suggests that a more comprehensive and satisfying explanation is yet to emerge. In its absence, one has to work with what is currently available and work towards finding a better concept. Accordingly, approaches to diagnosis will also be diverse. But some choice can still be exercised.

The process of diagnosis which has built-in enabling effect, which increases the ability of the managers to be better diagnosticians such that they can use the process continually in the cycle of diagnosis-decision-action-evaluation. This mades the organisation self-reliant, may be better in the long run. The process of diagnosis that does not reduce everything into inputs, outputs and statistics, or into manipulative numbers, may provide a greater depth of vision and understanding about an organisation.

The process of diagnosis depends entirely on the theoretical construct that the diagnostician works with. These constructs help one understand an organisation, its mode of functioning, its various subsystems, its structure and design and so on. They help in developing models focussing on individual, intrapersonal and interpersonal processes, on group and group processes and on the total organisation and its macroprocesses.

The contemporary models indicate the diversity in approaches. But in most cases the range extends from external environmental analysis to the analysis of organisational performance. The diagnostician has some choices; either he can accept any of the existing models and conduct his diagnostic exploration accordingly; or he can build his own model to guide his own exploration. But what is extremely useful is to have some model before the actual diagnosis is conducted. In the absence of a model, one may possibly be at a loss to determine what to look for in the organisation and what data to collect. Even if data are amassed, they remain discrete, meaningless and therefore useless.

The process of diagnosis includes two basic features, divergence and convergence. The divergence starts from the focal point of a theory. From the theory constructs are evolved; they lead to operational models; operational models indicate the network of variables to be studies, variables under study indicate the date to be collected. Up to this point, the operational area becomes wider and wider. Once the data have been collected, the process of convergence starts. The volume of data has to be gradually reduced; analyses condense the data and ultimately they converge on the primary focal point—the organisational need. In the process some help is also rendered to theory building.

6.6 SELF-ASSESSMENT QUESTIONS

1) Explain the different approaches to organisational diagnosis.

2) Describe the process of organisational diagnosis.

3) What are the different domains of organisational diagnosis? Explain.

6.7 FURTHER READINGS

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UNIT 7 DIAGNOSTIC METHODOLOGY: SALIENT FEATURES

Objectives

After going through the unit you should be able to:

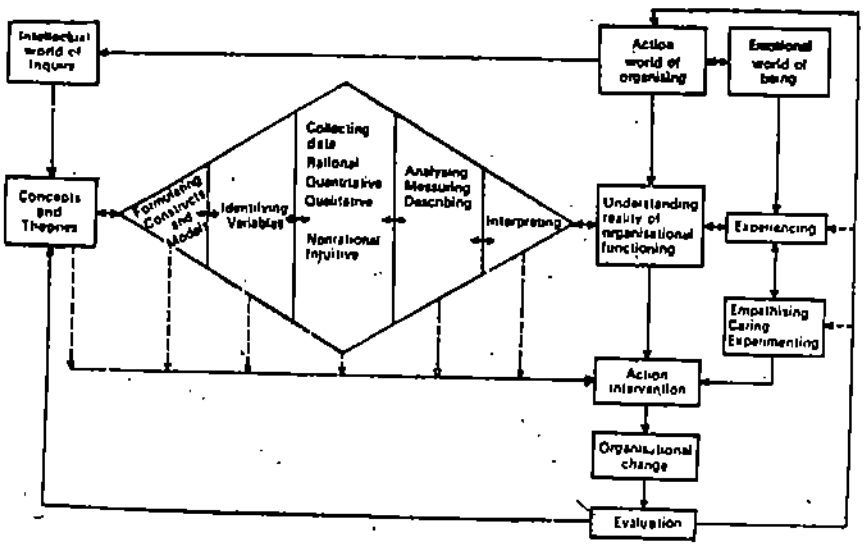
- comprehend some Relevant Methodological Issues in diagnosis
- identify factors Associated with Planning the Methodology of Diagnosis
- plan diagnosis of your area of work and authority
- identify and use different approaches possible in selection of Methods
- understand issues related to data collection and instruments of data collection
- be acquainted with the Broad Range of Different Methods used for Diagnosis.

Structure

7.1 DIAGNOSTIC PROCESS AND METHODS: A MODEL

The focal purpose of organisational diagnosis is to obtain an understanding of the reality of organisational functioning. The diagnosis of this reality can be obtained in three ways via (a) knowledge, (b) action and (c) emotion.

Exhibit 7.1
Organisational Diagnosis and Intervention



The process of diagnosis has been provided in a model Exhibit (Figure 7.1). Man's basic stance lies in three worlds—knowledge (Jnana), Emotion (Bhakti) and Action (Karma); the starting point for diagnosis is the action world of organising. Influencing this action world and influenced by it are the intellectual world of industry and the emotional world of being. The intellectual world of inquiry is the realm of an accumulated storehouse of human knowledge evolved through endless pursuit of continuous inquiry over time. On the other hand, there is the world of being and becoming where the creativity in man seeks expression of self. When man builds an organisation it is to fulfil his acting self influenced by his 'knowing self' based on whatever knowledge he has been able to acquire from the world of inquiry; but, at the same time, his organisation is also a mode of his self expression. What an organisation is to an organisation builder, a painting is to a painter and music to a musician—all are expressions of self.

Concepts and theories bearing upon the relevant domain of diagnosis are derived from the storehouse of the world of inquiry. From these *concepts and constructs,* operational models are formulated. Basically, from these *constructs and models,* those variables are identified on which date needs to be collected. The data can be rational, quantitative, qualitative, unobtrusive, non-rational, or integrative (refer to unit 6). Starting from the concepts and theories, upto this point, the diagnostic process is divergent as the scope increases continually. Once the data are collected, the process of convergence starts. After data collection, analysis is undertaken. There may be measuring, or describing without measuring. Triangulation becomes a necessity if the multi-method data collection has been resorted to. At the next stage is interpretation. Through interpretation emerges the understanding of the reality of organisational functioning—the central aspect in the diagnostic process. Between the concepts and understanding the reality of organisational functioning one visualises two-way iterative relationships.

The action world of organising directly gives rise to an understanding of the reality of organisational functioning. This is direct phenomenological knowledge. From the world of being emerges experiencing. The personalised experiencing also builds an understanding of organisational reality. Experiencing leads to subjective, intimate understanding: theory-based interpretation deliberately tries to develop objective, detached understanding. In the diagnostic process, all the *three* models are important.

Action intervention follows the understanding of organisational reality and is determined largely by this understanding. It is also influenced in one way or the other. by concepts, theories, constructs, models, variables studied, data collected, instruments of data collection, their analysis and interpretation.

Lawler et al (1980) consider that (a) concepts and theories for understanding organisations, (b) measurement tools to collect valid data about organisational effectiveness, and (c) technologies for changing organisations, are tools necessary for providing the capability to improve organisations. According to them, each set of tools aids in the development of other tools, but measurement tools are extremely central to the development and use of other areas.

Action intervention is also influenced, on the other hand, by empathising, caring and experimenting flowing out of experiencing. Action intervention guided by proper technology of change brings about organisational change. Organisational change is followed by evaluation of change and the state of effectiveness achieved. This evaluation has a feedback loop to the action world of organising on the one hand, and on further building of concepts and theories on the other.

From the above model, it will be apparent that there are more than one major ways of diagnosing. From the emotional way of being one has to capture the experiences in a meaningful way. The psychoanalytical approach quite often takes this route between the clinician and the client. Psychoanalytical approach, and at times anthropological methods, of understanding an organisation are based on exploring the experiences emerging from the emotional world and identifying significant syndromes and patterns. The continuous involvement of the client managers in their action world

gives them directly an understanding of what is happening. This understanding is valuable. This kind of diagnosis is a regular instrument for a manager for his regular operation. He therefore may not be able to articulate this understanding in precise conceptual constructs. But the fact that is important is that he has diagnosed; and this diagnosis is valid enough. The problem arises when this diagnosis is not enough. For example, when different managers differ amongst themselves in terms of their personalised reality perceptions—where each one may have valid perceptions based on his particular assumptions and points of view. Normally, the inadequacy of the above approaches compels the organisation to take the third way—the path of inquiry. In the following discussion, emphasis will be accorded mainly to this mode.

7.2 METHODOLOGICAL PLANNING

In planning, some of the points to be considered are:

- *how* to conduct the diagnosis
- the *procedure* to be followed
- the *strategy* to be adopted
- the resources (time, people, place, money, etc.) available
- the client's need(s)
- the extent to which the client system agrees with the plan
- the competence of the diagnostician
- the choice of the method(s) as the ideal, fit.

There are different trends in methodological planning. The trends range from hunches, and educated guesses to applied organisational research. At this point, it may be worthwhile to ponder as to at what stage an external diagnostician is called in. The research by Bhattacharyya, Chattopadhyay and Sengupta obtained some interesting data from the study mentioned earlier. Out of the 85 chief executives, 26% said that before calling in the diagnostician the organisation had already identified the problem; 54% said they had a reasonably clear idea of the problem; only 18% had some general notion but some uncertainty associated with it. Diagnosticians are not called in when the client organisation is uneasy or very uncertain about the problem.

This implies that in many of the organisations, the management has already decided the domain of diagnosis and has a set of expectations regarding the possible diagnosis. Such a situation may help as well as hinder the actual process of diagnosis. It may help because it creates greater awareness and involvement on the part of the management to collaborate with the diagnostician. It is thus easier to accept his recommendations and the reservation to associate him for implementation is less.

But the situation may hinder diagnosis in more than one way: (a) it may become a self-fulfilling prophecy; (b) if the diagnostician does not have a strong sense of professional adequacy, he may be sucked into compliance when a different viewpoint could have been pursued; (c) it may limit the *possible search in diagnostic* operation to a narrow field; and (d) in the case of difference in points of view, the very fact of a difference may create a disturbance in the power dynamics within the organisation, even though the diagnostician may not like it or want to be a party to it; and this may endanger the acceptance of a diagnosis.

7.3 METHODOLOGICAL APPROACHES

All diagnoses are based on the observation of significant facts converted into data—qualitative or quantitative. Even "pure" hunches are based on data. One may either consciously go for the data in a planned manner, or one may not, and that makes the difference. Conscious planning may also be different. Some of the approaches are mentioned here.

(a) Diagnosis and Research

Research is emerging as a sophisticated approach to diagnosis. Many of the scientific methods, techniques and tools are in use. Methods have been borrowed from diverse disciplines of science like mathematics, statistics, operations research, natural sciences, engineering and technology, psychology, sociology, anthropology and political science. Borrowing from a wide variety of creditors, leads the debtor into a peculiar problem: the debtor loses his own identity. In organisational research, one finds natural experiments, laboratory experiments, field experiments; mathematical models and computer simulations, management games and operations research; survey, field studies and case studies; and action research. The tools of data collection also vary from participant observation to structured questionnaires, from direct questions to unobtrusive measures.

Are basic researches relevant for organisational diagnosis? Inquiry is qualitative research aimed at the development of concepts, laws, principles, theories and hypotheses. The hypotheses and ideas drawn from inquiry are empirically established, and movements towards generalisations are made in quantitative research. These activities are necessary; they provide the mental set, the conceptual framework, to the diagnostician enabling him in the process of diagnosis. By mere amassing of data, a diagnostician cannot find the problem if he does not use the most practical tool that is called 'theory' which binds the data together in a meaningful whole. In the words of Rigby (1965), "It is worth emphasising again that the purpose of basic research is to provide an explanation for phenomena and not to solve operational problems". But diagnosis is essentially to solve operational problems.

Ackoff (1962) identified six phases of applied research:

1) Formulating the problem
2) Constructing model
3) Testing the model
4) Deriving a solution from the model
5) Testing
6) Implementing and solution.

In applied research the basic block is the problem formulation. Problem formulation depends, as Ackoff states, on identification of the decision maker, his relevant objectives, the possible courses of action and the context. Quite often many of these are difficult to obtain. If organisational diagnosis, strictly speaking, does not include problem solving but concentrates on problem identification, applied research, by definition, then starts where diagnosis ends. Then how does one use applied research in diagnosis? For example, estimation of serum cholesterol from a blood sample has to undergo a strictly prescribed procedure. Only a clinician who has knowledge of average range of serum cholesterol data in a given habitat and the relationship of serum cholesterol with cardiac problems in a given culture, can make the diagnosis. The point of interest is that the particular estimation of cholesterol from the sample to be diagnosed has to go through the similar procedure as in research, but by itself it is not a research. Diagnosis, by itself, may not be an applied research though it may and often does utilise the same research methods, techniques and tools.

Diagnosis emerges as a consequence of many applied researches. In a comprehensive study of all 18 hospitals in Delhi. Chattopadhyay and Agrawal (1976) had the primary objective of testing the theoretical constructs of work motivation. But the study yielded rich diagnostic indications also in terms of organisational health. The interesting outcome of the event was that the hospital which came out as the best amongst them all was most concerned about the findings and ultimately undertook an O.D. Project to improve its organisational health further. The hospitals which "needed" it most, developed cold feet. They accepted the findings but could not do anything about them. The attitude seemed to be, "Why open Pandora's Box? The political dynamics that it would create and the heat that it will generate, will be unbearable; leave it where it is." Subsequently, at various points of time, enquiry committees were formed, and one suspects, these will continue to be formed in future years also.

(b) Diagnostic Studies

It may be posited that diagnostic studies constitute a special class of studies. Selltiz, Wringhsman and Cook (1976) have broadly classified research purpose into four groups: (1) to gain familiarity with a phenomenon or to achieve new insights into it; (2) to portray accurately the characteristics of a particular individual, situation or group; (3) to determine the frequency with which something occurs or is associated with something else; and (4) to test a hypothesis of a causal relationship between variables. The first purpose is served by Exploratory or Formulative studies: the second and third purposes are served by Descriptive studies, and the fourth purpose is served by Causal Relationship studies which are mostly experiment based. It may be apparent that in a diagnostic study all or some of the purposes mentioned above may be required to be pursued. However, depending upon the requirement, the primary focus may be on any one of the purposes. Once the purpose is isolated the type of research can be identified and the appropriate methodology can be employed.

The major objective of diagnostic studies, as contrasted with other types of studies, is to formulate or isolate the problem(s) faced by an organisation, which is unique in time, place, and people.

If theory building still takes place, it is of secondary concern. The foundation of theory is generally not building the educated, substantiated ideas of facts, but more frequently based on ranges from vague, inchoate, inarticulated ideas to unconfirmed convictions, from unnoticed facts to mass of correlated and uncorrelated data, from tangible production data to the rumoured belief of a leader who runs the government or is in the prison. Theoretically it can employ any methodology of any branch of science provided it can deliver the goods in time. For this purpose quick and ready methods are often the preferred vehicles in this odyssey into the unknown.

7.4 COLLECTION OF DATA

Collection of data is beset by many problems. As a result diverse strategies to tackle these problems emerge. A few of the many problems faced are mentioned here.

(a) Quantitative or Qualitative Data

Once the operational construct has been formulated the diagnostician has to determine what kind of variables—quantitative or qualitative data—will be needed to make a valid diagnosis. Downey and Ireland (1979) have shown how different workers have used both types of variables in operationalising concepts. Striking a strong note Miles (1979) has stated that qualitative data is an attractive nuisance. Attractive aspects of qualitative data are real, but the problems in managing the data collection, and more particularly in analysing it scientifically, requires methodological inquiry. "Without more such inquiry qualitative research on organisations cannot be expected to transcend story-telling..." (Miles, 1979).

It may appear a truism to state that tangible data are more easily available than intangible data. But anyone who has anything to do with real life statistics would perhaps wish it were really true. How often does one get exact figures?

In diagnostic studies it is easier to have data on a technical system than on a social system, and, with moderate difficulty on an economic system. Similarly, on the difficulty range, one may put process data as the most difficult to obtain, followed by function data, and structure data. Even in the case of structure data, it is easier to get data on elements than on their interrelationships. For diagnosis, one often requires not only the quantitative data, but also perceptions, opinions, beliefs, values and critical thoughts of people in the organisation. One seeks the views of the members of the organisation not only on the social system but on the technical and economic systems as well. Many diagnosticians, experts in quantitative methods, are required to deal with this software. Are they equipped with the appropriate methods, like interviewing? The social scientists who are skilled in the process of collecton of these

'software' data, are they also skilled in handling data which lie beyond the social system? Even among the social scientists the basic preferences are varied, based on the particular discipline in which their anchorage is moored like whether one is from the disciplines of psychology or anthropology.

An organisation is a dynamic system where things happen fast. Series of events move in a process. Collection of data at a given point of time is like taking a still shot of a moving object. It fails to capture the dynamic nature of the organisational reality. Diagnostic data often provide the still picture of the company. For example, a part of a problem can be visualised even by looking at the organisational chart. The chart may represent the positional structure at a given point of time but the dynamics that it obtains may be different six months later, if not even after six days. A diagnostician faces an added dilemmas in this situation: (a) in an everchanging dynamic situation what is relevant in 'here and now' is not relevant in 'there and then', in the past or in the future, (b) a process is a continuity; the vision of the future together with the forces of the past mould the 'here and now' of the organisation. The dilemma is in the choice between discontinuity and continuity. What kind of data collection then can be satisfying?

In an organisation, employees have clear differences in their demographic and orientational background. While developing an instrument to measure organisational environment (Chattopadhyay, 1975), it was found that what is relevant to the upper level of management is not relevant to the employees at the lower level. Yet how would one arrive at a composite picture of the total organisation? It was also learnt, that the questionnaire suitable for industries in the private sector loses some of its sensitivity when used in the industries in the public sector. There is hardly any instrument which is universally applicable.

b) Unobtrusive Measures

From the discussion mentioned above, it is clear that one may have to generate new data such as perceptions and views of employees by their self reporting, activated by one or the other kind of data collection method, or by the diagnostician observing processes and events and hence discovering new data. But one may also understand that an organisation has a vast reservoir of data—dead or alive, static and dynamic, hidden and manifest. Webb et. el (1966) drew the attention of the researchers to this rich source of data which can be used as unobtrusive measures in diagnosis. From the organisational charts, various records, documents, written communication, files, minutes of the board room and bills, to the size of the table, colour of the telephone, the design on the carpet, air-conditioner in the room—a wide range of data source is there for an imaginative diagnostician to use. One may encounter problems in coding and analysis—the quality may be poor, consistency, particularly overtime, may be lacking, systematic recording may be absent.

Often the data one collects through the usual methods are contaminated by reactivity—the respondent knows that he is in the study and he reacts. Unobtrusive measures try to eliminate this contamination, but face the problem of validity. In the future the most promising of all areas seems to be the area of physical equipment of gadgets. Two-way mirror, sophisticated photography, ultrasonic devices, transmitters, cassette recorders and various other super electronic miniaturised instruments that are in use or will be developed, will have a great impact on the technology of data collection. What was to be found in science fiction or in a spy thriller may enter into organisational research.

Unobstrusive measures require imaginative identification of data and planning of its collection. It also requires imaginative linkage in interpretations. Notwithstanding its limitations, unobtrusive measures offer great scope to the diagnostician. Recently Webb and Weick (1979) have reminded the investigators to turn ceremonial citations into substance.

7.5 INSTRUMENTS OF DATA COLLECTION

Instruments required for data collection depend essentially on the variables identified for study. The nature and characteristics of the data indicate the type of instrument to be used. If the diagnosis starts from the final outcome variables, like performance or satisfactions, one would immediately recognise the need for different instruments. Many of the performance variables, like productivity, profit, etc. can be measured by archival data. But, for collection of data from archieves and for unobtrusive measures, there cannot be a set pattern. The researcher's background of the diagnostician may be of some help to him in formulating his own instruments. Similarly there is no ready-to-use tool for collecting data on most of the variables in economic and technical sub-systems. Yet for many diagnosticians these are the "substantive" data. There is also no set tool for collecting data on many of the dynamic processes operating in the organisation. Because the diagnostician has to us his own ingenuity in developing his own instruments for data collection, the validity and reliability of the instruments suffer; inter-organisation comparison becomes difficult, and generalisability becomes limited. Partly as a consequence of this, it has become difficult to delineate the syndromes of illness, to cluster the symptoms of a particular disease together and to accord a lable or a name to syndrome for ready reckoning of a particular organisational illnes as the medical diagnosticians have done.

Some instruments are available when the domain of diagnosis is the social system and its interface with other domains. Most of the investigators have designed one or the other instruments. To mention some of the instruments one likes to cite Likert (1961, 1967), Taylor Bowers (1972), Levinson (1972), Litwin and Stringer (1968) Van de Ven and Ferry (1980) amongst others.

In India, Pareek and Rao (1974) have prepared a directory which provides exhaustive lists of different types of instruments developed and used in Indian organisations as well as those adapted to suit Indian conditions.

Chattopadhyay (1975) developed an instrument for measuring organisational environment, which has been revised several times, and has been included in an earlier unit. This has been used in different Indian organisations both for research and diagnosis purpose. The instrument is used for comparison with some other instruments at Faculty of Management Studies. Delhi University and IIM (Ahmedabad) has been marked for its sophistication, validity and sensitivity.

Another instrument MAO (C)—Motivational Analysis of Organisation (Climate) which has been used in different organisations is by Parkeek (1977) who has developed a number of other instruments on different aspects of organisational functioning like instruments on role efficacy, role effectiveness, etc.

One feels that there is an immense scope for the construction of good instruments on various aspects of organisational life and functioning in India which have hitherto remained quite neglected.

7.6 OVERVIEW OF METHODS

Some of the methods generaly followed are given in the Exhibit. The methods can be classified along two dimensions (a) the relationship between diagnostician and client organisation, and (b) on the nature of the methods.

a) The relationships are normally of three types: (1) diagnostician plays the active, dominant role: where conceptualisation, data generation, analysis and interpretation and convergence of ideas to delineate the problem revolve around him. The client's involvement is only to the extent of providing data from within himself, or from the organisation—from the records, files and books in the

archives, or by providing the entry to the situation where the diagnostician collects the data directly; (2) diagnostician and client both are interdependent in a mutually participative manner. In this situation both may work together through the entire process of diagnosis or they may apportion the work between themselves and share with each other at selected phases; (3) the client plays an active role and the diagnostician plays a supportive role—diagnostician often creates a situation where the client conceptualises, generates data, analyses and interprets and formulates the problem.

b) The nature of the methods can be of two types; (1) the methods may be more structured, instrumented, mechanistic, following the rules of scientific methodology with rigour; and (2) the methods may be less structured, more open, more organic.

Though the present practice of organisation diagnosis mainly follows diagnostician-active structured methods', the desirable trend should be movement towards client active, less structured organic methods or in the diagnostician-centred method, the diagnostician plays a central role though he is an outsider and it is likely that he may not be aware of the entire range of organisational dynamics or grasp the full significance of it. His expert power in science may create a distance between him and the clients. Science and scientific research have a tremendous prestige value. The prestige and power that are bedded in science, besides its functional contribution, are also reasons why science is being utilised for top-level diagnostic work in public and private institutions. Operations research, management science, and systems analysis, engineering as well as social sciences have brought science into the diagnosis process. But one should realise what Ackoff (1962) has stated beautifully:

> ...Most complex management problems cannot yet be completely analysed by science: not all the factors can be handled quantitatively. In almost all broad management problems the solutions offered by science are conditional, and the conditions that pertain must be established by managerial judgement based on long experience with the factors involved.

The extension of this logic naturally indicates the need for organisational members to get more actively involved in diagnosis. With their involvement they may develop a' sense of ownership of the diagnosis and commitment to solve the problems. This will make them aware of the sensitive to process and encourage them to equip themselves better to undertake diagnosis on their own. Self-reliance of the client system is the preferred value for both the diagnostician and the organisation.

Moreover, a diagnostic method may constitute an intervention in the organisation. The people that are interviewed and the questions that are asked and the fact that something is happening there make a certain impact on the ongoing dynamics of the organisation. There are mainly two alternative courses open; to depend mostly on unobtrusive measures or involve the people in the organisation such that the process is open and speculation is less.

Diagnostic Methods

Relationship between Diagnostician and Client Orientation

Nature of Methods	Diagnostician active, Client passive	Mutually participative	Diagnostician Passive, Client active
More structured, rigorous	• Experiments Survey Interview Questionnaire Observation Models Management games • Content analysis Contentless analysis Sociometry Interaction Process analysis Interpersonal behaviour analysis,	• Confrontation Meeting Self Observation • Self Observation central signalling Diaries Self Reports Time budgets Action research Group feedback analysis. • Survey feedback Top Manager's	• Organisation mirror. • Image Sharing • Inter-role exploration • Motivation development lab • Instrumental lab.

	• Small group Interaction analysis, • Motion Study, • Record Study, • Study of charts, graphs, documents, files • Unobstrusive measures.	• diagnostic meeting. • Diagnostic committee. • Critical incidents analysis.	
Less structured, organic	• Participant observation • Semiprojective techniques. • Projective techniques. • Process observation. • Clinical study. • Psychological interpretation of events, episodes.	• Survey-case-analysis feedback. • Corporate-excellence diagnosis (Post T-Group) • Family group diagnostic meetings. • Process analysis	• Motivation development • Family T-Group OD Lab. • Unstructured interview (Clinical) Sensing Family group-diagnostic meeting.

7.7 SELF-ASSESSMENT QUESTIONS

1) Describe the factors to be considered for diagnostic methodology.

2) Explain different approaches used for diagnosis.

3) What are the problems involved in the collection of Data? explain.

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UNIT 8 DIAGNOSTIC METHODS: QUANTITATIVE—QUALITATIVE

Objectives

After going through this unit you will be able to:

- understand structured observational methods—their basic properties and when to use them
- differentiate diagnostic methods employing observation
- follow the processes involved in individual interview
- describe process involved in group interview
- explain characteristics of an interview Schedule/Questionnaire
- appreciate the importance of survey feedback
- use projective methods
- collect data using Archival/unobtrusive measures
- undertake further investigation of content analysis.

Structure

8.1 INTRODUCTION

After exploring the conceptual issues in diagnosis, one would like to familiarize oneself with specific diagnostic methods. The methods can be used in various names. But at their core only a few substantive processes of obtaining data and sense of what is happening occur.

Schein (1988) observes "Basically, the consultant has only three different methods by which he can gather data: 1. Direct observation 2. Individual or group interviews 3. Questionnaires or some other survey instrument to be filled out. (P. 148-149)". Similarly, clear demarcation between Qualitative and Quantitative methods is difficult to make as many qualitative methods can be converted into a quantitative method ultimately. However, from the thrusts in the Data Collection process, the initial quantitative as well as qualitative nature of the method can be understood. Brief outlines of some of the major techniques are presented below.

8.2 DATA COLLECTION BY STRUCTURAL OBSERVATIONAL METHOD

Everyone observes people, things and events. Structured observational method means planned, methodical and accurate watching with the subject observed, as far as possible, *in situ,* that is in its normal setting. Take for example, a top management meeting from which a consultant wants to generate data by observational method. He takes the role of an observer. What he hears and sees in the meeting can be converted into data if what he hears and sees can be accurately and systematically recorded according to a plan. He may decide to collect data about interpersonal communication in work situation amongst the top executives, or the decision making process or the influence process. There can be a wide range of behaviour processes.

Whatever he wants to observe, say for example communication, he should have a plan and a distinct method. He decides to record for the entire duration of the meeting, (he has a choice of random sampling of time or observing at a fixed regular interval) who speaks after whom (he has a choice of recording who speaks to whom) on a sheet of paper in which the names of members in the meeting are written. He draws a line between the first speaker and the second, between the second and the third and so on in almost a continuous flow of lines. He can change the sheet of paper at intervals of 30 minutes. He thus obtains the graphic presentation of the communication process for every half hour period. He can combine the graphs on a new graph to obtain the picture of the entire meeting. He has an option of another method of observation. He takes a sheet of paper, writes down the names or identifying marks of the members in a column and the rows are divided into periods of 30 minutes. In each cell he enters the tally mark as a person speaks. He can obtain thus the speaking frequency of different members.

The observational method has been of wide use in almost all branches of science and technology. One may recall the classical incident of observations made by Mendel, the originator of the modern science of genetics. He observed the flowers of peas. He discovered the pattern in the colours developed in the flowers and that formed the basis of his of theory genetic inheritance. This observation was later replicated in numerous carefully designed experiments with many more variables included. From a microscope to a telescope, from human perception and sensation to space satellites—science has built innumerable instruments for observation. It is needless to reiterate that observational methods are fundamental to the medical profession. Having considered the importance and the range of usage of this method it may be necessary to articulate some of the properties and characteristics of this methods.

8.2.1 Some Basic Properties of Observational Methods

Earlier it was stated that observation is planned, methodical, accurate watching. Some of the properties that make it so are indicated below:

1) What is being observed must be observable. For example, behaviours are observable; intentions are not, they are inferred. A process cannot be observed; observation of discreet behaviour on a given point of time, repeated in sequence over a period of time, when conceptually linked up and integrated, the idea of a process can be developed inferentially. One does not make a movie; one takes only a shot at a time; the sequentially arranged shots make a movie. A shot can be observed.

2) What is observed may be particular behaviours, settings, events or things.

3) What is observed—the particular behaviours settings, events or things—must be relevant to the aims of diagnosis directly; or indirectly through the variables interlinked in the conceptual construct that holds the aims of the particular diagnosis.

4) For enabling quantification, a set of behaviours is generally obtained. This can be had by multiple measures in different settings. Composite measures can overcome the flaws of individual measures and can provide a more complete picture.

5) The origin of what is observed must be *"in situ"*. If a person or persons are being observed, the person or persons must be in their natural setting as far as possible.

6) Observers may make subtle changes without destroying the dominant features of the natural setting. This is done to obtain greater clarity on the variable under study. But the more the setting becomes contrived, the more the process tilts towards experimental methodology.

7) Observers make choices in selecting what they observe and edit the observed before, during and after—knowingly or unknowingly. This property makes the observed particular and not general; the more explicit the choices the more the scope for improving the diagnosis.

8) All or extensive information about the observed phenomenon cannot be retained. Retention of information after meaningful reduction through careful selection and editing, is called "recording". For example, continuous videotaped information by itself is not the 'record'. It contains much useless, extraneous, irrelevant information. When the relevant portions in the film are selected, edited, extracted and retained, they become 'records'.

9) Records by themselves are not data. When the records are encoded, that is, simplified through ratings, categories or frequency counts, they yield data. So, the original bulk of material through recording and encoding generates data. Codes can be used during observing the phenomenon when it occurs or later, when a record is available.

10) An observational study may aim at only description. It can also come close to experiment when observational methods are employed for hypothesis testing or hypothesis formulation.

Some of the major reasons why the observational methods are used and when they are used are indicated next.

8.2.2 When to Use Observational Methods

The properties indicated above (8.2.1) may provide a good insight into why and when the observational methods should be used. Some of these occasions are indicated below:

1) When a wide range of detail and immediacy are needed;

2) When the observed phenomenon needs to be modular and whole;

3) At the preliminary stages of an investigation to obtain information and an idea about the relevant parameters of the study.

4) When any limitation of the subjects has to be offset, for example, when someone has to articulate his thoughts, say on values and norms, through subjective interpretation and reflection and which he is not capable of doing.

5) When there is over-involvement of the subject in an activity rendering him unable to articulate his action.

6) When the subject is not aware of the activities because they are habitual or culture determined;

7) When observed phenomenon is not an individual phenomenon (for example, many interpersonal and group activities may fall in this category);

8) When the phenomenon is fleeting and may not be noticed by the person;

9) When the subject's report might be distorted for defensive purposes;

10) When the subjects do not have the language to describe their actions;

11) When other methods are not adequate to bring out data on variables like beliefs, values, attitudes, norms and better data can be obtained from the "acting out" of these variables;

12) When data needed are on the intimate relationship between the person and the setting, the contextual background of a behaviour or on the environment in operation with the subject;

13) Phenomena that are complex and multidimensional, whose naturalness is likely to be significantly altered by other methods;

14) When individual behaviour and group setting needs to be observed;

15) When the variables are too dangerous to create in a laboratory; when excessive and distasteful demands need to be made of the subjects and when laboratory inductions are unrepresentative of everyday life;

16) When data from actual actions are more important than the thoughts and feelings or self reporting of intellectual responses which can be contaminated with errors from numerous sources;

8.2.3 What is observed

What needs to be observed emerges from the aim of the diagnosis or from the construct formulating the aim. The observed phenomena can be extremely varied in keeping with the creativity, imagination and skill of the diagnostician and the type of data that he requires; the need of the client organisation; and the resources available. Some broad indications of behaviours commonly observed are indicated in the table 8.1. These behaviours are generally classified into four groups:

i) Non-verbal behaviour (ii) Spatial behaviour (iii) Extra linguistic behaviour (iv) Linguistic behaviour

Table 8.1: Behaviours Analysed By Observational Method

		I. Process dominant
		A. Focussed more
i)	Non-behaviour	a) Facial expressions b) Exchanged glances c) Body movements including gestures
ii)	Special behaviour	a) Interperson distance b) Spatial relationship c) Spatial perception d) Architectural perception e) Ownership, acquisition and defence of one's territory f) Conversational clustering
iii)	Extralinguistic behaviour	a) Vocal (pitch, loudness, timber etc.) b) Temporal (duration of speaking, duration of utterances, rate of speaking, rhythm, etc.) c) Interaction (tendencies to interrupt, dominate, facilitate, inhibit, etc.)
		II. Content dominant
iv)	Linguistic behaviour	a) Interaction Process Analysis (IPA). b) Interaction process scores c) Member-leader Analysis d) Behaviour scores system

In the above table only the observed behaviour of organisms (humans and animals) that are studied almost universally and of importance to organisational diagnosticians are mentioned. It does not include observation of phenomena other than behaviour because they are so numerous and varied. The characteristics of the setting and the context, come under observation. For example, while discussing how to uncover cultural assumptions in an organisation, Schein (1985) observes that one of the steps is "Systematic Observation and Checking" and states that "The outsider engages in systematic observation to calibrate the surprising experiences as best he can and to verify that the "surprising" events are indeed repeatable experiences and thus likely to be a reflection of the culture, not merely random or indiosyneratic events" (p. 114).

It should be clear that what has been presented so far is the basic active ingredient of observational methods. It is like grains of wheat: whether one uses that for seeds, breads or cakes is a matter of mode of working with those grains. Some diagnostic methods in which observational methods form the inner core are next discussed.

8.2.4 Diagnostic Methods Employing Observational Methods

Of the diagnostic methods mentioned in the previous unit that depend heavily on observational methods are presented here. This is not an exhaustive list but it provides an indication of applied modes. The methods are:

- Interaction process analysis
- Interpersonal behaviour analysis
- Small group interaction analysis
- Group process analysis
- Time study
- Motion study

A brief sketch is provided for these methods:

Interaction process analysis is based on studies of peer assessment, content analysis of value statements, personality tests. Bales's work on this method is monumental, and a great development has been made in its application as reported in his work (Bales *et al.*, 1979). He originally formulated 12 interaction categories. Borgatta (1962) refined Bales's approach by dropping some categories, subdividing some and adding a few more and formulated an 18-category system which is termed as Interaction Process Scores. Using the interaction process analysis for analysing teacher behaviour as developed by Flanders (1970), Pareek and Rao (1971) reported the study of teacher-student behaviour, modifying teacher behaviour and enriching classroom behaviour of students.

Interpersonal behaviour analysis takes into consideration various aspects of behaviour for analysis. For example, in the above mentioned study of Pareek and Rao (1971) the influence of teacher behaviours (as expressed by the actual behaviours of the teachers in the classroom) on the students' behaviours, namely, on their initiative, dependence—proneness, adjustment and group cohesiveness was reported. Mann (1967) developed a 16-category system of analysis divided into four areas: Impulse, Affection, Authority relation and Ego states. Some others used categories like Assertiveness, Withdrawal and Support of the TA categories like Parent, Adult, Child and so on.

Small Group interaction analysis focusses mainly on 'members' communication with each other and its implications. Most often this technique is employed in understanding the processes involved in one or a series of meetings. An illustration of this technique has been provided at the beginning of the section 8.1.

Group process analysis is very similar to small group interaction analysis and often the distinction between the two are blurred. This method is useful when a group is evolving from a collection of strangers towards becoming a team or when an existing team is breaking up. It can be used to study some of the processes like inclusion-exclusion, exercising power, emergence of interpersonal affection, integration and disintegration, cooperation and conflict, leadership, cohesiveness, and emergence of norms, customs and values in the group.

Time study, Motion study, Work study are basically borrowed from Industrial Engineering discipline in which categorised reporting of actual engagement behaviour on job with machine, their sequencing and flow are studied. These studies bring out the patterned behaviour of the observed as well as the efficacy of the system—their utilisation, blocks in the system and ways to simplify the system. This is most widely used on workers, or on the combination of worker and machine. It has been used to analyse utilisation of machines on a shop floor. The method has been used also with the management staff of analyse how managers spend their time and what they actually do. Often work norms, job description, job analysis reward-punishment etc., are determined using these methods.

Task analysis, a modification of the work study method, is used to analyse activities and tasks performed by the employees in the perspective of the relevant mission, goals and objectives of the department and the anticipated roles to be performed by them. The method brings out clearly the gaps between the professed, expected and the

actual in mission, goals, objectives, roles, activities and tasks and enables to locate the areas of change and ascertain development need.

8.3 INDIVIDUAL AND GROUP INTERVIEWS

The two methods are described below in sequence.

8.3.1 Individual Interviews

Interviewing is a transaction between two persons in a face-to-face situation where one of them, the interviewer, asks the other person—the respondent, questions relevant to the aims of the diagnosis.

There are mainly two types of interviews: structured and unstructured or standardized and unstandardized. In a standardized interview, a questionnaire, which is called an interview schedule, is used. The questions and their sequence are unalterable. Some flexibility may be provided but that too has to be predetermined. Preference is for fixed adherence to the schedule. One can imagine, for example, the chaos that will be created in pooling and analysing the information if departure from following the fixed interview schedule is allowed in a large programme, like national census, where the response is elicited by a large number of interviewers, spread over the country, with respondents mainly rural and illiterate.

Unstandardized interviews are open and flexible. No interview schedule is used. The questions asked, their content, sequence, words used, the way they are asked, the build-up of the perspective depend entirely on the interviewer. It is a dynamic interaction between the interviewer and the respondent.

In this process the following factors are very important:

- The skill of the interviewer,
- his creativity,
- his intuition,
- his ability to create a productive atmosphere through building a good rapport so that the respondent feels motivated to share more of whatever (information, knowledge, experience, ideas, opinions, values etc.) the interviewer wants to obtain from him,
- the interviewer's data-sense and ability to discriminate at once the value of the recordable material from the wide range of information the respondent is likely to provide and skillfully steer the course of interviewing accordingly.

A great bulk of data is being generated almost every day by different professions (medicine, psychiatry), different disciplines (psychology, sociology, politics, economics etc.), different agencies (government, news media, universities and institutions). From the broad range of the usage of interviewing. One can imagine, how many job applicants (from a casual labourer to a managing director) face an interview board every day in the world! How many persons are being interviewed about their choice of a particular brand of tooth-paste or a Prime Minister!

i) **Categories of Interviewing:**
Major categories can be identified as follows:

a) Medical, Psychiatric and counselling interviews where the patient-respondent initiates the interview with a hope to obtain help.

b) Research interviews where the researcher initiates the interview for the purpose of his research.

c) Assessment interviews where the quality of a person, object or event is assessed, say for example, for admission into an educational institution, for obtaining a job, or when a film critic interviews a sample of audience about a particular film.

d) Investigative interviews when the purpose is not healing, helping or research but to find out what is the 'truth' in what actually happened, to bring out the history, to reconstruct the sequence of events, and so on. These interviews are mainly

concerned with facts and therefore can be called as **Fact-finding** interviews. Examples can be: Joint Parliamentary Committee interviewing people on the "SCAM". Interviews conducted by an Enquiry Commission, a detective, a lawyer, an income tax officer or a policeman are some further examples of this type of interviewing on issues which can range from the mundane to the sublime.

Another variant form of investigative interviews are 'Depth Interviews' which are not concerned with facts of what\has happened in the past but focus on what is there in the mind of a person, even in its inner most layers, beyond the observed and manifest. Depth interviews endeavour to bring out motivation, attitudes, beliefs, values, ideas of various kinds—even those that happen only during the period of interviewing concerning matters related to the past, present and future. These may relate to what is there in the conscious mind of a respondent or what he has forgotten, what lies in the preconscious or even in the unconscious. A lot of this kind of interviewing is conducted in Medical-psychiatric-counselling and Research interviews. But also beyond the realms of medicine, psychology or research, depth-interview as a method is employed frequently by people in a wide range of situations. Take for example, for recruitment to key positions in an organisation.

The classifications mentioned above are not all-inclusive. Interviewing conducted for organisational diagnosis is a special category by itself. It builds its technique from the techniques used in the above-mentioned classification, yet it has a distinct identity of its own. Diagnostic interview can be understood as a two-person conversation initiated by the interviewer, who is a diagnostician, with a respondent for the purpose of eliciting information about facts or responses indicating opinion and attitudes, interests, beliefs, values or ideas related to the organisation and its functioning, commensurate with the objective of the diagnosis. The diagnostician is often a person external but may also be internal to the organisation and so is the respondent — most often internal but may be external too.

ii) The Process of Interviewing

The process of a structured interview includes the following four major steps:

1) Creating or selecting an **interview schedule** (a questionnaire containing one or more sets of questions, statements, pictures or other stimuli to evoke responses) and a set of standard rules or procedures for using the schedule;
2) Conducting the interview;
3) Recording the responses (paper-pencil notes or tape recording etc);
4) Encoding.

The material thus collected may be subjected to 'Content Analysis'. Sometimes without going into the specific steps involved in scientific measurement, an attempt is made to bring out meaningful patterns of responses; or a few broad categories relevant to diagnostic purpose are worked out with the frequency tallies for each category. The quantification mainly depends on the kind of questionnaire used. If the questions in the questionnaire have responses with scale values (as in Attitude Scales) quantification and subsequent analysis is easy. When the questions in the interview schedule, even though there is a sequence for asking them, are themselves open ended, the response has to go through content analysis for quantification.

iii) Characteristics of an Interview Schedule

An interview schedule should have questions that are clear in meaning, avoiding words with multiple meaning, ambiguous words, ambiguous sentence construction, and constant and sharp focus on the issues relevant to diagnostic objectives. A lack of appreciation of the rigour and discipline that the preparation of an interview schedule needs and the necessary background and experience of the diagnostician can make the interview schedule, and consequently the interviewing itself, defective and poor. It requires a great deal of planning, prior study, and experience to produce a good schedule.

a) Kinds of schedule: information and items

Three kinds of information are generally sought:

i) Introductory information that gives objectives and the perspective of the interview and identifies codes for storing and retrieval;

ii) Information that meets the substantive purpose of the interview;

iii) Background information that generally includes the sociological and organisational information about the respondent.

b) Schedule items

There are generally three kinds of schedule items in use:

i) **Forced Choice or Fixed Alternative** items where each question has fixed two or more responses from which the respondent has to choose only one item. These alternatives are generally 'Yes-No; Agree-Disagree'. Sometimes a neutral alternative, 'Can't Say, Don't know, Undecided' is offered.

ii) **Scale Items:** A modified version of Forced-Choice-item schedule is a Multiple-Choice scale where the choices are arranged on the basis of a scale value. Here the responses are not dichotomous but they are graded according to the *degrees* of agreement or disagreement.

For example, a Likert-type questionnaire containing 5-point summated rating scale items can be used as interview schedule, particularly with a sample population which cannot fill-up a questionnaire because of illiteracy.

iii) **Open-End** items are those that only provided an achorage for response, a frame of reference, but no indication is provided about a possible response. Sometimes open endedness is reduced by focussing the question slightly restrictively, yet it retains the full freedom of the respondent in answering the item in his own way. Examples of these two aspects follows:

a) An organisation depends on individual work and teamwork. What is the state of teamwork in your department?

b) In a work team, members share a common goal. Would you say how it is here in your departmental teamwork?

Some thumb rules for preparing structured questions:

i) The question should be related to the objectives of the diagnosis and the specific aspect that is relevant to the diagnosis.

ii) Ambiguous statements of the messages contained in them should be avoided. For example, "How involved do you think are the senior managers in supervisory development and do supervisors insulate themselves from both the junior executives and the workers?" "Do the junior executives here get fair treatment and challenging tasks?"

iii) Type of question should be right and appropriate. Some information is better elicited by forced-choice question, and some by open-end question. A question like "Do you think that the employees here can draw cash payment from the accounts section anytime during the working hours?" can be answered in Yes-No categories and an open-end option will not provide a great deal of information.

iv) Leading questions, that is those that suggest answers, should be avoided, for example, a question like "Do you think it is proper for junior executives to challenge the authority of the senior management?" may reveal the answer that is desired by the diagnostician or in any case that is socially desirable and therefore may bias the response.

v) The question should not demand knowledge and information that the respondent does not have.

vi) The question should not probe into privacy or demand personal or delicate material that the respondent may resist or hesitate to answer.

vii) Loading a question with response that has social desirability should be strictly avoided.

viii) Language should be such that the respondents understand the question fully

iv) Some Aspects of Interviewing Technique

The actual process of interviewing, the speaking of questions and answers, is directed in such a manner that all relevant information is elicited. The technique of interviewing, as distinct from the construction of interview questions, includes all spontaneous, unplanned behaviour of the interviewer relevant to some basic conditions for successful interviewing:

a) Motivation of the respondent: The interviewer must make the temporary system prevailing between him and the respondent stimulating, enjoyable and rewarding for the interviewee. Grudging compliance, reluctance in going through the protocol of responding, indifference, non-caring, lack of seriousness produce scanty data and often unreliable information. The interviewer's sensitive, open, spontaneous, warm transactions help. Programmed, insincere, rehearsed behaviour renders the situation lifeless and such behaviour of the interviewer is 'seen through' by the respondent.

b) Ability of the respondent to recall or construct the required information. This is least affected by the interviewer's skill. This is triggered by the predetermined content of the inquiry. This is a function of the substantive demand of the interview. When the respondent understands the value, meaning, significance and importance of the interview and is motivated, he tries hard willingly to recall the data and supply the information that completes, according to him, the gestalt in the information gap, and he works up the associative network of ideas in his mind to help out the interviewer.

c) The understanding of the respondent relates to two aspects: firstly, the respondent's understanding of the content of the specific question and secondly, his understanding of the role of a respondent and clarity of the tasks to be performed in that role. It is often necessary for the interviewer to define that role to the respondent, train him, provide him scope to practise it and provide feedback with quality control. This is done in a subtle manner in a short period of interviewing when the respondent may not even be aware of these activities performed by a skilled interviewer.

d) Introducing the interview to the respondent. The interviewer begins by identifying himself, the agency or firm from which he comes, with a little of his background. The purpose of the interview, the method to be applied, how the respondent has been selected, the amount of time that will be needed, the confidentiality of the information provided, and the psychological safety of the respondent are indicated. He also mentions the interest accorded to the study by the higher authority in the organisation.

The next step is clarifying the respondent's role and his tasks and elucidating how the interview would be conducted. This he may do as a trial run by interviewing the respondents on a few general issues.

e) When the proper interview begins, the interviewer may demonstrate the following:

- Brief expressions of understanding and interest
- Brief expectant pauses
- Neutral requests for additional information
- Echo or near repetition of the respondent's words,
- Paraphrasing Summarising or reflecting respondent's expressions
- Requests for specific kinds of additional information
- Requests for clarification
- Repetition of a primary question

8.3.2 Group Interviewing

Group interviewing, like the unstructured, open-ended individual interviewing is also a qualitative technique and the two methods are very similar in their essence except that the respondent now is a group instead of an individual. A group brings along with it the interplay of forces of group dynamics.

The group interview method involves convening groups of employees to discuss about their organisation or some specific aspects of organisational life and functioning in which the diagnostician is the interviewer as well as the moderator.

The process of the interview involves the sequencing of activities in three stages, *a) Planning, b) Interviewing and c) Data Analysis.*

a) In the planning stage, the diagnostician takes care of the following:

i) the approval of the powers—that be;

ii) creation of a small task force that is a team of internal employees to organise the groups enabling him to conduct the meeting;

iii) developing a sampling plan of creating groups for each level of employees.

The principles of purposive, stratified random sampling can be adopted. Representativeness being a factor the number of people involved at different levels vary. The pyramidal nature of the organisational structure implies that the number of groups in the upper level will be fewer than the number of groups in the lower level. The percentage of employees included in the sample in the higher level, because they are less, will be higher than those at the lower level. Care should be exercised that the groups at the lower level are representative of those levels. Random sampling helps. If all employees, specially executives, are not being interviewed, explanations need to be given to those who are not being included lest they feel they are being rejected. The main criterion for creating groups is that people should be homogeneous to the extent that the shared perception of the group can be treated as the representative view of that cla s and therefore the people called in may be from the same level, same department, same background of doing tasks and work experience. They can be heterogeneous in respect of age, sex, speaking behaviour, extroversion-introversion etc., such that the variety stimulates greater interaction.

iv) Arranging space (room, hall, verandah, lawn) that is free from disturbances (noise, telephone etc.) and allows confidentiality and psychological safety. He makes the seating arrangement that facilitates maximum interaction like single row circular or oral seating and also arranges the recording arrangement like tape recorder etc.

v) Making plans for the number of persons to be included in the group. Generally a group containing 1-15 members yields a good discussion. Having more people makes the discussion unwieldy. The number of groups depends on thumb rule: when repetitive, additional groups become unnecessary.

vi) Making plans for the open ended questions that the diagnostician wants to explore, based on the aims of diagnosis and for sequencing of those questions. In a group discussion he may not load the discussion with too many items. Generally 5-10 items are adequate. The discussion may last for about two hours.

b) Conducting the Group Interview.

In conducting the group interview the diagnostician may do the following:

i) Introduce the interviewees and tell truthfully the broad purpose of the interview without creating bias in their minds; introduces himself and his colleagues.

ii) Seek their collaboration; indicate the importance and significance of their contribution;

iii) Create an atmosphere of confidentiality and psychological safety;

iv) Build up rapport;

v) describe how the interview would be conducted and the roles of the respondents and the interviewer;

vi) Introduce a question for eliciting group discussion;

vii) Make no active intervention;

viii) Probe the points raised, paraphrase, summarise from time to time according to the process outlined in individual interviewing, do the gatekeeping, and

ix) Conclude the interviewing.

In conducting the interviewing the sensitivity, particularly the skill of the diagnostician in conducting the group discussion, is of tremendous significance. Candid explorations help the process. The group may be frozen in silence or the discussion may be very turbulent and between the two extremes all kinds of behaviours are possible. The discussion may be dominated by a few leaders or emerging spokesmen or may be avoided by silent or withdrawn people. The diagnostician, without dominating, uses his expertise based on his experience of working with groups, to evolve a productive session where ideas flow maximally.

c) Analysis of the data obtained in Group Interviews -

The ideas that are generated in the discussion need to be recorded. Tape recording takes in everything that is said. It is an advantage. But it may inhibit people from sharing their views; may violate confidentiality or may trigger thoughts and doubts about it. Some statements containing serious, secret, insightful, information that the respondents intend to make "off-the record", are generally not made. On the other hand, the diagnostician with his colleagues cannot keep everything in their minds. Paper-pencil recording is generally a midway answer between the extremes. For that purpose it is necessary to have an associate with the diagnostician.

The obtained material is subject to content analysis. Progressively emerging categories can be utilised or predetermined content categories can be utilised. Statements can be sliced and phrases can be taken out and put under the major heads. *'Verbatim quotes' are avoided from analysis.* Patterns are discovered and the associative network is established.

The diagnostician finally prepares a report that portrays the perceptual world of the respondents as seen by the diagnostician. *It presents the issues after issues that are embedded in the material* and the patterns discovered within each issue. Verbatim quotes emphasise the tone and feelings of the respondent. The diagnostician provides a synopsis of the broad themes and trends he has observed. The report, though a product of a qualitative and subjective process, can be precise and systematic, presenting organically the live world of the respondents perceptions.

8.4 SURVEY FEEDBACK

The basic methods of data collection have been discussed earlier. Some distinct methods have evolved using these techniques. These methods are briefly described below. Survey feedback is one such method that consists of obtaining data from employees of an organisation through the use of a questionnaire, sometimes supplemented by individual and group interviews and observation. The data are statistically analysed and feed back to the management and also the employees that generated it and to the work group who diagnose the problems again and develop action plans for solving those and other related problems.

Survey feedback constitutes an important stream of organisational change movement. This method was developed through years of work from 1947 onwards at the Survey Research Center at the University of Michigan. Of the attitude scales, three types are prominent: Thurstone type, Likert type and Guttman type. This 'Likert scale' which Rensis Likert developed in his Ph.D. dissertation "A technique for the measurement of attitudes," forms the heat of the questionnaire used for survey feedback method. In the words of Rensis Likert, "In 1947, I was able to interest the Detroit Edisoon Company in a company-wide study of employee perceptions, behaviour, reactions and attitudes which was conducted in 1948. Floyd Mann, who had joined the SRC staff in 1947, was the study director on the project. I provided general direction. This led to the development and use of the survey-feedback method" (French and Bell, 1991).

Based on the basic principles presented by Likert (1961, 1967) an Inter-Company Longitudinal Study (ILS) was started in 1966. This instrument was revised several

times to evolve the present form. Taylor and Bowers (1972) provide extensive information on its construction, reliability, validity and theoretical background. The questionnaire elicits data from the following major areas: a) Leadership b) Organisational Climate and c) Satisfaction.

The dimensions under **a) leadership** are: i) Managerial support, ii) Managerial goal emphasis, iii) Managerial work facilitation, iv) Managerial interaction facilitation, v) peer support, vi) peer goal emphasis, vii) peer work facilitation, viii) peer interaction facilitation.

b) 'Organisation Climate' contains the dimensions—ix) Communication within company, x) Motivation, xi) Decision Making, xii) Control within company, xiii) coordination between departments, xiv) general management.

The third area 'Satisfaction' contains the dimensions—xv) Satisfaction with company, xvi) satisfaction with supervisor, xvii) satisfaction with job and xviii) satisfaction with work group. In addition, there is space provided to include questions about particular concerns in an organisation. Background information about the correspondent forms the last part.

The steps generally involved in the survey feedback:

1) Organisation members at the top of the hierarchy are involved in the preliminary planning.
2) The questionnaire is administered to all members of a particular organisation, plant, unit or that part of the organisation where the diagnosis is focussed.
3) Survey conducted using the questionnaire developed by the Institute of Social Research (ISR) (and available also in Taylor and Bower, 1972 with the Key) requires the analysis to be done by ISR. This stipulation makes it difficult for Indian organisations to use it. It is also not necessary as quite a few Indian instruments are available.
4) Data are fed back to the top executive team and then down through the hierarchy in functional teams. This "waterfall" approach is generally in vogue but may not be necessary.
5) In each presentation meeting comprising the head of the team and his subordinates, (a) data are discussed and interpreted, (b) plans for constructive changes are made and (c) plans are made for the introduction of the data at the next level.
6) Most feedback meetings include a consultant who has helped prepare the superior for the meeting and who serves as a resource person.

In many organisations it may be necessary that the Chief Executive Officer sees the results of the survey first and initiates the plan of cascading the sharing of information. The diagnostician makes a personal presentation of the findings to the Chief Executive Officer and to others in the subsequent meetings.

In India, the first use of the survey feedback method was used by Chattopadhyay in 1967. He evolved his own instrument which went through several revisions. He and his associates used this method in a large number of organisations, some of which are very large like BCCL, CCL, ECL, BHEL (Bhopal). BHEL (Hyderabad) in the public sector; ECC-L&T, TISCO Collieries, TCIL, SAMTEL in the private sector, to cite a few instances. The questionnaire has been provided in an earlier unit. Similarly MAO(C) developed by Pareek (which has been provided in an earlier unit) has been used for survey feedback in a wide variety of organisations. For conceptual discussion see Pareek 1988 (specially Chapters 9 and 19). To distinguish his approach from Survey Feedback method of ISR, he has termed it as **'Feedback Survey'** as it is essentially a survey of the feedback that the employees may provide to the management about their managing the organisation through the medium of the diagnostician. This part of the process is the core aspect in diagnosis. Survey results to be fed back to the employees constitute the second stage as an intervention method.

8.5 PROJECTIVE METHODS, ARCHIVAL METHODS UNOBTRUSIVE MEASURES AND CONTENT ANALYSIS

8.5.1 Projective Methods

Man's inner world about wnich he may not even be aware, tends to find expression through projection which is a well known psychological phenomenon. Motives, emotions, values, attitudes and needs are quite often projected outside the individual onto some external object. This property of the human personality is utilised in this method. The more unstructured and ambiguous a stimulus the greater the projection. When the stimulus is ambiguous and unclear, the subject "chooses" his own interpretation from within. Famous projective tests are Rorschach, TAT (Thematic Apperception Tests) P-F tests, Role Playing, Sentence Completion, Drawa picture, write-a-story, complete-a-story; writing essays using finger paints, playing with dolls and toys are some examples of testing employing projective method.

The projective tests are categorised on the basis of types of response—i) Association, ii) Construction, iii) Completion, iv) Choice ordering and v) Expression.

Association technique requires the subject to write (or tell) the first thing that comes to mind on being presented with a stimulus. For example, a series of inkblots of varying shapes and colours are used in Rorschach as the stimulus material.

Word association is another such method where the subject is asked to respond with the first word that comes to mind, or as many meanings as possible, on being presented words successively from a word list containing both emotionally tinged and neutral words.

Construction technique requires the subject to construct, to produce something usually a story or a picture, on being presented with a stimulus, often a standardised one. An example is TAT where subjects are shown as unclear picture for a few seconds and is asked to develop a story on what he saw.

Completion technique requires the subject to choose an item that appears to him as most relevant, correct, attractive, preferred and so on from among several items. It can be a choice from a pair of items. In place of choosing one, the subject may be asked to rank order the choices.

Expressive technique is like the construction technique but the emphasis here is on the process of construction: the **manner** in which it is done not on what is done, not on the end product.

In Indian organisational studies, TAT as developed by McClelland and his associates (Mc Clelland *et al.* 1953) has been used widely to diagnose the motivational profile (Achievement, Power and Affiliation) in organisations. Cantril and Free (1962) devised a simple projective technique which they called a 'Self-Anchoring Scale" that consisted of utilising picture of a 10-step ladder. The top and the bottom rungs are defined by the respondents from their own transactional view of their subjective worlds as life at its best and worst. Ten steps represent the life-positions between the two extremes. The respondent was asked: "Where he stands on the ladder today, with the top being the best life and the bottom being the worst life; where he stood in the past and where he thinks he will stand in the future." The responses on the definitions of the best life and worst life are then subjected to content analysis. The specific positions on the ladder representing the present, past and future, provided the quantitative measure. Cantril and Free used this technique to bring out the hopes and aspirations, fears and apprehensions, both at individual and national levels, in a multinational study and established the predictive validity of the test. Chattopadhyay (1970, 1973) used this technique in several Indian organisations to measure aspirations and apprehensions of employees in an organisation. Techniques like 'draw a symbolic picture' of the organisation have been used quite often. For example, Nambudripad

and Sigamoni (1980) mention using 'Fantasy Sharing' and 'Drawing a picture of how each one saw himself in relation to the hospital' in the OD programme in a hospital.

8.5.2 Archival Methods and Unobtrusive Measures

Every organisation collects volumes of data from their day-to-day operations, for example, data about accounts and finance, material, productivity, rejects, repairs, costs, complaints, turnover or employee behaviour like absenteeism, punctuality, turnover, accidents, grievances. These often vary systematically, and as a routine are collected and stored in the record books and in the computer. The data are not in one place; they are scattered but they are there. This store, with undefined location and boundary, can be conceived as 'data bank' or the 'archives'; and hence, the name archival methods. Similarly Webb *et al.* used the term Unobtrusive measures. The measures are unobtrusive because in collecting them one does not thrust oneself upon a respondent to obtain ideas or information. A fingerprint on the dagger or the washerman's mark on the shirt can have a tale-telling effect in the court room. Holmes, Poirot and millions of their readers believe in it; doctors use it every day; by the diagnosticians this archive of unobtrusive data remains largely unutilised.

The major property of archival data is that they exist there are records of behaviour, actions, events and things and their collection is relatively nonreactive. It does not disturb anyway the person or the setting that originated the information. It also does not get influenced by the diagnostician's biases. Strictly speaking, these data do not have any subject or respondent.

It is often quite easy to recognise archival data, largely due to their matter-of-factness; sometimes it is not as Waston and Hastings found out to their dismay. It was rare to construe that the 'carpet wear' can be an unobtrusive measure of 'popularity of an area' or 'the number of cigarettes smoked' as an indicator of 'tension in meetings' till Webb et al. (1966) drew our notice to such evidence.

From the haystack of information how one finds the needle of the data depends upon the questions the diagnostician has in mind. To respond to this question one can look at how John Naisbitt (1982) produced his renowned work 'Megatrends'. He amassed archival data from newspapers and subjected them to content analysis. In his own works, "The methodology we have developed is also free from the effect of biased reporting because it is only the event or behaviour itself that we are interested in... Staff continually monitors 6000 local newspapers each month... I have read thousands of other newspapers, magazines and journal articles..." (p. 5 & 8).

Principles of both deductive and inductive logic are in operation in dealing with archival data. The diagnostician has to identify his question first. The question emerges from the theoretical construct or the conceptual framework within which he works. Extending the construct one obtains the hypotheses. Hypotheses generate questions. Answers to the questions can be obtained from physical realities. These physical realities are captured in data. Data from different areas are converged inductively to accept or reject the hypothesis.

Mirvis (1980) provides a brief but comprehensive coverage of this subject.

8.5.3 Content Analysis

Content analysis as a technique has been mentioned above a number of times. A good example of content analysis is Naisbitt (1982). Content analysis is a method of studying and analysing communication, information or any symbolic behaviour in a systematic, objective and quantitative manner to measure variables. Holsti (1968) defines it as follows "Content analysis is any technique for making inferences by systematically and objectively identifying specified characteristics of messages"; and provides an excellent coverage of the content analysis method.

In content analysis, content of the information is subjected to coding. "Coding is the process whereby raw data are systematically transformed and aggregated into units which permit precise description of relevant content characteristics" (Holsti 1968). For coding, the steps necessary are (a) Defining the universe (b) Categories of analysis (c) ...s of analysis and (d) System of enumeration. These are briefly described below:

a) **Outlining the universe of the content:** Based on the theoretical construct and the hypotheses, the variables are decided and the information that would be relevant is determined. Outlining the relevant source of the data in the universe is necessary. The categorization of the universe, that is the partitioning of the universe, depends on the variables and hypothesis. Partitioning itself also produces further refinement in spelling out the variables of the hypothesis.

b) **Categories of analysis:** Selection and definition of categories that is 'pigeonholes' into which content units are classified from the critical part of content analysis. As many questions that the diagnostics purpose raises, in as many ways the categorisation may be made. Some of the types of categories generally used are listed below as an illustration:

A) 'What is said' categories
i) Subject matter, ii) Direction, iii) Standard, iv) Values, v) Methods, vi) Traits, vii) Actors, viii) Authority, ix) Origin, x) Target, xi) Location xii) Conflict, xiii) Ending, xiv) Time.

B) 'How it is said' categories
i) Form or type of communication; what is the medium of communication (newspaper, radio, television, speech etc.);
ii) Form of statement. What is the grammatical and syntactical form of the communication?
iii) Device. What is the rhetorical or propaganda method used?

c) **Unit of analysis:** Five major units of analysis are presented here: Words, Themes, Characters, Items, and Space-and-time measures.

The word: It is the smallest unit. Words can be simply counted and assigned to proper categories.

The Theme: It is a more difficult unit. A theme is often a sentence—a proposition—about something. Themes are combined into sets of themes. It is a single assertion about some subject. It is the most useful unit of content analysis. If self reference is the larger theme, then the smaller themes making it up are sentences that use 'I', 'Me' or any other words referring to the writer's self.

The character: In this case the coder tallies the number of persons in a written text rather than the number of words or themes, into apropriate categories. It is mostly used in literary analysis.

The item: In this case the entire article, film, book or radio program is characterised. It is useful for coding great amounts of material when gross categories will meet the need.

The Space-time measures: These are the actual physical measurements of content, e.g., number of inches of pages, number of paragraphs, number of minutes of discussion, etc.

d) **System of enumeration:** This means how numbers should be assigned to the units. The coder has to determine the unit in terms of which quantification is to be performed.

The first method is *frequency* which is similar to nominal measurement: count the number of objects in each category after assigning each object to its proper category. Stated otherwise, it is a method in which every occurrence of a given attribute is tallied.

The second method of quantification is *ranking* that is, the ordinal measurement. *'Judges'* can be asked to rank the objects according to a specific criterion.

The third method of quantification is **rating.** Rating involves the issue of intensity of measurement which cannot necessarily be satisfied by pure frequency counts. Rating can be done by employing techniques of scaling like Thurstone's technique of paired comparison. Judgements are based on construct categories into which content units are placed. Both rank-order and rating methods assume that content units are sufficiently homogeneous on a single continuums that they may be usefully compared.

Quantification becomes worthwhile, when the materials to be analysed are representative and when the category items in the materials are insufficient numbers to justify counting careful counting of items is essential. These criteria determine the generalizability of the findings.

8.6 CONCLUSION REMARKS

Finally it may be said that of the methods that have emerged in various branches of social sciences, many have been used, in their brand names, in organisational diagnosis. At the same time, many of the brand names of methods that are utilised in diagnostic studies acquire these names from *different considerations of people and context in purpose, place and time.* Yet most of the methods utilise in essence one or the other of the generic ingredients that have been elaborated in these units.

It should be obvious that each method has some strengths as well as some weaknesses. It is, therefore, proper that in order to get a better diagnosis it is preferable that multiple methods are used. The mix increases both the reliability and validity of the data collected. Multiple methods, multiple sources of data, multiple types of data, multiple processes generated through data are to be resorted to within the constraints of the resources available.

8.7 SELF-ASSESSMENT TEST/QUESTIONS

1) Describe observational methods in detail?
2) Explain survey feedback technique. When should it be used?
3) Describe how one can diagnose through projective methods.
4) What do you mean by Archival methods and unobtrusive measures? Explain.
5) Briefly describe how content analysis is done.

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UNIT 9 INTERVENTIONS IN ORGANISATIONAL CHANGE

After going through this unit you will be able to

- define and explain the concept of intervention
- discuss types of interventions and the occasions for their use
- obtain an outline of interventions
- identify the role of consultants and facilitators
- acquainte some interventions which are applied in an Indian organisation
- develop—fresh perspective on team building and leadership roles

Structure

9.1 CONCEPTS OF INTERVENTION

The major task of diagnosis, as mentioned earlier, is to seek information knowledge while the task of intervention is to act/take action. A clearcut line of division is not possible as knowing and doing are inextricably linked up in human experience. In defining intervention, French and Bell (1990) supports the view that intervention is primarily concerned with activities directed towards organisational change. They say "We prefer, however, that emphasis be placed on the activity nature of interventions; interventions are "things that happen" activities, in an organizations life... OD interventions are sets of structured activities in which selected organizational units (target groups or individuals) engage in a task or a sequence of tasks where the task goals are related directly or indirectly to organizational improvement" (p. 113)!

The definition offered by French and Bell (and similar other definitions too) obviously pose some problems. First of all, OD interventions are not the only interventions in organizational change: it is only a subset of interventions. Secondly, emphasis placed on task may be re-examined as there are hundred other things than task that an organisation, even a work organisation, is preoccupied with. For example, personal development may not be a part of goal directed tasks or instrumental to the organization's improvement. Yet the organisation may make provisions for it. Thirdly, the concept of improvement is to be properly understood. In using the term 'improvement' conceptually a value notion of movement from 'bad to good', 'dysfunctional to functional', 'immature to mature' is implied. Interventions are *also* needed to maintain the state of maturity if an organisation has attained the maturity. The desire of a healthy person to maintain his health may require interventions that may not be seen as improvement in health. Similary, an organisation may need interventions to maintain its present level of maturity.

The scope of interventions for managing change may be further elaborated if the concept of organisational change proposed by Chattopadhyay and Pareek (1982) is taken into consideration. In their view, "Organisational change will be conceived as a relatively enduring alteration of the present state of an organisation or its components or inter-relationship amongst the components and their differentiated and integrated

functions, in totality or partially, in order to gain greater viability in the context of the present and anticipated future environment" (p. XVI). Any mental or physical activity that introduces or facilitates the change in an organisation is intervention for organisational change. The change activities, for example, as Chattopadhyay and Pareek (1982) observe, include

- amalgamation and bifurcation.
- diversification, reorganisation,
- restructuring,
- change in design or the introduction of new systems encompassing the entire organisations.

It will also mean change of people, task technology of the organisation. The change may be directed to one or more aspects.

9.2 TYPES OF INTERVENTION

Organisational change interventions could be divided into broad categories:

1) Interventions that are directed towards manifest change in the organisation: for example: restructuring, re-organising, introducing new systems, diversification, etc.

2) OD interventions that deal with processes, basic assumptions, beliefs, values, etc. which are underlying the manifest changes and directly or indirectly influence the manifest changes.

In this context it is worthwhile to note the observation of Bernstein and Burke (1989). "The focus of OD interventions then is not the organisational system itself but the set of beliefs in the minds of organizational members about themselves, their local work group, and the larger organizational system."

According to Bernstein and Burke (1989) the belief domains indicate the potential classes of variables that seem to be relevant for predicting organisational and individual performance and include: 1) External Environment, 2) Structure, 3) Task requirements, 4) Leadership, 5) Management Practices, 6) Work unit climate, 7) Organisation culture, 8) Formal policies and procedures, 9) Individual needs and values leading to 10) Motivation, 11) Individual and organisational performance.

The interventions on the manifest system are occupied with 'what' or the actual content of the changes in those domains. OD interventions deal with the changes in the mind-set that determines the system and the change in the domain.

Pareek (1988) presents the following model in which he combines the nature of the intervention and the focus of the intervention. The nature of the interventions can be structured and unsructured whereas the focus of the intervention can be static or dynamic or both as shown in table 9.1..

9.1: Focus of the Intervention

THE NATURE OF INTERVENT	Static (Structure)	Dynamic (Process)	Both
Stru-ctured	• Reorganisation • Organizational Designing • MBO • Work Review • Differentiation • Integration	• Motivation • Development • Role Negotiation • Role Renegotiation • Mirroring • Interaction • Process Analysis	• Survey and Feedback
Unst-ructured	• Team Development • Development of Internal Facilitator	• L Groups • Counselling • Conflict Resolution	• Process Consultation

Both	• Job Enrichment • Task force	• Managerial Grid	• Confrontation Meetings • Interrole Exploration

According to **Beckhard (1982)** interventions are bahaviours that come during the ongoing social processes of a system. They may intervene or stop:

1) social interaction between individuals
2) the interaction between groups
3) the procedures used for
   a) transmitting information
   b) making decisions
   c) planning action
   d) reaching goals
4) the strategies and policies guiding the system
5) the norms (unwritten ground rules) or values of the system
6) the attitudes of people toward:
   a) work
   b) organization
   c) authority
   d) social values
7) the distribution of effort within the system.

Most OD interventions in his view are aimed at the following:

a) increasing group effectiveness
b) improving the collaboration and interfaces
c) setting, sharpening, clarifying and modifying organization goals
d) coordinating organization goals and individual or sub-group needs, values, and goals
e) educational interventions to help with learning.

An action research posture is appropriate for most interventions. It includes three aspects:

a) collecting information
b) feeding it back to the respondents
c) planning action based on the information.

Action directed to some specifics:

a) team development
   1) new team
   2) team goal setting
   3) team task orientation
   4) team relationship

b) intergroup relationships
   1) from competition to collaboration
   2) mirroring
   3) problem confrontation.

c) Goal setting and planning
   1) organization
      i) confrontation
      ii) collaboration
   2) group
   3) individual performance
   4) career
   5) life

d) Organization and environment
   1) socio-technical systems
   2) differentiation—integration

Taking into account a large number of interventions they can be organised in terms of focus and purpose. The focus of the intervention could be on.

A table is presented below in which foci are:

a) Individual — intrapersonal
   — Interpersonal
b) Group
c) Intergroup
d) Organisation
e) Outside environment

and the purpose of the intervention can be

a) Process centred
b) Action centred
c) Feedback centred.

This has been presented below in a matrix form in tables 9.2 and 9.3.

9.2: INTERVENTION MATRIX

Focus of Intervention	Problem Diagnosis Centred Intervention	Process Centred Intervention	Solution of Action Centred Intervention
Intrapersonal Internal "music" helping or hindering a person's effectiveness	— Diagnostic instruments e.g., FIRO and LIFO — Personal growth laboratory	— Meditation — Time management course — Personal growth laboratory	— Career of life planning action plan — Personal growth lab
Interpersonal Nature of interactions with others — quality, amount, mode, etc.	— FIRO, LIFO, SDI management style inventories — Management work conference — Team building — Human Interaction lab.	— Transactional analysis sem. — Problem solving procedures — Effective communications workshops	— Establishing work contracts — Third party conflict resolution
Group Process How well group makes decisions, sets objectives communicates, etc.	— Diagnosis via interviews & questionnaires & feedback — Role mapping — Team building — Management simulations	— Process reviews at each meeting — Group process training, — Process observer in. meetings	— Team building — Action planning
Intergroup process Nature of interactions between groups, quality, presence of conflict, etc.	— Role mapping — Diagnosis and feedback — Mirroring	— Organization structure charts — Job Descriptions — Decision making grids — Workflow charts	— Confrontation meeting — Conflict resolution meeting — Responsibility charting
Organization Type and effectiveness of organization structure, systems, clarity of mission, etc.	— Surveys — Sensing meetings between top management and lower levels	— Policies & procedures for daily operations — Problem solving processes or procedures	— Work and system re-design — Re-organization of structure
Outside environment The impact of government, competitors, customers, etc.	— Establish environmental sensing mechanisms. — Open system planning & analysis. — Survey clients, customers, etc.	— Policies & Procedures for dealing with government, — Planning systems	— Open systems planning — Creating special position to lobby with government consumers affairs deptt., etc.

9.3: INTERVENTION MATRIX

	INDIVIDUAL FOCUS	GROUP (TEAM) FOCUS	INTERGROUP FOCUS	ORGANIZATION FOCUS	OUTSIDE ORGANIZATION FOCUS
	Harvard AMP and PMD	Team Building OD Lab (Morton)	Conflict Identification & resolu-	Change Agent Training	Open systems Planning

TRAINING INTERVENTIONS	AMA Seminary Skill Training (Mgt. Superv.) Planning, Interv., etc. Orientation training T-Groups (Sensitivity Training) Mgt. Grid-Phase I Transactional Analysis	Anlaytic Trouble-shooting Problem solving Decision making Economic Model Bldg. Mgt. Grid-Phase II	tion training OD Lab (Morton) Collaboration Skills Mgt. Grid-Phase III	Policy implica-tions Workshops General Sys. Theory Motivation Theory Leadership Theory Economic Model Bldg. Mgt. Grid-Phase IV	Community Awareness Equal Opportunity. Group Actions Consciousness Raising workshops Cultural Orientation
CONSULTATIVE INTERVENTIONS	Coaching, Counselling Career Planning workshops Assessment Centers Performance Appraisal Development of Selection Criteria Entry/Role Negotiation	Third Party Consultation/ (Facilitator Role) Action Research Projects	Third Party Consultation (Mediation Role)	Modelling & Simulation, Human Resource Planning Affirmative Action Task Force Organisation Planning. Action Research Projects	Strategic Business Planning Loaned Executives Programmes White House Fellowships
TECHNO/ STRUCTURAL INTERVENTIONS	Job Rotation Job Enrichment Job Enlargement Job Posting Promotion/ Demotion/ Transfer	Group Problem Solving Rearrangement of Roles, functions, Work Group Goal Setting Ad Hoc Task Forces Third Party Consultation (Expert Role)	Changing Reporting Relations Changing Systems & Procedures Redefinition of Decision Making Authority Confrontation Meeting Arbitration	Reorganization Mergers/ Acquisitions Matrix Organizations Policy Revision Flexible Work Schedules Mgt. Grid-Phase V	Collaboration Workshops Common Concerns Policy Revision Ad Hoc Groups with Publics Impacted
DATA PROCESS/ FEEDBACK INTERVENTIONS	Establish or Change Job Standards & Feedback (Personal Work goals)	Group Problem Solving & Goal Setting Data Collection/ Analysis (Survey Feedback) Performance Audits Establish or change Group Work Performance Goals.	Information Flow Changes (Computers) Changing Reward Systems Eliminating Punishment Systems	Long-Range Plans Goal Setting Changing Constraining Systems to Enabling Systems. Mgt. Grid-Phase VI	Investor Relations Community Relations

Source: Jim Shuck and John Adams., 1982

Brief descriptions of some specific interventions that are often used are presented below. Descriptions of more interventions that have been applied in an Indian organisation. as an illustration of one case, is presented later.

a) **Sensitivity Training:** Sensitivity training is also called as T-Groups (T for training) or L-Groups (L for Learning). This is the heart of laboratory education. This is basically a training based intervention.

The core of the laboratory education lies in continuing education. It is laboratory education because its process is analogous to what happens in a laboratory. A scientist who is not satisfied with his state of knowledge about something that concerns him, is generally motivated and intrigued to find out more about it. He (a) builds some hypothesis; (b) builds a network of ideas and converts them as variables and their interrelationship; (c) collects data about those variables and their relationships; (d) examines the data; finds out if there is a pattern in it and explores the implications of it; (e) on the basis of the analysis of the data he accepts or rejects the hypothesis.

In the learning laboratory a member is a scientist. If he is dissatisfied with his present state of knowledge about himself or if he wants to learn more about

himself, if he is motivated and intrigued to do so, he will form a hypothesis (a) about himself—about his own behaviour, its impact on others, his effectiveness and the relative fulfilment of the person he likes to be or (b) about the group and its dynamics or (c) about the culture, and its norms, customs and values, etc. Once he formulates the hypothesis, he takes the next step of defining the associative network, collects data, analyses the data and accepts or rejects the hypothesis about the propositions with which he started. This process may confirm his knowledge, attitude, skill of behaviour and reinforce it. It may also disprove his hypothesis. Once there is disconfirmation, a dynamic situation occurs. The person may reject the disconfirming data to 'defend' himself. But data, if they are repetitive, are difficult to reject. Acknowledging the existence of disconfirming data and pursuing the old behaviour, create cognitive dissonance and disequilibrium. This generates a force inside the person which, supported by his willingness, motivation and positively valuing growth, induces the person to change.

The focal interest in learing in a sensitivity training group varies immensely. Sensitivity training is centred around individual learning where the learning process is governed by the learner. There is no teacher. The trainer and the other members assume facilitating roles. Generally there are about 10-12 members with a facilitator. The chief content is experiential learning. Ones experiences that emerge "in situ", that is, 'here and now' experiences, are the source of data.

The goals of the laboratory according to Benne, Bradford and Lippitt (1964) are:

"...increased awareness of and sensitivity to emotional reactions and expression in himself and in others...

"...greater ability to perceive and to learn from the consequences of his actions through attention to feelings, his own and others'.

"...ability to utilise "feedback" in understanding his own behaviour."

"...the clarification and development of personal values and goals consonant with a democratic and scientific approach..."

"...development of concept and theoretical insights which will serve as tools in linking personal values, goals,and intentions to actions consistent with those inner factors with the requirements of the situation.

"...achievement of behavioural effectivenss in transacting with one's environment..." (p. 16-17).

NTL Institute (National Training Laboratories Institute) in USA, first developed this laboratory in 1947. In India, Indian Society for Applied Behavioural Sciences (ISABS), founded in 1972, provides this kind of training and develops facilitators who can conduct this kind of training programme. Later on, some members of ISABS broke away from it and founded ISISD with similar goals. In ISABS, some of the laboratories offered are BHP Lab (Basic Human Process Laboratory) for the first exposure and AHP (Advanced Human Process Lab).

In India, during the sixties and early seventies, laboratories had been used directly as OD intervention. At present a lab in its entirety is infrequently used as an OD intervention but components that constitute the laboratory process are often used. Imaginative and judicious use of a lab still can be very profitable if proper professional care is taken. After all the concept and practice of OD grew out of sensitivity training.

b) **Transactional Analysis (TA):** Originally it evolved as a neo-Freudian form of psychotherapy developed primarily by Eric Berne. Subsequently, it has been widely used as an educational intervention.

To state briefly, TA deals with (1) Personality structure (2) Interaction analysis (3) Time structuring and (4) Roles people play in life.

The personality structure refers to three ego states *(Parent, Adult, Child)* that, according to TA, makes up the personality. The person operates from one state or the

other. The *Parent* ego state refers to a state of authority, superiority, righteousness and so on. Rationality, logic, objectivity, problemsolving, etc., reflect the *Adult* ego state. The *Child* ego state is reflected in an emotion laden state of existence. There are sub-divisions of these states like Nurturant Parent, Sulking child and Free child.

The interactions or the communications with which a person transacts or deals with the world can be analysed as (a) complementary, (b) crossed, or (c) ulterior.

The structure of time is classified into: (1) Withdrawal, (2) Rituals, (3) Pastimes, (4) Games (5) Activities and (6) Authenticity.

Script Analysis helps a person understand his roles and the basic themes of life on which these are based and acted upon, repeated by and enables the person to exercise deliberated choice.

A good overview of OD can be had from Summerton (1989). TACET is the organisation in India that accredits TA facilitators. During the last two decades TA has become very popular in Indian organisations. But apart from enjoying the discovery of the new framework of interpretations of everyday communications that are possible through personal development it is often not utilised. Inspite of its potentiality, systematic application of TA as a planned OD intervention is rare in India.

c) Myers-Briggs Type Indicator (MBTI)

Based primarily on the psychological types of individuals Myers-Briggs Type Indicators (MBTI) was developed. It helps a person to understand the type of person that he is from a maximum possible list of 16 types. These 16 types (from Jung's original 8 types) are possible on the basis of their preferences amongst each one of the four dimensions: (1) Extraversion-Introversion, (2) Sensation-Intuition, (3) Thinking-Feeling, and (4) Judgement-Perception. Accordingly a person can be Extroverted-Sensing-Thinking-Judgemental type (in short ESTJ) or its polar opposite Introverted-Intuitive-Feeling-Perception (in short INFP) or any other of the remaining 14 types. Each type has a characteristic way of being and transacting with the world. Their energy flow, attitudes, perception of things and events, likes and dislikes, basis of decision making, ways of dealing with time and task completion and the like vary immensely amongst the 16 types.

The MBTI based labs are a 5-day event comprising about 15 participants who are provided data feedback of their MBTI scores on the four dimensions mentioned above. They find out their types and the consequences of these on their lives and implications to organizations.

MBTI can help a person work out sense of direction for further personal development/ growth.

d) Role Analysis Technique (RAT)

This is a technique developed by Ishwar Dayal and John Thomas for clarifying the roles of the top management of a new organisation in India. But over the last three decades the technique has been utilised in varied situations. The technique is described below.

a) The focal role (the role that is being analysed and defined) is delineated by the role incumbent in a meeting of the team members. It includes the description of

i) the place of the role in the organisation
ii) the rationale for its existence and its place in achieving overall organisational goal
iii) specific duties of the office.

b) The role incumbent and other members in the group discuss what is presented; add or delete behaviours until they think that the role has been defined completely.

c) The focal role incumbent describes what he expects of others, highlighting those behaviours that affect most his own performance.

d) The group members now, in their turn, describe what they want and expect from the focal role.

e) These descriptions are discussed by the group and finalised.

f) The focal role person then writes a summary of the discussion defining the role. This summary is called the **role profile.**

g) The role profile is briefly reviewed at the next meeting before another focal role is analysed.

In the words of Dayal and Thomas (1968) the role profile "consists of (a) a set of activities classified as to the prescribed and discretionary elements of the role, (b) the obligation of the role to each role in its set, and (c) the expectations of this role from others in its set" p. 488.

e) Role Negotiation Technique

Activities that one performs in an organisation are not only determined by the requirements of the role in the framework of objective division of labour, but are also characterised by the subjective interpretations of power, authority and influence in the role. The collaborative spirit may deteriorate; the interdependencies may be thwarted, competition and conflict may emerge and as a result the team effectiveness may suffer. To stem the rot, Roger Harrison (1972) devised the Role Negotiation Technique. The technique consists of mainly three steps: (1) Contract setting, (2) Issue Diagnosis, and (3) Influence Trade..

1) **Contract setting:** Consultant sets the group rules.
2) **Issue Diagnosis** requires (a) each person to think about how his effectiveness can be improved if others chage their work behaviour;

(b) each person to fill out an Issue Diagnosis Form for every other person in the group. This form is divided in three prescriptive parts:

(i) **Start doing** (or do more of) the following, (ii) **Stop doing** (or do less of) the following and (iii) **Continue** doing the following: (c) these forms are exchanged among all members; (d) the messages received by a person are written on a visual for all members to see.

3) **Influence Trade:** This is the period of negotiation.
(a) Two individuals discuss the most important behaviour changes that one expects from the other and that he is willing to make himself. In Harrison's own terms a 'quid pro quo' exchange is introduced here: give something to get something. The rest of the group observes the demonstration of the process of negotiation.
(b) Group breaks into negotiating pairs. The negotiation process consists of parties making contingent offers to one another such as If you do X, I will do Y. The negotiation ends when all parties are satisfied that they will receive a reasonable return for whatever they are agreeing to give. The agreements arrived at may or may not be published for all members to see. Influence trade ends when all the negotiated agreements have been made and written down with each party having a copy.

4) **Follow up:** A meeting is convened after a reasonable time to determine whether the contracts are being honoured and to assess the consequences of this activity on effectiveness.

It is to be specially noted that the change effort is directed at the **work relationship** among members. It avoids probing into the likes and dislikes of members for one another and their personal feelings about one another.

9.3 INTERVENTION IN AN ORGANISATION

The conceptual foundation for organisational diagnosis and interventions has been provided in the earlier units. Here an illustration of interventions-in-use has been provided.

Before we introduce the interventions, some information on the background of the organisation and introduction to interventions may be necessary.

The interventions occurred in the course of an OD work in an organisation. The organisation is a coal mining industry, more precisely Jamadoba Group of Collieries of TISCO situated near Dhanbad, Bihar. It has a group of collieries that are very deep, second only to Kolar Gold Mines. It is the major source of coal for Tata Steel and coal of very high standard is expected as its quality is linked up with the quality of steel produced by TISCO. From the considerations of technical, economic and social systems, organisational change was felt necessary. As a consequence OD was initiated under the leadership of Dr. R.N. Sharma, who was one of the Vice Presidents of TISCO, and Mr. Y.P. Dhawan, who was the Director of Collieries at that time. Somnath Chattopadhyay and Deepankar Roy were the external consultants.

Dr. Sharma knew the consultants from earlier contacts when they worked on OD assignments with him in other organisations. The entry of the consultants and the initial contract was smooth, marked by mutual trust and respect—professional and personal—developed from years of experience of working together. This first step also included meeting with Mr. Dhawan, the immediate Chief Office *in situ* but subordinate to Dr. Sharma. Dr. Sharma and Mr. Dhawan introduced the consultants to the senior members of the organisation. In a meeting of executives both Dr. Sharma and Mr. Dhawan expressed the intention of the management to engage the consultants. Before a formal plan of OD work was evolved, consultants conducted individual interviews, unstructured and open-ended, with senior executives and heads of the collieries. They also conducted group interviews.

The next step was a plan of action developed jointly by the consultants with the top management. It was decided to have simultaneous feedback survey, and individual and group interviews.

Once the diagnostic phase was over, the planned intervention stage was brought in.

The major interventions carried out are presented here in excerpts from the work of Roy (1991) who has the intimate knowledge of the interventions as one of the consultants. These are:

1) Survey Feedback
2) OD Group and OD Steering Committee
3) Task Forces
4) Internal Facilitator Development
5) Face Optimisation under Study
6) Role Efficacy and Role Negotiation
7) Excellence through Achievement Motivation
8) Team Building
9) Personal Effectiveness
10) Supervisory Development

Each one of these interventions is briefly described.

9.4 DESCRIPTION OF SOME SELECTED INTERVENTIONS IN AN ORGANISATION

1) Survey Feedback

As Argyris (1962) had noted, after diagnosis, the next step is to present the results of the diagnosis to the Executives. The primary objectives of such a presentation would be:

a) To help them explore the meaning of the data. How do they view the data? Are the data valid or invalid? In which way are the data incomplete? What implications for action do the executives see?

b) To *learn together* such that the employees and the interventionists correlate their interpretations together.

A discussion of these issues might have at least two values to the executives: first, to help them take the first step toward effective action, namely, to make data-based diagnosis of their problems; second, to explore, further, with one another the impact of their values, feelings, and problems, as well as the needs of the organisation, its problem, growth and development. Such explorations, if effective, could lead the executives to new depths of understanding and enlarge their scope of understanding. Thus, even if the executives rejected the results, they might have had an important experience in understanding themselves and the organisation.

It is possible to structure feedback so that the executives will experience it not as an opportunity to place blame on various members of the organisation but as an opportunity for them to solve real and meaningful issues and thereby begin to increase their sense of competence as an effective problem-solving team. The interventionist may find that one factor inhibiting achievement of this objective is as follows: if the diagnosis implies that the top management members did not understand the problem correctly, these members will tend to experience a sense of inadequacy. This sense of inadequacy can arouse anxieties and guilt feelings within topflight executives not accustomed to such experiences. If the data feedback are new and upsetting, the interventionist should not be surprised to find himself the object of covert or overt hostility. The hostility could be in the form of questions about the validity of the research methods, the sample used, and the conclusions. It could take the form of raising minor questions about grammatical accuracy, typing errors, clarity of presentation, and adequacy of reports; or the form of rejecting the analysis by insisting that times have changed, the results are not new, more time is needed to study the results, and the management finds the report excellent but wishes to give it more careful thought. Whatever the negative feelings about the diagnosis, it is important for the interventionist to create a climate in which these can be brought out.

The interventionist can use management's defensiveness to help the members obtain the first set of difficult experiences that are usually necessary if persued research efforts are to be effectively. Sometimes a client system will effectively seduce an interventionist into preventing its own growth by complimenting him on the diagnosis and then asking him for his recommendations. At this point the interventionist might suggest that if management is not able to offer recommendations, the diagnosis (assuming it is valid) has not been understood. If a valid diagnosis is thoroughly understood, one should be able to derive the prognosis from it. What can the interventionist do to help the executives fully understand the diagnosis so they can make their own recommendations? For the executives sake, he will try to refrain from behaving as if he were *in a line* relationship. However, he will work hard to act as a resource person if they want him to help them to work through their prognosis.

Usually, two reactions occur. *One* is the expression by the executives of sorrow and dismay, if not disappointment. After all, supposedly the interventionist is a competent leader in the profession. He should have some positive suggestions. The one who makes the diagnosis should be responsible for making recommendations. This reaction is understandable. *Second,* the diagnosis just fed back does not belong to the executives. They did not conduct it. Since the diagnosis is truly not theirs, one can understand that it is difficult for them to develop prognosis. If the interventionist is not going to provide recommendations, how are they to be developed?

The above considerations are presented to demonstrate the dilemmas of a researcher and interventionist.

The data on the Organisation Environment, Motivational Climate and Perceptions was presented to the Vice-President and the Executive Director along with the meaning, significance and nuances of the data. After looking at the data, they wanted it to be shared down the line.

Data Presentation to each level was thereafter carried out. Presentation of each segment of the data was preceded by an explanation of the methodology and the dimensions covered. On seeing the data, some of the groups attempted to ascribe the

blame for the present state of affairs to the failure of the very "top". On being confronted with the issue of *"ownership"* of the data, the mood underwent change. People expressed their feelings. They felt guilty about their contribution to the state of affairs. They seemed to veer around to owning the data and taking responsibility for the state of affairs. The groups seemed to agree that the data reflected and matched with their perception of the reality.

On receiving the feedback, the concerns expressed by various groups are summarised in Table:

People	Behaviour	Organisation	Reward System
Increasing concern for others. Communication removal of social barriers Enhancing responsibility for development. Changing from "boss" to "leader". Increasing emphasis on professional excellence.	Greater objectivity, analysis and corrective action. Spotting strengths and using them as pillars for growth. Sharing information. Enhancing planning and decision making as a group activity.	Defining structure. Placing the manager as the focal point and giving him the strength and support needed Covering more clearly town, planning, construction etc. Defining roles and role relationships and matching them with authority to perform.	Make it more objective. Giving priority to innovation and performance.

2) OD Group And OD Steering Committee

To spearhead and monitor the OD efforts, it was suggested by the consultants to constitute an OD group (ODG) and an OD Steering Committee (ODSC).

The ODG comprised of all the members of Level 1 with a Chairman and Member-Secretary. The ED was also a member of the ODG. The role of the ODG was to:

- Provide leadership in OD
- Set up various OD processes.
- Formulate OD policies and guidelines.
- Formulate OD action plans to overcome weak areas and consolidate strengths of the organisation so as to make OD a way of life.
- Periodically take stock of progress and other relevant issue;
- Actively involve the management individually and collectively in the dissemination of OD values and practices.

The ODG would take responsibility for:

- Individual development
- System development
- Group development
- Creation of desired climate and culture
- Formulation of policies on OD.

It was decided that the ODG would meet once in two months.

The ODSC was constituted as a sub-set of the ODG comprising of six members with a Chairman and ex-officio Secretary. Three of the six members would retire voluntarily after a period of six months and they would be replaced by three other co-opted members from the Level 1 group.

The tasks of the ODSC were to:

- Facilitate ODG functioning
- Serve as a resource to the ODG
- Obtain guidelines and policies from the ODG

- Visualise process facilitation of OD activities
- Create practices which facilitate building the desired organisational climate and culture.

The ODSC would be responsible for OD in the entire organisation. They would own the OD process mainly through their own initiative. They would endeavour to learn from their experiences and ensure that mistakes are not repeated. The ODSC would be accountable to the ODG as well as the ED.

The ODSC would endeavour to follow the OCTAPACE norms and values. As members of the ODSC, the participants would abdicate their formal power. Instead, as a collective body, they will utilise their power of perspective, knowledge, experience, leadership, vision and mission. It will be the power from within and not the power derived from position which will form the basis of working.

The expectations from the ODSC voiced by the six members were:

- Create a wave of OD with a sense of immediacy and urgency;
- The ODSC should not become like any other committee. It should play a leadership role in improving motivation as well as quality of work life;
- Achievement through Control should be replaced by an inner urge. Success was to be achieved not only through task and technology but also through attention to and facilitating the human process;
- OD should facilitate increase in productivity, and reduction in wastage;
- The ODSC should facilitate the development of managers so that they could take on the intra-organisational responsibilities leaving the Top Management free to handle policy and boundary management functions;
- The ODSC functions in such a way that it does not lead to cynicism or withdrawal amongst *others*.
- The ODSC would be a strategy group and would not take executive responsibility.

The ODSC would meet once a fortnight.

Any recommendations would be submitted to the ODG, and on getting its approval, the ODSC will submit them to the ED for his consideration and suitable action. The executive authority will remain with the ED.

3) Task Force

Following the constitution of the ODG and the ODSC, task forces were constituted to act as a staff group of the Top Management team. Each task force was to submit a report to the Top Management team, and after ratification by the Top team, the report was to be submitted to the ED for executive action. These task forces were meant to function for a limited period of three months, whereafter, having submitted their reports, they would be disbanded.

Based on the issues and concerns raised by the people after receiving the survey feedback as well and on those areas requiring attention on priority as highlighted by the diagnosis data, the following task forces were constituted by an executive order of the ED. The task forces were on:

1) Future directions
2) Structural reorganisation
3) Decision making
4) Managing problems
5) Recognition and rewards
6) Training

Each task force was headed by a Chairman from Level I and was constituted of 10-12 members drawn from across the Levels as well as across the collieries.

The task forces had a dual foci:

- to examine the process of group functioning as they worked together as members of a task force;
- to keep track of the content of their group's work culminating in a report.

The task forces worked as per the following framework:

1) Define the subject, i.e., the variables, components and elements involved, as well as their inter-relationships: Develop empirical data-base as well as measurable indicators.
2) Define the present state, i.e., what is actually happening as of now.
3) Develop the vision of the future state.
4) Bring out the gap between the future state and the present state.
5) Identify the blocks, the restraining forces, that hinder movement towards the future state.
6) Recommend plans of action to help move in the direction of the envisioned future state.

Each of the six task forces submitted their reports.

These were vetted by the ODG. The recommendations were divided into operational and policy related recommendations. The recommendations pertaining to the operational area which could be acted upon almost forthwith were taken up for action. Appropriate executive orders were issued by the ED to give effect to these recommendations. Recommendations pertaining to policy issues were referred to existing committees involved with those areas to take cognizance of while reviewing policies.

These task forces had the effect of making a large number of officers think jointly about issues confronting them thereby enhancing their sense of involvement with the organisation and its problems; the foci of these task forces having emerged from the organisational diagnostic data. Their understanding also signalled the steps to be taken in in ameliorating the existing state of affairs. All this seemed to help rebuild some of the lost trust and confidence in the Top Management and in collaborative effort. People could visibly see that something had begun to happen.

4) Internal Facilitator Development

Accordingly to Gupta and Pareek (1982), "The success of OD depends on the effective use of and coordination between external consultants and internal change agentry function. Both the external consultants and the internal change agents are facilitators in the process of OD. The external and internal facilitators have specific functions to perform, some of which are common and some which supplement each other. To perform these various functions effectively the facilitators needs to go through sustained educational preparation and training for professioal development."

The objectives of the internal facilitators (IF) development programme were the following:

- To help individuals become facilitators by providing opportunities for their growth and development;
- To provide opportunities to individuals to reinforce their development as specialists in human processes and to emerge as process consultants. In order to promote this growth, the emphasis in training would be anchored in personal growth on the one side, and perspective development on the other.
- To provide opportunities for learning more about the use and application of behavioural sciences for human development. For growth of the facilitator role, the

training will emphasise a sequentially balanced exposure to cognitive inputs and group experience, understanding and application.

- To provide a framework of professionalism and a support system of a fraternity of facilitators subscribing to OCTAPACE values and norms;

The IFs were envisaged to continuously energise the OD movement and play the role of reinforcement agents in various collieries, performing functions like:

- Vetting of various individual and group projects;
- Facilitating meetings so that these were conducted in the OD sprit;
- Facilitating application of the concepts learnt in various development programmes. They would continuously do the follow-up work in their respective collieries, organise meetings of the persons who had attended such programmes, generate ideas for implementing concepts, identify bottlenecks and facilitate removal of these bottlenecks through the involvement of the people concerned;
- They would also give feedback to the external facilitators regarding the programmes conducted and the projects undertaken with a view to facilitate continuous improvement in these. They would also be the eyes and ears of the Top Management of each colliery and give constructive feedback on the progress of OD in the colliery;

They would play this role over and above their normal call of duty and would be continuously involved in the activity.

The ODSC evolved the following criteria for the selection of the IFs.

- They should be bright people with high potential for growth.
- They should possess an untarnished image and be widely accepted in the organisation.
- They should be driven by the extension motive and should be interested in working with people.
- They should be able to devote sufficient time for this role.
- Locational and level balance ensuring proportionate representation was to be kept in mind while selecting the IFs.

As a first cut, the ODG decided to select 20 IFs. After seeking the concurrence of each one of them, these names were forwarded to the ED, who after due deliberation, issued executive orders inviting the proposed members to join as IFs.

An L-group was conducted for the IFs to help the participants become aware of their patterns of behaviour and their impact on others; to help improve their effectiveness in interpersonal interactions and derive a greater sense of satisfaction from them; recognise feelings, diagnose needs and improve their ability to deal with conflict, to help discover their potential to live life more fully and effectively. The L-Group had the impact of transcending the organisational hierarchical levels and in knitting the IFs into a homogeneous group. In addition to this initial exposure, all the IFs were exposed to the various developmental programmes (described later) conducted in the organisation for different levels of Officers.

To supplement the exposure provided intra-organisationally to the IFs, they were nominated, in phased batches of 2-4, to labs and programmes, including the Professional Development Programme conducted by the Indian society for Applied Behavioural Science (ISABS).

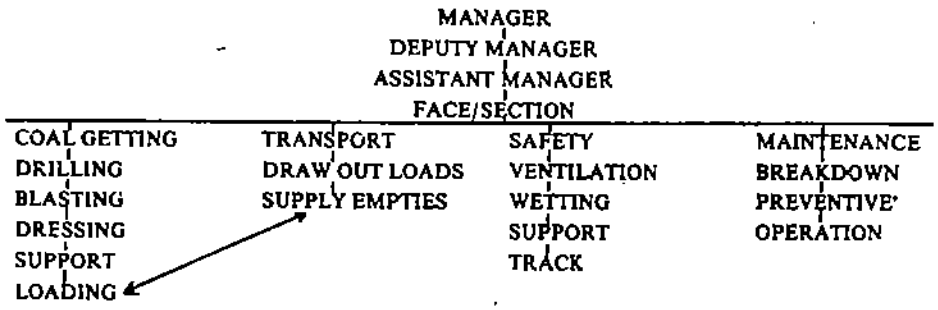
Thus, IF development theme was pursued continuously throughout the period of OD intervention in the organisation.

5) Face Organisation Centre Under Study

In order to improve the utilisation of a working face in a colliery, the ODG proposed the setting up of a Face Optimisation Centre Under Study (FOCUS) group. The idea

was to take a socio-technical view of the colliery operation at the mining face and explore the technological, managerial and social aspects of the job in an integrated manner. The entire work was divided into two phases (a) optimum utilisation of the mining face without work reorganisation, and (b) work reorganisation with amalgamation of jobs and multi-skill workers.

The operations involved in a typical face or section of a colliery are described in figure.



As a pilot project, it was decided to take one moderately performing section, comprising of 5 to 7 faces, from each of the five collieries. Five of the best Assistant Managers who were placed as focal persons. The total team working at the face comprised of 10-11 persons including an Assistant Manager, an Overman, a Mining Sardar and multi-skilled, skilled and semi-skilled workers.

The total team was involved in diagnosing technical as well as process related issues, evolving plans of action and implementing them.

In order to measure the progress of FOCUS activities, the following criteria were evolved by the ODG.

Direct	Indirect	
Production and productivity cost	Ventilation Support Number of accidents violation of statutes	Down time Breakdowns Tonnage lost

The activities of the FOCUS group had their impact. The morale of the teams working at the mining face went up. Involvement of the Overmen and the Mining Sardars increased their enthusiasm. They found the OD efforts (which according to them meant a systematic way of working) useful. For example, one of the sections where production was at a level of 110 tons of coal per day, and whose planned and rated capacity was 170 tons per day, began to produce consistently around 220 tons per day over a period of six months, much to the surprise and joy of all involved including the ED himself. Spurred by the success of the pilot groups, the ODG suggested dissemination of similar efforts across the collieries.

6) Role Efficacy And Role Negotiation

Parcek (1987) defines role efficacy as the potential effectiveness of an individual occupying a particular role in an organisation, or in other words, role efficacy is the potential effectiveness of a role. Role efficacy has several aspects. These aspects can be classified into three groups or dimensions. The more these aspects are present in a role, the higher the efficacy of that role is likely to be.

One dimension of role efficacy is called "role making" contrasted with role taking. The first is an active attitude towards the role (to define and make the role as one likes), whereas the second is a passive attitude (mainly responding to others' expectations). The aspects in the second dimension are concerned with increasing the powers of the role, making it more important. This can be called "role centering" which can be contrasted with "role entering" (accepting the role as given, and

reconciling oneself to its present importance or unimportance). The relationship of the role with other roles and groups), contrasted with "role shrinking" (making the role narrow, confined to work-related expectations).

The different aspects of role efficacy are summarised below:

Dimension 1: Role making (contrasted with role taking)

1) Self role integration (vs role distance): integration between self concept and role demands
2) Proactivity (vs reactivity): initiating action
3) Creativity (vs routinity): Experimenting and trying out new ideas/strategies
4) Confrontation (vs avoidance): facing problems to attempt their solutions

Dimension 2: Role centering (contrasted with role entering)

5) Centrality (vs peripherality): Feeling important or central in a system
6) Influence (vs powerlessness) the feeling that occupying a role can make some impact in the system
7) Growth (vs stagnation): the feeling that one occupying a role grows and learns in the role.

Dimension 3: Role linking (vs isolation): Linkage of ones role with other roles

8) Helping relationship (vs hostility): Giving and receiving help amongst roles
9) Superordination (vs deprivation): Linkage of one's role with larger entity/cause.

The members of the ODG were exposed to a programme on role efficacy. They were asked to write an essay of about 500 words on 'My Role in the Organisation' encompassing ideas on how they perceived their role, how they felt about it, and how they operated in their role. They were free to cover whatever other aspects they thought were relevant. They were encouraged to be spontaneous and to write whatever they perceived as being significant about their role.

Subsequently, the dimensions of role efficacy were explained to them as well as the system of scoring the essays. They scored their essays in triads. The group on the whole was found to be high on the dimensions of Centrality, Linkage and Proactivity, moderate on Intergration, Help, Creativity and influence, and low on Superordination Growth and Confrontation. This was followed by an exploration of the ways of enhancing one's efficacy.

Explorations in role efficacy were following by role negotiations where each member of the ODG became a focal person turn-by-turn. All the related role senders were asked to write down their expectations from the role of the focal person. These expectations were shared and were followed up with mutual negotiations leading to greater clarity of one's role.

The exercise on role efficacy helped the focal person design and negotiate his role incorporating elements that would enhance his efficacy and effectiveness.

7) Excellence Through Achievement Motivation

In order to promote a climate of Achievement, Expert Influence and extension, programmes on Achievement Motivation were conducted for all the Officers of Levels 1, 2 and 3.

Following McClelland's (1953) definition of motivation as "an affectively toned cognitive network" the programmes were designed to stimulate emotional arousal as well as help the participants think about managing and doing things in a better way.

The programme covered the administration of the Thematic Apperception Test (TAT), reflection on life goal, concept of work, risk and challenge, characteristics of people with high need for achievement, concept of motivation, different kinds of

motivations, concept of achievement imagery and the sub-categories of the achievement syndrome, scoring and interpretation of the participants TAT stories, the role of pygmalion in management, and finally culminating in an individual achievement project.

Emphasis was laid on the development of achievement motivation through the processes of goal setting, speaking the language of achievement, developing cognitive and group supports and encouraging the participants to create an achievement mystique.

Specific attention was paid to issues like:

- Are we building achievers?
- Are we pygmalions?
- What processes do we generate?
- What kinds of cultures have we created?
- Do we need to do something else?

In addition, in order to create an achieving culture and sustain it, the following issues were addressed:

- What would be the role of manager?
- What are we doing that is dysfunctional?
- What are we doing that is functional?
- What supportive structures are necessary?

Each participants had drawn up an achievement project which was followed up by the IFs and ODG periodically. This created a fair amount of stir in the climate. For instance, target-setting became more achievement-oriented with many a manager adopting a participative bottom-up approach.

8) Team Building

Any organisation depends on the cooperation of a number of people if its work is to be done effectively. Consequently, groups or teams of people come together on a permanent or temporary basis to accomplish work. Temporary teams can function for a matter of days or weeks; permanent teams, over a long period of time. Teams can work together in functional or dysfunctional ways; if the teams work is dysfunctional there are ways of improving its effectiveness.

Team building may be defined as any planned event with a group of people who have or may have common organisation relationships and/or goals which are designed to improve the way in which work gets done by them in some way or another.

Teams can be categorised as follows: (!) groups reporting to the same hierarchical supervisor; (2) groups involving people with common organisational aims; (3) temporary group formed to do a specific, but temporary task; (4) groups consisting of people whose work roles are interdependent; and (5) groups whose members have no formal links in the organisation, but whose collective purpose is to achieve tasks they cannot accomplished as individuals. Just as there are various types of teams, there are a number of factors that effect the outcomes of a specific team-building activity, the team's willingness to look at the way in which it operates, the length of the time the team has been working together, the permanence of the team, etc. Consequently, the results of team building activities can range from comparatively modest changes in the team's operating mechanisms, e.g. meeting more frequently, gathering agenda items from more sources, to much deeper changes, e.g., modifying team members' behaviour patterns or the nature and style of the group's management or developing greater openness and trust.

In general, the results of team building activities can be classified into three main areas: (1) results specific to one or more individuals; (2) results specific to the group's

operation and behaviour, and (3) results affecting the group's relationship with the rest of the organisation. Usually, the results of a specific team building activity will overlap these three classifications.

Team building efforts are improved by a number of factors, including the people involved, the perceived relevance of the activity to personal and organisational problems, the timing and the degree of freedom the team has to make necessary changes. The people involved, especially the boss or senior authority figure, are crucial to the success of this type of activity. Not only should the boss be supportive, but the individual team members must want to be involved. An outside, process consultant is usually needed to keep the team on the track and to act as an objective, relatively detached observer, since it is extremely difficult for a member of a team to be simultaneously a participant and an observer. In addition, the process consultant can gather data in advance of the team building session(s) to help the group understand and diagnose its own problems.

Going back to the example given, a series of team building workshops were conducted for the ODG. The foci of these workshops was on building mutual trust and interdependence, building skills of listening, confrontation and problem-solving with special emphasis on diagnosis (both process and content), generating alternatives and collaboration work methods. These workshops were restricted to the Top Management team as it was thought that this team's functioning effectively would serve as a model for others to emulate.

9) Personal Effectiveness

The maximum gap on the dimensions of organisational environment was in the area of Personal Development. In order to address this need, a series of programmes on Personal Effectiveness were conducted across the different Levels of Officers.

Personal growth could be visualised as a quantitative increase in one's knowledge and abilities, while personal development may be seen as a qualitative unfolding and maturing of a person's potentialities. Being engaged in continuous routine work, people tend to ignore their needs for growth and development, and instead, develop a sense of ennui, internal stagnation and fossilization.

A good part of personal growth and development can take place on the job in relation to a person's knowledge, attitudes and the skills that he uses or is required to use, to make him more effective. Hence a programme was designed focusing on self-awareness, interpersonal competence, group process awareness and skills, problem-solving and leadership. Each programme revolved around the participant's work-related problems and issues and culminated in a plan of action which he/she was to implement in his/her work setting. These action plans were followed up periodically ensuring the evolution of some revised norms and practices in managing themselves, their people and their work.

10) Supervisory Development

Most of the efforts in OD have been directed essentially towards the development of the managerial cadres, the aim being to direct their attention to re-examining the prevalent systems, norms and values governing organisational life and bringing about necessary changes for moving the organisation towards a sense of stable excellence.

The supervisors (overmen and Mining Sardars), who in a sense were the real backbone at the underground operations, had not had any exposure to concepts and practices of management which could help them enhance their effectiveness as leaders of groups of people, where the substantive part of the real work lay. The supervisors were undoubtedly a critical link in the whole chain. Their ability to manage or otherwise was likely to have telling consequences on the effectiveness of the total operation of the collieries.

Recognising the significance of the role that the supervisors played in the whole situation, a meeting was held with a group of 15 supervisors, three from each of the five collieries. Some members of the ODG as well as the external consultants were

based on the discussions with the supervisors, regarding the analyses of their tasks and activities, and the pivotal role that the supervisors played in the total operation; developmental needs in the areas of knowledge, attitudes and skills were identified.

The broad objectives of the development programme evolved were to:

- Maintain and develop the sense of identification with the company
- Help technological upgradation and prepare the ground for introducing technological change
- Bridge the gap between the managerial cadres and the supervisors
- Reinforce the self-image of the supervisors by enhancing their technical competence, their ability to manage groups of people, and by encouraging meaningful contribution from them at work and in their community.

Based on the above objectives, three modules on Company Orientation, Technical Orientation and Behavioural Orientation were developed and conducted for all the supervisors across the collieries. This had a vitalising affect with supervisors responding enthusiastically not only to the programmes but also implementing many a change at their work place.

In addition to the conduct of these modules, these development programmes were utilised by the Management as an informal opportunity to establish, develop and maintain rapport and linkage with the supervisory cadres. Members of the ODG were invited to meet the participants informally over a cup of tea, lunch or dinner and share as well as listen to the views and opinions of things happening in and around the organisation, and their effects on the people.

Over and above these interventions, the ED initiated a Management Employee Communication meeting organised once a month where the members of the ODG met groups of employees and entered into a face-to-face dialogue about issues concerning the people and the organisation.

One running theme that needs to be highlighted was the focus on personal growth and development throughout the different phases of the intervention activity. Almost all programmes and workshops culminated in personal action projects with a dual foci- one on self and the other on applicaton in the sphere of work. These action projects and plans were followed-up and monitored by the group of IFs on a continuous basis to lend stability to the changes being ushered in and to encourage efforts for further improvement.

9.5 SELF-ASSESSMENT TEST/QUESTIONS

1) What is intervention. Explain different types of intervention?
2) When do you use survey feedback intervention in an organisation?
3) Why should OD group and OD steering committee be formed?
4) Explain the intervention methods of task force, internal facilitator development.
5) Briefly describe personal effectiveness method of intervention.
6) Explain the difference between internal facilitator development and supervisory development interventions.

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UNIT 10 EVALUATION OF ORGANISATIONAL CHANGE PROGRAMMES

Objectives

After reading this unit you will be able to

- comprehend the concept of evaluation and some of the major issues involved in evaluation
- comprehend the rationale for evaluation
- identify the stakeholders in evaluation
- understand the basic components of evaluation, types of evaluation and the issues involved in planning and conducting an evaluation.

Structure

10.1 INTRODUCTION

The Chief Executive Officer of a Company in a meeting of the top executives of his company comments, "Gentlemen, we are having this programme of C.W.Q.M. (Company Wide Quality Movement) for the last two years. What impact has it produced? Isn't it time that we found that out?"

Another Chief Executive Officer asks the President who is also looking after the OD programme, "Well, we've put in a lot of resources, money, executive time and all that, how are we sure that we are moving in the right direction?" A Director comments, "We should explore if we need any mid-course correction".

A General Manager states, "How is our new cafetaria working? Is the scheme well conceived? Is it fulfilling the objectives we had in mind while we introduced the scheme?"

The need for enquiries is heard on numerous occasions everyday throughout the organisation—be it technical, economic or social or socio-technical in nature.

- Do we have the proper inventory?
- Don't we need reinforcement in our processing department?
- We in our finishing department are not as good as our competitors, are we?
- Does not the costing system need updating?
- Aren't we way behind others in introducing computers?

All these and similar instances involve questions that are expected to be settled by evaluations. The questions can be on a company-wide programme or it can be a very localised phenomenon. The range of programmes that await evaluation can be very large from social change programmes to very tiny issues of everyday life. For example, various plans for national development funded and monitored by agencies like the Planning Commission or the World Bank, various ministries at the Centre and the State, are evaluated regularly. An Educational Programme, Institutions, courses, teaching, teachers as well as individual students—each element can be subjected to evaluation. When a student appears for an admission test to seek entry to an educational institution, the decision about his admission is taken on the basis of evaluation. Expressions like better pen, tallest tower, coldest day warm greetings, prettier face, depressing afternoon—are also based on evaluation. It also indicates that evaluation can be arranged on a long range of a continuum—from informal evaluations to formal evaluations, (Joyce, 1980).

The evaluation that is described in this chapter is different from the monitoring evaluation. These evaluations are done by external consultants who designed the change programme or the internal managers in the designing group or a separate management group not involved in the change programme or a separate evaluating group which was not involved in the change programme is invited by the management from outside the organisation.

10.2 CONCEPT OF EVALUATION

There is an emergence of a distinct professional discipline of programme evaluation through professional post-doctoral education (Crombach et al, 1982).

Evaluations at the formal end of the continuum have been labelled as evaluation research. Suchman (1967) defined evaluation research solely as "the use of the scientific method of collecting data concerning the degree to which some specified activity achieves some desired effect" (p. 45). Weiss (1972) also forwards a similar idea. "The classic design for evaluations has been the experimental model" (Weirs 1972), (p. 9). Rossi *et al.*, 1979 and many others endorse the same view. According to Legge (1984), evaluation research is "the systematic assessment of programmes of planned change, as an activity whereby managers and administrators attempt to control and reconcile these two images of imminent change" (p. 2-3). Two images of change, one optimistic and the other pessimistic, are images that any society faces today. Warren Bennis, ever since 1966, writes continuously about the dizzying rate of progressive change that the world has been experiencing during the last few decades (see Bennis *et al.*, 1976). From Legge's point of view all these changes do not sing a saga of unmixed bliss for mankind. Change has two faces. The optimistic image is where man is viewed as capable of, and indeed, should attempt to be master rather than servant of his environment; where man manipulates, controls and changes his environment for the general betterment of his fellows. The other image is the pessimistic view of change that subjugates man to be the servant or victim of the environment characterised by forces like energy crises, economic recessions and so on. The role of evaluation is to reconcile the dynamics of these two opposing sets of forces. Legge (1984) states that, "We all evaluate, that is assess, against implicit or explicit criteria, the value or worth of individuals, objects, situations and outcomes, informally and often unconsciously everyday of our lives."

Division of evaluation into formal and informal categories was not enough as "some writers chose to distinguish between evaluation research, and studies of programmes across various settings, from single setting studies which they term, programme evaluation." (Nicholas, 1979, p. 27). This distinction between evaluation research and programme evaluation was made with a casteist puritanic zeal as some feared that the programme evaluation of single setting may exhibit "the weakest of all study designs—the case study in which a programme is analysed without comparing it with any sort of control" (Rossi and Wright, 1977, pp. 16-17). This apprehension may rise from the stipulation that progamme evaluation may violate the rigorous, professional principles of scientific activity. Legge (1984) comments "...Evaluation research may be typified as a "scientific" activity undertaken by "professional" evaluators". It is important to note the attitude towards single setting studies because in evaluation of organisational change in a single organisation, the scope for multiple setting and

obtaining controls may be very difficult to obtain and at times, unethical to take. But before proceeding further it may be necessary to examine: how far evaluation research is research in the sense that it focusses its central attention on general knowledge, on establishing, what Burgoyne and Cooper (1975) term, as "enduring truths" (p. 54). The answer can be in the words of Anderson and Ball (1978).

> "The stereotypes are as follows: Research is knowledge—oriented; evaluation is decision-oriented. Research derives from themes and principles; evaluation is theroretical or, at least, diffuse and eclectic in its source of inspiration and hypotheses. Research provides generalizable knowledge in the form of new themes and principles without necessarily offering immediate practical pay-off; evaluation provides immediate practical pay-off without necessarily providing generalizable knowledge" (pp. 9-10).

Evaluation and research are always different in their aims, objectives and emphasis, though in conducting their pursuits they draw techniques from the same pool of methodology and follow similar guidelines. Evaluation and research are different: it should not mean that they are not related. Too much differentiation of theoretical research and practical research, academic and applied, is ultimately futile as there is a considerable area of overlap. Evaluation has also contributed to the generation of theoretical knowledge; research has, besides generating scientific knowledge, contributed in improving organizations.

An example can be examined from the famous study of Roethlisberger and Dickson way back in 1939. The study consisted of controlled experiments in a Western Electric plant at Hawthorne, Illinois. The measurement wanted to know the relationship between the physical work environment like ventilation and so on and productivity. They found out that social relationships and perceptions had more influence on productivity than physical variables. It aroused interest in group processes and set up a foundation for 'Action Research' propounded by Kurt Lewin and his associates who contributed tremendously to the understanding of group processes and group dynamics. Under the leadership of Kurt Lewin, he and his associates also developed. 'Sensitivity Training'. These pioneers made many theoretical contributions (Deutsch, 1975). These are some of the instances where one would be baffled to draw a line between theoretical research and field research, between evaluation and research. A student of evaluation may take note of the diversity of stands taken according to the academic and professioal background to which the evaluator principally belonged. Each field has had its own tradition in evaluation, its own criteria of proper procedures, and its own respected sources (Nelson, 1977).

> "Economists and systems analysts were accustomed to large compilations, but they had little background in instrumentation and data collection. Psychologists knew a great deal about observing and questioning individuals, but they lacked experience with institutions. Those trained in the laboratory were ill prepared to deal with the fluid field setting, where even the meaning of a measuring instrument can change from one site to another. Similar difficulties were faced by statisticians, sociologists, and others new to evaluation. Investigators who had previously collected data in social institutions were somewhat better able to appreciate the requirements of an evaluation. But to them also, the intellectual, logical, and gladiatorial complexity of evaluating a nationwide programme was new" (p. 50).

Once a sectarian view develops, and is held dearly for years, and practices are found upon that view, it becomes a matter of professional faith that stops even a scientist to search for a new identity. The old traditions still continue but a new interdisciplinary approach, represented by broader vision and perspective, is emerging. The current literature is marked by the direct studies on research and its interface with change and changing. Research is not viewed as more brahminical. Research and evaluation can mutually reinforce each other. The interdisciplinary interactions and approaches are making the boundaries less rigid and movements for synthesis can be noticed and a more tolerant new discipline is emerging (Abert and Kamrass, 1974; Gauttentag and Streuning, 1975; Ross and Cronbach. 1976; Abt, 1976). With an objective to move towards reform of programme evaluation, a pioneering group was established, called

the Stanford Evaluation Consortium at Stanford University (directed first by Lee J Cronbach and later by Denis Phillips) in 1974 comprising twenty faculty members and an equal number of doctoral students drawn from Education, Psychology, Sociology, Statistics and Communication Research, who wanted to stretch beyond their specialities. Their concept of evaluation can be a dependable guide to understand the current trend of approach to evaluation. They define, "By the term evaluation, we mean systematic examination of events occurring in and consequent on a contemporary programme—an examination conducted to assist in improving this programme and other programmes having the same general purpose. By the term programme we mean a standing arrangement that provides for a social service. Programme evaluation is sometimes concerned with an established programme, sometimes with a plan that could be established if found suitable" (Cronbach *et al*, 1980, p. 14). Does this concept of evaluation fit with the requirement of evaluation in the context of the needs of an organisation? Yes, it does, if (a) the concept of programme is limited to purposive, man made arrangement of activities and excludes events, phenomena or processes leading to those events that basically arise from nature (about which a scientist may be interested) and (b) if the meaning of 'social service' includes the service to the stakeholders (internal and external) of the organisation. Cronbach *et al.* (1980) also points out: "Our main concern is with complex, organized programmes those that affect many persons in many places. The discussion also applies, however, to the evaluation of a programme confined within a single institution" (p. 15). According to them there is no fundamental difference between evaluation of multiple programmes or a single programme, complex or simple, geographically localised or spread out, between those and that take up more resources are potentially more influential and those with less resources and influential. In short, variation and diversity in space, people and time in constituting a programme should not affect the process of evaluation. "The plan for a one-hour film and discussion programme on venereal disease is a target for serious evaluation; what we say should apply to it", they say (Cronbach, 1980, p. 16). This approach dissolves the distinction between the programme evaluation and evaluation research that some authors sought to make, as mentioned earlier.

Approaching from a different point of view Legge (1984) observes that many of the programmes conventionally labelled as social change are not dissimilar to organisational change. "Clearly the content and recipients of programmes of planned social change differ from those conventionally labelled as organisational change" (p. 17). But there are many organisational changes that affect the life of individuals within and outside an organisation and also there are social changes that can be effected by changing the organisations delivering the social services. "The similarity between many examples of planned social and organizational change emerges when we consider the focus of analysis and action in organisational change" (1984 p. 17). Legge suggests further that "Programmes of social change that would still not be classified as organisational change would be those which involved manipulating discrete variables in individuals general economic/social/legal environment in order to directly modify their behaviour as a general social category the "low tax payers", OAPs racial minorities) not as organizational members" (p. 18). The point is not to search for similarity between events and between cases. Similarity lies in the approach, methodology, focus of analysis, in short, the science and technology of evaluation as applied to social change or organisational change.

10.3 RATIONALE FOR EVALUATION

The reasons for doing an evaluation are marked by controversies amongst the theoreticians. Some of the reasons forwarded are discussed below:

In today's world organisations are in a turbulent environment. Technical, economic, social, political and cultural changes cloud the horizon with uncertainties. Only the fittest can survive. To remain the fittest an organisation has to be a learning organisation. An organisation has to learn constantly about the ways it can adapt to demands from outside as well as from inside; about the ways it manages itself about the programmes, procedures, processes, systems, structures; about the difficulties it is trying to overcome; whether it is moving in the right direction and what faults and

blocks it needs to overcome. An organisation has to become a learning organisation. The process by which an organisation learns is evaluation. That process may be personal and impressionistic or systematic and objective. The purpose of evaluation is to generate information, to create feedback systems to guide operations, to assure the policy makers, planners and implementors that they are proceeding on the right lines; to make services rendered by an individual, group or a department responsive to the needs of the organisation.

A view of the wide range of purposes has been provided very succinctly by Cronbash et al. (1980): "Evaluations are initiated for many purposes, sometimes conflicting ones; choosing a best prospect among several proposed lines of action, fine-tuning a programme already in operation, maintaining quality control, forcing subordinates to comply with instructions, documenting that one's agency deserves its budget, creating support for a pet proposal, casting suspicion on a policy favoured by political opponents, and so on. Even among the purposes that call for honest enquiry, the range is greater than any single study can fulfit" (p. 13). They further state that, "We are interested in programme evaluations that contribute to enlightened discussion of alternative plans" (p. 16). Some of the purposes prominently pursued by some theoreticians have been put aside by Cronbach et al. (1980): "We do not stress quantitative statistical methods, or "goal attainment", or the intent to judge a programme as good or bad. Such emphases block useful inquiries... Our list of features does not fit evaluations that stress "accountability". An accountability system looks back at what was done last month or last year with the intent to apportion responsibility among the programme's operators. This is both a limited view of the reasons for a programme's success or failure and a limiting view of how evaluation can best be used to bring about improvement. Evaluation is not used, we think, to bring pressure on public servants, though it should assist in understanding why shortfalls occur" (p. 17).

> What is the design of involving the employees in the programme? How should they be exposed? How is the selection of participants to the change programme done?

It may be noted that this category of decision making seeks information on all aspects of a change programme's operation—its objective, content, methodology, context, personnel policies and practices (Anderson and Ball, 1978). Evaluation here puts aside 'summative' information and is not bothered about the judgement on the product of the programme but on the process by which the programme happens with an idea to support or improve an on-going programme or a similar programme to be undertaken later. It may be worthwhile to recall the warning given by Cronbach et al. against summative evaluation and their preference for evaluation information that helps generate greater learning. Learning potential from summative evaluation is very little. Leverage to improve things lies in the process knowledge and the feedback obtained through evaluation enriches that process knowledge directly.

10.4 THE STAKEHOLDERS IN EVALUATION

People who are involved and interested are many. They play different roles and undertake different functions. Rare will be an instance when even a Maharaja, or in the present day language, a President of a country or the Managing Director of a company can conceptualise a programme and operationalise it the way he wants it. Muhammad Tughlak could do it; Akbar the Great could not do it with his 'Din Elahi'; none can say 'vini, vindi, vici' today. We are reminded of Truman's remark about Eisenhower on the latter's installation in the Oval office: "Power like! He'll sit there and say do this and do that and nothing will happen" (self, 1975, p. 104). How apposite the comment is many a manager and evaluator across the world realise it every day.

Roles of the audience for an evaluation have been divided into nine categories by Rossi et al. (1979, pp. 293-295); into ten to twenty major constituents by Abt (1979). Cronbach et al. (1980, pp. 100-103) coined the term, 'The policy-shaping community' within which the major roles are:

1) Public Servants
   a) Responsible Officials
      i) Policy level
      ii) Programme level
   b) Operating personnel
2) The Public
   a) Constituents
   b) Illuminators

The above categories except illustrators, do not need much of an elucidation. The definition of illustrator has been given as "A special role within the public category is that of the illuminator, who reflects on public affairs and offers interpretations. The influential persons we have in mind include reporters and commentators, academic social scientists and philosophers, gadflies such as Hyman Rickover and Ralph Nader, and some novelists and dramatists."

Pareek (1982) had indicated the key roles in managing change. From the point of view of evaluation, the following groups involved in a change programme may be considered seriously:

1) Policy making group
2) Resource allocating group (mainly funding is often highlighted but other resources are also of important consideration)
3) Programme designing group
4) Implementing group:
   (a) Executive group
   (b) Operational group
5) Programme receiving group

The management, wholly or partly, assumes the role of the policy making group. Often the policy making and resources allocating roles are compounded together. Programme designing role can be done internally or by bringing in consultants from outside the organisation or jointly by an internal group working with external consultants. The executives. group determines the plan based on the policy and available resources. The monitoring role is taken up either by the Designing group or by the Executive group. The Operating group brings down the programme to the end user's doorstep. Programme receivers are the people in the organisation at whom the change programme is beamed. They are the ultimate *instruments* of the change or the *beneficiaries* of change.

10.5 WHO DOES THE EVALUATION?

The kind of evaluation that is a regular part of the job of a manager and is done almost routinely at periodic intervals, like daily, weekly, fortnightly or monthly, is also termed as appraisals and reviews. It is better to use the term monitoring evaluation for that purpose. One of the main criteria of monitoring evaluation is the simultaneity of the change process and monitoring process. With the widespread use of computers, almost instantaneous data availability has made monitoring through MIS (Management Information System), MPCS (Management Planning and Control System), PERT (Programme Evaluation and Review Technique) and similar other processes, a sophisticated discipline by itself.

At first sight these assertions may appear startling to many. They demand critical reflection. When one sees statistical fireworks displaying colours of many splendours in order to arrive at a definite answer to a non-question or to a wrong question, significant at .01 level after quantifying to three decimal places what is essentially non-quantifiable. One remembers the search of the blind man for Schopenhaur's black cat in the dark room when the cat is not there. The comments of Cronbach et al warn against that kind of futile endeavour. They are inviting evaluators to operate from their enlightened wisdom rather than from the doctrinnaire bound knowledge. Every art has its own rigorous grammar; an artist has to master the grammar and perform

beyond it.

Most writers view that a major reason for evaluation is to provide information for decision making. Weiss states: "The basic rationale for evaluation is that it provides information for action. Its primary justification is that it contributes to the rationalization of decision making" (Weiss, 1972: see also Angrist, 1975; Cooper and Mangham, 1971). When a change programme is visualised as manipulation of independent variables to produce effects on specified dependent variables, the evaluation may bring out the information about the actual interrelations developed in the ongoing process of operation of those variables and the impact of the independent variables upon the dependent variables. The evaluation then can reduce the uncertainty about the interrelationship between means and ends in decision making.

An overview of the relationship between evaluation and decision making has been provided by Anderson and Ball (1978). They think that evaluation can contribute to three types of decision about change programmes:

1) Decision about programme installation
2) Decision about programme continuation, expansion/contraction, and certification
3) Decision about programme modifications.

Informations to be elicited from evaluation for these three types of decision making mentioned above are varied, depending upon the contingent nature of the decision making situations. An illustrative list is provided below:

1) For decisions about *programme installation*, the questions may be:
   - What is the need of the programme?
   - What are the alternatives?
   - What is the best alternative?
   - Does the alternative being suggested really exist?
   - From whose point of view do the alternatives exist?
   - What is the best possible plan for the programme?
   - What is the best strategy?
   - What are the tactics, the methods to be employed and so on?
2) For decisions about *programme continuation, expansion/contraction and certification*, the questions may be:
   - Was the programme a success?
   - Did it achieve its objective?
   - What were its effects?
   - How did the results compare with results obtained from another group with the same change programme?
   - Is the performance better than the performance obtained from another period?
   - Is the performance better than the best obtained earlier?
   - Did the programme achieve results when judged in relation to criteria derived from the objectives of the change programme?
   - What are the possible side effects, by products and unintended consequences?
   - What are the contextual factors that are associated with particular result obtained by the change programme?
   - What are the costs incurred?
   - What are the resources required?
   - What are the demands and support that the programme has generated?
   - What are the continuing needs of the programme or has the programme been so successful that is no longer needed?
   - What would be the cost and resources needed in future for meeting the continuing needs?
   - Can the same efforts be achieved at less cost?
   - Can greater effects be obtained at the same cost?

   It may be noted that for overall programme effectiveness, the impact or

'Summative' information (after Scriven, 1967) may be examined from a comparative or absolute perspective (Anderson and Bell, 1978, pp. 28-29). In comparative assessment results are assessed in comparison with another programme or the results obtained elsewhere. In absolute perspective, the results are judged by the criteria deduced from the objectives. Questions emerging from both types of perspectives are cited above.

3) For decisions about *programme modifications,* the questions may be:

- How acceptable are the objectives of the change programme to all the parties to the change?
- Is the content of the programme relevant to its objectives?
- Which components of the content most adequately serve which objective?
- Are the components appropriately sequenced?
- Given the objectives and content, what is the best macrodesign and best microdesigns of the events inside the macrodesign?
- How should the programme be presented best?
- How are the organisational policies likely to affect continuing support for the programme?
- Are staff relationships cooperative or competitive?

10.6 OPERATIONALISING EVALUATION

In order to undertake an evaluation programme, it is necessary to identify the basic components of evaluation and an evaluation design.

10.6.1 Components of Evaluation

The basic components of evaluation are:

1) Objectives
2) Worth or value of the focal variable(s).
3) Measurement
4) Comparison
5) Conclusion

These are elucidated briefly.

1) Objectives: deal with the 'Why', that is the ultimate purpose for which the evaluation is being undertaken. It is synonymous to mission, goals or aims. It also keeps in view the needs of the stakeholders in general or of the specific need of a particular stakeholder. These may be varying, conflicting, overt and covert needs of stakeholders and the evaluators ranging from making policy decisions, midcourse corrections to adding more fuel to intraorganisational policies or even interpersonal politics.

At another level, the objectives can be understood in terms of gaining valid information about effectiveness, efficiency, impact or benefit in which case the end result of the change programme is kept in view.

The objectives of an evaluation at the formative stage, particularly when it is based on pilot studies, or at the initial stage of the main change programme, are to gain knowledge and insight about the efficacy of the main programme and about the designing of the main change programme. Objectives of intermediate evaluations at regular intervals would be to establish mile posts as benchmarks for time series analysis. So, the objectives of evaluation at the initial stage of a change programme, at the intermediate points, at the final stage or at the completion of the change programme may be different. Most useful evaluations have, in the final analysis, the purpose of improving a change programme.

2) Worth or Value: refers to 'What' of the focal variable(s). The focal variable(s) can be an individual, object, situation, a project or a prorgramme. Worth is the essence of existence of the variable. This is here and now essence, that is, it does not refer to other time, place and context, not what it was or it could be. Worth includes present quality, inherent potentiality and latent capability and power of the variable for the movement from the present state to the desired state. In conceptualising the value of the variable, a distinction has been made between, "merit" (context-free value) and worth (context-determined) by Guba and Lincoln (1981). From the point of view of evaluation, since either is important, worth and value are used here interchangeably.

3) Measurement: refers to 'how much' of the worth. The technique of measurement of social variables has been very well developed in psychology and sociology, more particularly in psychometrics. It is a quantitative transformation of some dimensions of the variable, usually referred to as properties, using a scale that may be actual or notional.

Estimation of worth can also be made by other methods which are qualitative and non-metric. Observational methods, case methods, interviewing, simulation techniques, projective techniques etc., mentioned in other units (6 & 7) can also provide valid data. These data are primarily qualitative though some of them can provide quantitative data on secondary transformation.

4) Comparison: refers to positioning the data in relation to some chosen reference point. The data obtained from the measurement of the worth of the focal variable can be positioned with data evolved from the measurement of another significant variable chosen for reference. The reference may be made to criterion variable. If in the evaluation design there is a control, the obtained data can be related to control data. The post-treatment data can be related to the pre-treatment data. Qualitative description of what has happened can be matched with how it was when the programme was not introduced or at the initial stage.

5) Conclusion: is arriving at a judgement after comparison is made. The conclusion can be made on the basis of objective logic or subjective preferences depending on what is warranted in a given situation depending on time, place and person. After taking a circumspective view of a large number of issues involved, it involves arriving at a final verdict as to the adequacy of the present attainment of worth for the final achievement of the desired objective of the change programme. The clearer is the keen of vision of the course on which the movement of the change proceeds—from the present state to the final state in the mind's eye of the evaluator, the sharper are his conclusions.

The starting point in evaluation is to define what is to be evaluated. Take for example, as a part of planned organisational change, a training programme was launched with the participants drawn systematically from some or all levels of employees. In evaluation of the training programme,

- the individual participant can be the focal variable or
- the focal variable can be the training sessions,
- the trainers,
- the design of the course,
- the utilisation of the training centre,
- the coverage of the participants,
- the desired learning emerging out of the programme, or
- the whole training programme including the effects it has generated in the organisation and benefits the programme has brought to the organisation.

On the policy level whether the training programme is desirable or not, the evaluation should be able to indicate it. Even if it is assumed that the training programme should continue on the basis of the logical theoretical standpoints, or on the consideration of many other factors like a belief that 'training is always useful 'or' it is a done thing in other organisations' etc, evaluation should be able to indicate what went right and what went wrong such that the same training programme or similar other training programmes can be improved. Lynton and Pareek (1990, pp. 226-247) provide a lucid illustration of the critical issues involved and how to do a good job of evaluation of

training programmes. What applies to the evaluation of a training programme, is also relevant in evaluating most other change programmes.

Once the focal variable is identified and the objectives defined, a conceptual framework of evaluation can be identified.

10.6.2 Evaluation Typology: A Model Based on Objectives

Katz and Kahn (1980) suggested that "assessment of organizational effectiveness and efficiency requires the use of a system perspective" (p. 171). If the change process is conceived in the systems model, the change programme can be understood as successive steps in a flow from inputs to benefits.

Fig. 9.1: Evaluation Model

Inputs	Transformation—Outputs—Outcomes—Benefits Process
	Intervention Process
	Efficiency
	Effectiveness
	Cost Benefit Analysis

Inputs are the resources set aside for the change programme. These resources are, for example, money, manpower, facilities etc. Transformation processes are the processes of conversion and changing through intervention. Outputs are the products and services. Benefit is the ultimate utility and value that the receivers of a change programme get. Based on these five factors with which evaluation is often concerned a typology of evaluation can be evolved. These types are:

i) Efficiency evaluation
ii) Intervention evaluation
iii) Effectiveness evaluation, and
iv) Cost-Benefit analysis.

i) **Efficiency Evaluation:** seeks to find out the quantity and quality of output (products/services) achieved per unit of input used. As Katz and Kahn (1980) state: "...in essence, it is the energic input: output ratio (p. 171)." For example, as money utilised out of money invested; hours of work put to use. Information on various types of utilisation like machine utilisation, manpower utilisation, fund utilisation, training centre utilisation, number of training days, total available working etc., comes under this category. The prime objective often in efficiency evaluation is to determine wastage and to explore ways of reducing it and increasing productivity. Another objective could be to produce systematically more of the same product and services at the least expenditure *of scarce resources.*

ii) **Intervention evaluation:** is concerned with examination of the transformation PROCESS. Often this forms the heart of evaluation from the point of view of theory of changing (Bennis, 1966) about which most facilitators or organisational change is concerned. Porras and Robertson (1987) suggest two broad types of change theory (following Bennis, 1966): **Implementation theory** and **change process theory.** According to them, implementation theory includes: (1) Strategy, (2) Procedure and (3) Technique. Variables that constitute change process theory are: (1) target variable (2) manipulable variables (3) mediator variables and (4) moderator variables. Assessment of all these seven aspects or of some of them are undertaken, according to the need, under this category.

iii) **Effectiveness evaluation:** is the assessment of outcomes from a given set of inputs passing through processes (see Scott, 1977). Similarly, Goodman and Pennings (1980) state: "A definition of OE (Organisational Effectiveness) must include some outcome or substantive dimension (e.g. profit, satisfaction or survival). The outcome represents the object from which OE is assessed" (p. 192). They think that attributes of organizational effectiveness should include not only outcomes but also **constraints, standards, *and* referents, and a functional statement.** Some of the effectiveness criteria that have been used by different organisational researchers are: achieving objectives and goals, adapting to external environment,

monitoring internal environment, revitalisation, integration, profitability, growth (in net sales, in earnings, variability in growth rate, risking, bargaining position, employee satisfaction, collaboration.)

iv) **Cost Benefit Analysis:** is to assess the benefits from a given level of inputs. Different stakeholders have different interests. This analysis takes into account the fulfilment of those needs. Cost-benefit analysis also examines the achievement of the metagoals of an organisational change programme—the ultimate utility and the social relevance, contribution to society and relevant community.

Out of the these types of evaluation, evaluation of efficiency is the easiest but often is the least useful.

Once the type of evaluation to be conducted is determined, the next phase is planning of evaluation.

10.6.3 Issues in Planning and Conducting an Evaluation

Planning for evaluation is based on certain considerations. A few major points that may guide planning and conducting evaluation are indicated here:

1) Select the questions that need to be pursued in evaluations. Stakeholders are many; their interests are varied; most of them are not scientists and the questions can be numerous. But the resources, specially fund and time, are limited.

2) Keep room for including other questions or modifying the questions with which evaluation started. As the evaluation progresses one may observe newer issues emerging and these issues may have significant bearing on improving the change process. Evaluation should be open to these questions.

3) The evaluator should familiarize himself with the change programme. Find out a great deal about the change programme—its history, how it was conceived, how it was run. The evaluator has to find out what to measure in order to trace how the programme works.

4) Select variables. Determine what kind of an evaluation it will be: efficiency evaluation or effectiveness evaluation. The stated objectives and goals of the programme, by themselves, do not yield the variables; nor do the questions that the stakeholders raise. After screening the questions and familiarising himself with the project and its context, the evaluator has to be imaginative to locate the variables, the study of which would yield answers to the questions raised.

5) Arrange the variables in their interrelationships. The dependent variable, independent variable and intervening variables are to be outlined. It may be planned to float a number of simultaneous studies on multiple variables.

6) Determine how much quantitative and qualitative data would be required.

7) Develop a design. Should there be a control(s), replicates? How would the samples be drawn? Should therebe randomisation? Each question has important bearings mainly reasonable reliability and validity of the information as well as its cost, feasibility and practicability. For example, controls are extremely difficult to set in an ongoing life of an organisation. Yet without control, it is near impossible to determine cause and effect relationship.

10.7 SELF ASSESSMENT TEST/QUESTIONS

1) Examine the concept of evaluation. Who are the stake holders in evaluation?

2) Describe the process of operationalising evaluation.

3) Who does the evaluation? Explain.

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NOTES

Utter Pradesh
Rajarshi Tandon Open University

MBA-3.14

Managing Change in Organisations

Block

3

MODELS OF ORGANISATIONAL CHANGE

BLOCK III MODELS OF ORGANISATIONAL CHANGE

Block III contains brief accounts of a few approaches to introducing and managing change. It consists of 5 Units. The first unit discusses some major models of organisational change. This is followed by four units dealing with Extension Model, Organisation Development Model, Process Consultation Model, and Work Redesign Model. The cases are from diverse fields like agriculture, education, NGO (voluntary sector), post office, industry and financial institution.

UNIT 11 SOME MODELS OF ORGANISATIONAL CHANGE

Objectives

After completing the unit you will be able to:

- have an overview of some major models of or approaches to organisational change
- appreciate the main contributions of these models
- understand the relevance of these models to different situations.

Structure

11.1 MODELS OF CHANGE

There are several models of organisational change. A model is an integrated way of explaining why and how change takes place, based on a known and acceptable basic explanation (theory) of relationships of several aspects involved. It would be obvious that there can be different ways of explaining change, depending on what theory we follow or use.

Two constrasting models of change are the "trickle down" model vs. "identity search" model. The first is also termed in Sociology as Sanskritisation, i.e., following the examples of the elite group. According to the first model organisational change occurs because the top management takes a decision and adopts some new ways (technology, systems, structure etc.) and others follow it. According to the second model, the urge to develop one's own uniqueness and identity will make the group or individuals accept change.

Another way is to look at the external or internal forces as determinants of changes. The adaptation model emphasises the role of external factors (a new government policy, competitive environment) in producing change in organisations (more emphasis on quality, restructuring etc.). According to the proaction model, the explanation comes from within the organisation (the decision of the organisation to set an example, to be a leader, to anticipate future) and act and change itself in response to such an internal urge.

Yet another explanation of organisational change may lie in emphasis on the structure or the process. Successful change, according to the first model (structure model), would require preparing the necessary structural details (technology, design of the organisation, systems), and introduce them systematically. People will also change, according to the process model, successful change can be planned by helping people to develop process competencies (ways of planning, decision-making, problem solving, collaborating, communicating etc.), and then people will find new ways of organising etc.

A more comprehensive way is to look at the main emphasis in producing change—the individuals, the roles, the teams, or the organisations. We shall use this way of looking at some models of organisational change.

11.2 FOCUS ON THE INDIVIDUAL

According to this model of change, the individual is the prime force in organisational change. Individuals can promote or resist change. *If individuals get motivated, change is easy.* How do individuals get motivated? We shall consider three explanations in this regard: **individuals change when they learn new and more desirable ways of doing things; they change when they get non-threatening feedback; they change when their motives change.**

Change as a Learning Process: The adoption-diffusion model of change, so popular in agriculture, is based on the theory of change being the process of learning. Learning takes place when one is dissatisfied with the present state, wants a change, sees the new alternatives somewhere, debates in one's mind about the pay off of the new alternative, checks with others one trusts, tries the new alternative, assesses its advantages over the old ways, and finally adopts it. This model has been discussed in detail in Unit 1 of Block 1 (1.3). Two main elements of this model are: Change is regarded as a sequential process, and the rate of change varies from one individual or group to an other.

As already discussed in 1.3 (Block I), there are 8 stages in the process of change in an individual): *initiation, motivation, diagnosis, information collection, action proposal, deliberation, implementation, and stabilisation.*

Individuals do not respond to change at the same rate. Those who accept change have been classified into five groups: innovators (about 2.5%), early adopters (about 13.5%), early majority to adopt change (about 34%), late majority (about 34%) and laggards (about 16%).

A large number of studies have been made, and extension practices have been developed to help people go through the sequential process faster, and to help "late majority" and "laggards" in learning to quicken their pace of change. One popular method to help is "demonstration" of the new alternative, by taking people to a place where it has been successfully used.

Change through Feedback: Another model of change is based on the assumption that individuals change if they get feedback on their behaviour, and also have a theoretical framework which shows that the current behaviour is dysfunctional. The feedback need to be objective and non-threatening. A good example of this model is the work done in schools on changing teachers style, using Flander's theory of teacher's classroom interaction behaviour. The teachers learn how to score objectively a teacher's behaviour while teaching the students. The scoring method is objective and teacher's behaviour is scored every third second during the period of teaching. Scoring reliability of 98% (agreement between two scores) has to be established before scoring a teacher's behaviour on "direct influence" (behaviour which restricts initiative and freedom of the student, like lecturing, criticising, reprimanding, ordering, asking questions with one known answer) and "indirect influence" (behaviour which encourages students' initiative and autonomy, like student talk, encouraging, recognising students' contribution, building on students' ideas, recognising feelings, asking questions with multiple alternative answers). Then i/d (indirect divided by direct) influence behaviour is worked out and feedback given to the teacher concerned. The teachers learn the theory and research results showing that direct influence behaviour results in dependency, lack of initiative, low activity level, lower interpersonal trust, and low adjustment of students, while indirect influence behaviour results in the opposite effect. Such feedback alone leads to change in teacher's styles and change of the school climate. (References to the results of work done with this model are given in "Further Readings".)

Motivation Change Model: The well-known work of David McClelland on changing larger systems by changing basic motives of individuals is quite well-known, and has been widely used in India in the development of entrepreneurship. The basic explanation is that individuals engage in certain activities because of their dominant motive or psychological need. A person with affiliation motive (the need to establish and enjoy close personal relations) will socialise more and enjoy meeting and being with people. Similarly, a person with achievement motive (the need to excel and to do something unique) will be engaged in competitive activities, and is likely to spend more

time in work (business, selling, competitive games etc.). If we can change the main motive of a person, for example, from affiliation to motivation, the patterns of activities can be changed from "club-like" behaviour to work related excellence.

Successful attempts have been made to change motivation patterns of individuals, and produce large change. (Reference to the work is made in the Readings at the end of this unit.) *McClelland has suggested the following 12 propositions for designing intervention to help the adults acquire motives which they desire to have.*

Proposition 1. The more an individual believes in advance that he can, will, or should develop a motive, the more likely he is to succeed in the educational attempts designed to develop that motive.

Proposition 2. The more an individual perceives that developing a motive is consistent with the demands of reality (and reason), the more likely is the success of educational attempts designed to develop that motive.

Proposition 3. The more thoroughly an individual develops and clearly conceptualises the associative network defining the motive, the more likely he is to develop the motive.

Proposition 4. The more an individual can link the newly developed network to related actions, the more likely is to occur and endure in thought and action.

Proposition 5. The more an individual can link the newly conceptualised association—action complex (or motive) to events in his everyday life, the more likely the motive is to influence his thoughts and actions in situations outside the training experience.

Proposition 6. The more an individual can perceive and experience the newly conceptualised motive as an improvement in the self-image, the more the motive likely is it to influence his future thoughts and actions.

Proposition 7. The more an individual can perceive and experience the newly conceptualised motive as an improvement on prevailing cultural values, the more the motive likely is it to influence his future thoughts and actions.

Proposition 8. The more an individual commits himself to achieving concrete goals in life related to the newly-formed motive, the more likely the motive is to influence his future thoughts and actions.

Proposition 9. The more an individual keeps a record of his progress toward achieving goals to which he is committed, the more the newly-formed motive is likely to influence his future thoughts and actions.

Proposition 10. Changes in motives are more likely to occur in an interpersonal atmosphere in which the individual feels warmly but honestly supported and respected by others as a person capable to guiding and directing his own future behaviour.

Proposition 11. Changes in motives are more likely to occur, if the setting dramatises the importance of self-study and lifts it out of the routine of everyday life.

Proposition 12. Changes in motives are more likely to occur and persist if the new motive is a sign of membership in a new reference group.

11.3 FOCUS ON THE ROLE

Organisational change can be brought about by changing the organisational roles. It has been argued that individual change is too expensive in terms of time and effort, and may not necessarily lead to organisational change. If organisational roles can be modified, these will on the one hand increase individuals' involvement, and on the other increase organisational effectiveness.

One approach used for organisational change is that of role efficacy. *Organisational roles are analysed for role efficacy (potential effectiveness) in terms of the following*

10 dimensions. The more these dimensions are present in a role, the higher the efficacy of that role is likely to be.

1) **Centrality Vs. Peripherality**
The dimension of centrality measures the role occupant's perception of the significance of his or her role. The more the people feel their roles are central in the organisation, the higher will be their role efficacy. For example, "I am a production manager, and my role is very important."

2) **Integration Vs. Distance**
Integration between the self and the role contributes to role efficacy, and self-role distance diminishes efficacy. "I am able to use my knowledge very well here."

3) **Proactivity Vs. Reactivity**
When a role occupant takes initiative and does something independently, that person is exhibiting proactive behaviour. On the other hand, if he or she merely responds to what others expect, the behaviour is reactive. For example, "I prepare the budget for discussion" versus "I prepare the budget accordingly to the guidance given by my boss."

4) **Creativity Vs. Routinism**
When role occupants perceive that they do something new or unique in their roles, their efficacy is high. The perception that they do only routine tasks lowers role efficacy.

5) **Linkage Vs. Isolation**
Interrole linkage contributes to role efficacy. If role occupants perceive interdependence with others, their efficacy will be high. Isolation of the role reduces efficacy. Example of linkage: "I work in close liaison with the production manager."

6) **Helping Vs. Hostility**
One important aspect of efficacy is the individual's perception that he or she gives and receives help. A perception of hostility decreases efficacy. "Whenever I have a problem, others help me", instead of "People here are indifferent to others".

7) **Superordination Vs. Deprivation**
One dimension of role efficacy is the perception that the role occupant contributes to some "larger" entity. Example: "What I do is likely to benefit other organisations also."

8) **Influence Vs. Powerlessness**
Role occupant's feeling that they are able to exercise influence in their roles increases their role efficacy. The influence may be in terms of decision-making, implementation, advice, or problem solving. "My advice on industrial relations is accepted by top management". "I am able to influence the general policy of marketing".

9) **Growth Vs. Stagnation**
When a role occupant has opportunities—and perceives them as such—to develop in his or her role through learning new things, role efficacy is likely to be high. Similarly, if the individual perceives his role as lacking in opportunities for growth, his role efficacy will be low.

10) **Confrontation Vs. Avoidance**
When problems arise, either they can be confronted and attempts made to find solutions for them, or they can be avoided. Confronting problems to find solutions contributes to efficacy, and avoidance reduces efficacy. An example of confrontation: "If a subordinate brings a problem to me, I help to work out the solution." "I dislike being bothered with interpersonal conflict" is a statement indicating avoidance.

11.4 FOCUS ON TEAMS

Some models of organisational change are based on effective teams as the medium of change. Organisation Development (OD) emphasises team development. Work

design is also based on making work groups more effective. While OD mainly emphasises organisational processes, work designing focuses on distribution of power in the organisation.

Organisation Development (OD)

OD model of change is based on the assumption that effective organisational change would require change in basic values or ethos of the organisation, strong teams, and involvement of organisational members in the different stages of planning of change (problem identification, diagnosis, searching alternative interventions, using an intervention, i.e. action, and evalution). The change would be effective if the entire organisation (including the top management) is actively involved in designing and implementing change with an external process expert.

OD emphasises both team building and development of values, mainly OCTAPACE values (openness. confrontation, trust, authenticity, proaction, autonomy, collaboration, and experimenting). Team building is both the objective and an important medium of change. Members of the organisation work in teams at different levels of change. Enough experience on OD is available, although not much research has been done. Experience has shown that OD is a useful model of change, if internal facilitators can be developed to sustain change. Both research competence and process competency is needed in OD.

Process Consultation

Process consultation is one specific approach. Process consultation is the help given to a client group in understanding and developing methodology of working in general, and understanding and managing the effects of work methodology on involvement, alienation, collaboration, conflict, consensus and such other group processes which effect decision-making and the members' commitment to the decisions made.

Schein suggests three main characteristics of process consultation: joint diagnosis of the process with the client, helping the client in learning the diagnostic skills, and the active involvement of the client in searching a solution.

A consultant helps a client group by giving feedback on their ways of working in examining the data, and in planning improvement in the processes of working and decision-making. The process consultant helps the client group move from dependence to interdependence and independence in diagnosis and action planning. As the term suggests, consultation is on process of working and not on the content.

Work Redesigning

Work redesigning focuses on distribution of power of decision-making in work-related matters to the group which is responsible for results. It is a radical model, emphasising integration of intellectual (managerial-supervisory) and physical work (production). Work redesigning is done by training members of a team in multiple skills, and giving complete autonomy to the team to plan, supervise and produce products or services. The role of the supervisors then changes; they plan boundary management (getting resources needed by the team, solving their external problems) and educational roles (helping the team when needed on new information, training etc.).

Work redesigning emphasises the use of responsible autonomy, adaptability, variety, and participation. It uses the socio-technical systems and open systems approaches, suggesting that technical systems need to be integrated with the social systems, and should be open to feedback and change. Self-regulation is greatly emphasised.

Nitish De, who pioneered work redesigning in India in different settings (industry, post office, LIC, income tax office, consulting organisations, bank) *proposed seven phases of work redesigning, based on experience in India.*

1) **Hostility:** Despite preliminary explorations, discussions and clarifications sought and offered, there is a feeling amongst employees, irrespective of their positions and roles, that the experiment is a motivated one, conditioned by the management's desire to gain and the researcher's desire to conduct the research in order to publish. Internal consultants are seen as motivated by career considerations. Depending on the dynamics of the situation in most Indian organisation, this phase has been operating covertly. Overt expression of hostility has often come from isolated individuals.

2) **Reluctance:** Though some degree of curiosity develops amongst the members, there is no visible symbol of commitment. However, a few persons involved in the experiment feel that something is possible and that some changes for the better can be effected. Positive leaders among the experimental groups do play an important role in this as well as in the earlier phase.

3) **Guarded commitment and indifference:** A substantial number show interest in what is happening, seeking data, taking initiative in group discussion, and offering suggestions, while the majority still remain indifferent. Indifference is more passive compared to the two earlier stages.

4) **Intergroup dynamics:** Something of a Hawthorne effect is produced in terms of attention received. On one hand, an in-group feeling gets created at the experimental site and, on the other, a feeling of jealousy and some amount of hostility is often experessed by way of jokes and caustic comments by the other groups.

5) **Positive interest:** On one hand, in-group feeling brings some degree of stability to the experimental group and, on the other, some internal dynamics goes on in terms of power struggle regarding the experimental scheme. At times it is aggravated by caste and regional considerations, factional in-fighting between sub-groups with negative and positive attitudes and others who are in between. The positive groups, however, acquire more visibility because they now take more active interest and gradually take the control functions in the autonomous groups.

6) **Isolation of negative elements:** The majority are already committed to the experiment having experienced some positive gains on some of the key criteria such as variety of job, meaningfulness, social suppport, challenge, autonomy, and evolving norms for the group. The isolates are the negative elements who, depending on how the majority treat them, either indicate withdrawal of a passive kind or personal hostility. By and large, however, the group settles down to work out the operational details of the scheme.

7) **Networking:** An experimental group takes initiative in looking outwards and seeks to compare notes and experiences with other similar groups. This phase becomes a potential force for the diffusion process.

11.5 FOCUS ON THE ORGANISATION

Structural change models have been extensively used for organisational change. The emphasis is on developing a new structure of the organisation, in response to the changing environment or the changing priorities of the organisation, and to designing relevant systems (budgetary and information systems). The changes introduced demand new ways of working, and individuals respond to such demands. Some good accounts are available of such changes. Some turnaround work done is also in this category.

MBO is a specific example of structural change, using a structured way of helping on organisation plan its time-bound objectives at all levels, and working to achieve the objectives set. Specific ways are adopted to monitor the working of group and individuals on these objectives.

While the various models have been suggested in this unit, it should be emphasised that these do not work in isolation, and in practice many approaches are combined.

Experience has shown that structural changes, for example, cannot be sustained without relevant process support. Similarly, process facilitation must be followed by relevant structural changes so that the processes could be institutionalised and sustained.

11.6 SELF-ASSESSMENT QUESTIONS

1) Describe different models of change, which focus on the individuals.

2) Explain the ten dimensions which brings about organisational change through role efficacy.

3) Explain OD as a useful model of change.

4) What is process consultation? Explain.

5) Explain the seven phases of work redesigning, as suggested by Nitish De.

11.7 FURTHER READINGS

Adoption-diffusion model of change has been discussed in Unit 1 of Block I. *The Process of Planned Change in Education* by W.H. Griffin and Udai Pareek (Somaiya, 1970) has several chapters and incidents on this model.

N.A. Flanders pioneered work on change through feedback, reported in his volume *Analysing Teacher Behavior* (Addison-Wesley, 1970). Udai Pareek and T.V. Rao have reported results of work done in India in "Behaviour modification in teachers by using feedback using interaction analysis" (*Indian Educational Review*, 1971, 6(2), 11-46).

An excellent account of development of achievement motivation in an Indian town is available in *Motivating Economic Achievement* (Free Press, 1971) by D.C. McClelland and D.C. Winter. Prayag Mehta has described in detail the work done on developing achievement motivation in high school boys in *Developing Motivation in Education* (NCERT).

Developing role efficacy and other role-related interventions have been discussed in detail in Udai Pareek's *Making Organizational Roles Effective* (Tata McGraw Hill, 1973).

Ogranization Development by W.L. French and C.H. Bell (Prentice Hall of India, 1983) is a good elementary book on OD. Edgar Scheins' 2-volume edition of *Process Consultation* (Addison-Wesley, 1980) is an excellent source on process consultation. Nitish De's *Alternative Designs of Human Organization* (Sage, 1984) contains excellent material on work redesigning in different settings.

S.K. Bhattacharyya has done pioneering work in organizational structuring, some material of which is available in *Managing Organizational Change* edited by Somnath Chattopadhyay and Udai Pareek (Oxford & IBH, 1982), Chapters 5 and 6. B.L. Maheshwari's pioneering work on MBO is available in his *Managing by objectives: Concepts, Methods and Experiences* (Tata McGraw-Hill, 1980).

UNIT 12 WHY CHANGES MAY FAIL: TWO CASE EXAMPLES

Objectives

After completing the unit you should be able to:

- become aware of some requirements for the success of change
- understand what a change agent should do to deal with slow pace of change.

Structure

12.1 INTRODUCTION

The adoption-diffusion model of change, so popular in agriculture, is based on the theory of change being the process of learning. Learning takes place when one is dissatisfied with the present state, wants a change, sees the new alternatives somewhere, debates in one's mind about the pay off of the new alternative, checks with others one trusts, tries the new alternative, assesses its advantages over the old ways, and finally adopts it. This model has been discussed in detail in Unit 1 of Block 1 (1.3).

12.2 THE CASE OF THE DISSATISFACTION WITH NEW SEED

Read the following brief case.

Two agricultural extension agents in the same region worked with the farmers of two different villages to popularise an improved kind of wheat. When the new wheat was introduced in the villages, meetings were held to discuss the advantages of the new variety. A few farmers were taken to villages some distance away to show them fields growing grain and to encourage them to talk with farmers who had adopted the new wheat. Some of the grain was brought back for the wives to try in making *chapaties*. During this period some of the farmers were hesitant but it was agreed that they would go ahead with the experiment. During the first year the innovation produced considerable enthusiasm. Some of this may have been generated by the attention the extension agents gave to the villages and by the cooperative spirit and community feeling produced by the project. When the new crop became green it looked healthier, as it matured it looked as if a higher yield would result. This expectancy was realised at harvest time and the farmers were very happy.

In the months that followed some rumours of dissatisfaction began to be heard. The wives complained that the new wheat did not grind into flour as easily as the old. The taste of the *chapaties* seemed different; some people liked the change of taste at first but generally there was dissatisfaction with it. A few farmers had more difficulty than usual with insects in the stored grain and there was discussion as to whether this was the fault of the grain or whether the unusual amount of rain and warm weather might be the cause. These and other real and imagined problems were discussed through the winter months. Some farmers were hesitant about planting the new variety again; others definitely decided to go back to the old variety and

bought seed from farmers who had saved some of the old seed just in case the new one did not prove to come up to the promises. Although the two communities did not exactly parallel each other in the above-described developments, in the spring both extension agents had reason to be discouraged. It seemed to them that once more a good idea had reached a certain level of acceptance only to be thwarted by what seemed to be imagined problems.

One of the extension workers accepted the situation. He had seen many other development projects coming to a similar level of success and progressing no further. In fact, in too many cases even partial success was temporary and the village fell back to its old way of doing things. He was cynical and therefore did little to correct the situation which had arisen.

Stop Here and Analyse

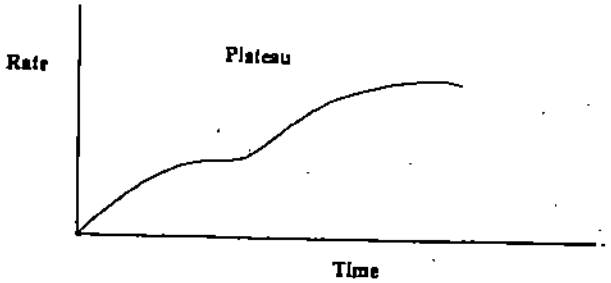
- Why did the first extension agent take it as normal experience?
- Why were people dissatisfied? How do you explain this in terms of adoption-diffusion model?

Read the case further as follows:

The other extension agent was not so easily discouraged. He decided to investigate and find out the reasons for the villager's hesitation to go all the way in adopting the new Wheat. He found ways of adjusting the grinding wheels so that the new grain was as easy to convert into flour as the old. He helped the farmers who had difficulty with insects to apply insecticides and eliminate the problem. He moved among the farmers reporting these and other solutions to practical problems and renewing their faith in the new variety. He arranged more visits to other villages where the new seed had been thoroughly adopted. He took them to agricultural research stations where they saw demonstration plots of a number of different new varieties of grain. Throughout these steps he stimulated informal discussion among the farmers, helping them to analyse the situation and to rethink what they should do. This additional effort by the extension agent helped the farmers to overcome their fears and hesitations and to go ahead with the experiment. In the spring following the winter more farmers decided to try the new grain, and the process of adoption once again resumed its upward path.

12.3 PLATEAU PERIOD

Change is a kind of learning process. New ideas, new values, new skills and ways of behaviour have to be learned if significant change takes places. One of the basic findings about learning is that its rate is not uniform throughout. Although the rate pattern differs for different kinds of learning, generally it goes through several stages: **slow start, acceleration, rapid rate, and leveling off.** On a growth the line of learning speed appears as an S shaped curve. This is called the learning curve. This is shown in the figure below:



Learning takes place slowly during the early, experimental period. The learner is getting adjusted to the learning task. This is not a passive period; rather, it is a period of preparation. If the individual is properly motivated and adequately guided to understand the learning task and what is required of him, the next stage is one of acceleration and rapid learning. There is a sudden growth in the rate of learning. This period is followed by a decrease in rate. This may be due to many factors. When the greater part of the task is accomplished interest may fall off. The learner's attention may be distracted by other new challenges. A feeling of satisfaction may set in because much of the task is finished. Or, the learner may feel that he needs a period to consolidate.

The learner may be experiencing some difficulty. Or, the needs of the learner may have shifted during the process, or the goal may have been judged to be no longer fully appropriate or worth while. Whatever the reason, learning tends to level off and enter a plateu period during which little that is new is learned.

The plateu period requires careful watching. If it occurs near the achievement of full learning or change, then there is little reason for concern—the learning task will probably be rounded out at a slower, normal rate. If, however, the plateau period arrives prematurely, special steps may be required to revive the rate of learning. The causes of the early plateau should be studied and appropriate action planned by the teacher. New motivation may be required. Assistance may be needed in digesting what has already been learned. The goal and the learning task may require adjustment in keeping with the new insights and purposes developed by the learner. The learner may need help in overcoming certain learning blocks that have developed. Improved communication may be required among learners working on the same task or between teachers and learners. When the situation has been accurately diagnosed and proper action taken, learning should move at an increased rate once more, towards fulfilment of the learning objectives.

Change often follows a path similar to the learning curve. After a slow start, change programmes often excite a great deal of enthusiasm resulting in rapid progress. After a time, difficulties develop and interest lags. The impediments to change which appeared to be easily surmountable during the period of enthusiasm now loom large and cause discouragement. It is discovered that some of the earlier, rapid change was superficial and did not take root. Or, the administrators have lost interest and their attention is now taken up with other programmes. This is a critical stage where the programme moves beyond the plateu on to a higher level of achievement. Many illustrations of this situation can be found in the attempts to introduce varieties of crops among Indian farmers.

The case cited above is one illustration:

In this case, one of the extension agents recognised the plateau period for what it was a normal stage in the adoption process—and he took steps to analyse the causes and to take corrective measures.

It can be generalised that the process of change usually takes place in stages, each stage growing out of and building on the experience of earlier stages. Sometimes the steps are those of problem solving. Sometimes they are those of an individual who becomes aware of a new practice and eventually adopts it. Sometimes they can be described as learning stages, including the plateau stage. However, we view the steps or stages of change it is important to keep in mind that most people who are expected to make a change must experience all the stages themselves, personally. In this way it is possible for them to grow with the process, to change qualitatively rather than in form or appearance only. While there may be some people who require evolutionary development less than others, even those who are most change-prone need help in adjusting to significant changes in attitudes and practices.

However, it is not always possible for everyone to go through all the stages involved in a change programme. This is particularly true where a programme is initiated at the national or state levels. In such programmes the early stages must be planned by seniors at the top and passed down to lower levels for implementation. In such cases it is critically important that every effort be made to help persons at the level of implementation to experience a new some of the thinking that has gone into the earlier stages. This can be done in a number of ways. One way is for clients to be allowed and encouraged to replan the programme in terms of the local situation. Through rethinking and adapting the innovation the clients will develop some understanding of the earlier stages through which the change programme has evolved. As indicated ealier, such participation at the local level assumes that the plan developed at higher levels is in no sense a "master-plan", but rather, that procedures for replanning at lower levels are incorporated in the national or state plan. Another way to provide for growth of clients, parallel with the earlier stages of a centrally initiated scheme, is for them to carry on study and discussion of the problem area to which the programme will contribute. For instance, before introducing a new syllabus planned at the state level, it is desirable to help the teachers, through study and discussion, to understand some of the reasons why the syllabus is weak and should be changed. Or, before the introduction of a new scheme locally for the inspection of schools which was evolved in a national research project,

it will be helpful for local inspectors to study some of their own problems in relation to the fundamental purposes of inspection. Such introductory experiences will not take the palce of the full experience that has gone into the development of a new syllabus or a new scheme for inspection, but they will help the clients grow to the point of understanding the need for the innovation before they are expected to adopt it.

Still another way of building readiness is to involve representatives of the clients in the original national or state-level planning, ask the representatives to return home periodically and explain the work of the planning group, and issue periodic reports on the change programme as it develops. A good example of this procedure is provided by the social studies project carried out by the former Department of Curriculum, Methods and Textbooks of the National Institute of Education. In fact, this project has been developed largely through a series of seminars attended by representatives of teachers and training college personnel from all over the country. The stage of this project included:

a) a status study of social studies teaching in every state;

b) a rethinking of the concept and purposes of social studies teaching;

c) the development of school levels;

d) the construction of syllabi for the primary, middle and higher secondary stages;

e) the development of teacher guides for all three levels;

f) the writing of textbooks;

g) the planning of in-services training courses for teachers, administrators and inspectors

h) the designing of an approach to individual states in which the resources developed by the project are made available through cooperative ventures between each state and the DCMT;

i) the planning of ways of evaluating the classroom experience with the new programme evolved for each state; and

j) actual work with each state or groups of states in adapting and introducing the new programme according to a carefully staged plan.

12.4 THE CASE OF IGNORANT FARMERS

Read the following short case:

In the early fifties the Indian Agricultural Research Institute designed and developed a small biogas plant, at that time called "the cowdung gas plant". The plant was for the use of a family who had about four cattle heads. The plant was a simple one. It consisted of one cylindrical drum. The drum was to be placed in the inverted position, in a pit especially prepared for the purpose. Around the drum there was some space for the slurry to collect and come out, after the gas had been used. The drum was open from the bottom, and there was arrangement for pouring cowdung into the drum, which had a pipe for the release of the gas prepared in the drum. The pipe was directly connected to a stove in the kitchen, and to lamps with special filaments. What the family had to do was to make the cowdung a little liquidy and pour it in the drum every day. When the gas was formed in the drum, it would rise and the gas could be used for the purposes of cooking and lighting. A family with four cattle heads could get gas for cocking and lighting purposes.

The main feautures of the cowdung gas plant were very attractive. Since cowdung gas replaced cowdung cakes, it eliminated the smoke and various problems like drying and storing of cowdung cakes. In addition, cowdung could also be used as manure. The slurry (which was digested cowdung) was released as the gas was emitted, and could be directly put into the field as manure. It had higher percentage of nitrogen, and therefore was a richer manure, compared with raw cowdung. The raw cowdung cannot be put into the field directly — it has to be treated and digested — otherwise it may attract white ants and may damage the crop. But the slurry can be directly put into the field. Thus the cowdung could be digested almost overnight.

The slurry did not smell, was both fly-repellent and mosquito-repellent. The cooking gas which was released was non-toxic and had no smell. Thus the advantages of the cowdung gas were so numerous that adoption of this innovation was quite logical. The farmers could use the cowdung as fuel, and at the same time they could have it back as manure for their field.

The Institute installed six plants in the premises of six families, free of charge for purposes of demonstration. The total cost of the plant at that time was about Rs. 500. The Institute announced a scheme of subsidising of the cost of the plant. The family had to provide the labour. The Institute was to provide the know-how, help and material for Rs. 250. It gave the subsidy for the installation of the plant and free service to help the farmers to learn how to use the gas.

In one of the houses where the plant was originally installed, the housewife proudly showed how the gas could be used for cooking. The visitors who came from different places and from outside the country were usually taken to this house where the house-wife proudly demonstrated how chapatis and rotis could be cooked on the gas. The family had also installed some filament lamps for the purposes of lighting, and at night they had very good time sitting in the light from the cowdung gas plant which was much brighter than the kerosene lamps used by other villagers. When one visited the house and saw how the cowdung was used, one was highly impressed. And there was no doubt that this was a panacea for the villagers and would solve many of their problems.

Several families got the cowdung gas plants at a subsidy provided by the Institute. In the mid-fifties, however, the diffusion of this innovation stopped. There was no more demand for the cowdung gas plants. On the other hand, some families who had got these installed at a subsidy, got the cowdung gas plants removed. Of the six families to whom the cowdung gas plants had been given free of charge, three of them got them removed. This was quite disturbing. A team of three senior scientists, consisting of a psychologist, a sociologist, and a homescientist visited these villages and the families. (The author of this unit was also a member of the team). Our team saw the gas plant and interviewed several people and came to the conclusion that the innovation introduced was indeed a panacea for the villagers. We all concluded that the villagers were ignorant, irrational and did not know the advantages of this innovation. The villagers were pitied for their lack of rationality. However, it was thought necessary to probe deeper, into the problem to understand why the villagers did not adopt such a useful device. We spent long hours and evenings in the villages, and stayed for several hours in the families where the cowdung gas plants were installed in order to learn the reasons for the rejection.

Our team had an interesting experience in one family which had the original cowdung plant. In that part of the country each family has a sitting room, called 'baithak' usually a little away from the house. One male member of the family sits there, smoking *hooka* while talking with people who may visit him there. Charpais are spread over, and the person greets visitors coming to the village. When we entered the baithak, we were accosted by an elderly member of the family. This person was questioned about his impressions of the cowdung gas plant. He praised the innovation. When asked for what purposes the cowdung gas plant was used in his family, he gave general answers that the gas could be used for making tea, cooking chapatis, boiling water, and so on. We wanted to pin him down to understand how the gas had been used in the past one week. He gave general and evading replies. He was then requested to recount what had been done in the family with the gas in the last two days. Again the replies were general, and when the team insisted on having specific information for a day, once again the answers were to the effect that the morning tea had been made, and then water boiled, milk boiled and chapatis made, etc. We requested to be taken to the house so that the womenfolk could be met.

On visiting the house the elderly lady in the house was asked about the stove and the cowdung gas plant. Much to our surprise the stove was missing and the drum was sunk, and gave an appearance of not having been used for some time. When asked as to where the stove was, the house lady remarked that the stove might be lying

somewhere in the backyard in the tank. And then she stated that for several months the plant had not been used at all! Such was the ignorance of the farmers and unreliability of informants!

Stop here and

- Prepare a diagnosis of the situation, and a plan to deal with resistance to change, before reading further. After you have prepared your strategy read further.

The Case of the Ignorant Social Scientist

This is the continuation of the story of the ignorant farmers. After being told by the lady of the house that the cowdung gas plant had not been used for several months, we all turned to the person who had been interviewed in his **baithak** (and who had given some details of how the plant had been used for making various things, even that very day). He was unabashed and had no embarrassment on his face. He quietly replied that when he was saying 'yesterday' or two days back', what he meant was some time back. What was happening. Anyway, it was learnt later that some families have public relations people in their households, who sit in their **baithaks** and are supposed to see the visitors from the government and other prestigious agencies, and are supposed to give such replies which the visitors would like to hear. What a frustration for social scientists to realise that several interviews for collecting data could have had to validity at all!

Anyway, to come to the cowdung gas plants, based on the various interviews in the villages, and after living with the families and observing what was happening, we, the experts, were converted, and our team concluded that it was us rather than the villagers who were ignorant. The villagers were quite rational. In fact, it was concluded that in the prevailing circumstances, if we were the villagers living in that part of the country, we ourselves would not use the cowdung gas plant! We were again shocked and disillusioned with ourselves, getting acquainted with the ignorant social scientists! The table had turned upside down!

Let us now turn to the life in the villages. Jats form the dominant caste in these villages. They are tall, strong and sturdy people, engaged in agriculture and dairying operations, and very proud of their association with the land. They have fertile land to cultivate, and usually have about six to 10 buffaloes; they supplement their income through selling ghee. Both men and women work hard; in fact women work harder than men. Women go and help the menfolk in the fields in various agricultural operations during most part of the day. In the morning they look after the necessary household chores, take care of children, and after they return from the fields in various agricultural operations during most part of the day. In the morning they look after the necessary household chores, take care of children, and after they return from the fields in the evening they cook food for the family boil milk and kept it away for making curd. In the morning they usually have breakfast of rotis left overnight. They churn the curd to make ghee and attend to other chores before they go off to their fields. Both men and women work the whole day in the field, and in the evening after they return to their house, they bathe with hot water, even in summer.

The housewife and other women before they go to the field for helping the menfolk in various agricultural operations, attend to cooking. They use cowdung cakes which are dried out in the sun and stored. They set up seven to eight small fires with the cowdung cakes. They light them and these smoulder the whole day. On one such small fire they put a big pot made of clay, in which milk slowly simmers throughout the day. As a result a thick cream is formed by evening and this gives good ghee next morning. On another fire they put a big container of water so that it is slowly heated and the hot water is available in the evenings when the men return. On the third, they put a big pot with some fodder to boil for the cattle and this also cooks for the whole day. On the fourth they put some dal—usually they cook whole rather than split dal, and it cooks for several hours through slow cooking. On the fifth fire they put some vegetables, like mustard leaves, etc. which also take several hours of slow cooking and so on. Thus before the women-folk go out to work to the fields, they set up such small fires and put away all the things which they have to heat or cook. In the evening when they come back they do not need much time to make *rotis* or *chapatis*. With all the dal and vegetables available they quickly make chapatis, give

hot water to menfolk to have quick bath and in the mean time the meals are ready. After the men have eaten, the women take their bath and eat their dinner. Later they sit and enjoy themselves and talk and retire for the night.

The life-style of the villagers in this part of the country was quite interesting to observe. The team of social scientists had more insight into their living and working. And we were a little more educated about people's lives and their thinking, how their minds worked. Our ignorance was reduced to some extent.

Source

These two cases have been adopted from *The Process of Planned Change in Education* by W.H. Griffin and Udai Pareek (Somaiya, 1970) and *Behavioural Processes in Organization* edited by Udai Pareek, T.V. Rao and D.M. Pestonjee (Oxford & IBH, 1981) respectively.

12.5 SELF ASSESSMENT QUESTIONS

1) What generalisation do you made on change and culture?

2) What steps can change facilitators take for acceptance and continuation of change.

UNIT 13 OD IN AN NGO

Objectives

After completing the unit you should:

- understand OD in action
- appreciate the consequential steps in OD
- identify key issues in OD.

Structure

13.1 INTRODUCTION

OD model of change is based on the assumption that effective organisational change would require change in basic values or ethos of the organisation, strong teams, and involvement of organisational members in the different stages of planning of change (problem identification, diagnosis, searching alternative interventions, using an intervention, i.e. action, and evalution). The change would be effective if the entire organisation (including the top management) is actively involved in designing and implementing change with an external process expert.

13.2 THE SETTING

This case study is of OD effort made in an NGO. It briefly narrates the various steps, and also discusses some relevant issues in OD, as these the pertinent in various places.

In this unit, an attempt has been made to study the OD exercise done in an NGO which had 188 members, spread all over the country, mostly below the age of 50; only 11 members were above 50, with the model age group of 30s.

The members ranged from 38 years with the organisation to 1 year; about half of the members had spent 10 or less years. The nursing profession had the highest number. They came from 13 different geographical backgrounds and 8 countries.

FIRO-B was administered to have interpersonal profile. Expressed control was low, and wanted control higher than expressed control. The profile showed the community as a psychologically mature group.

13.3 ENTRY AND CONTRACTING

One significant member contacted a consultant who was reluctant because of possible ideological conflict. But the member solved the problem by stating that the NGO wanted help in OD, and not in ideology. Consequently one consultant was invited to participate in a three-day international meeting held in Europe by the apex body of the organisation to work out the dimensions of OD.

A meeting was held with the representative of the NGO to understand the operations and structure of the organisation. On the basis of a few more meetings and discussion, a working paper on the project was prepared.

The working Paper

The working paper consisted of four parts dealing with:.

1) Our understanding at that time, of some of the key issues involved;
2) A conceptual framework developed to formulate interrelations;
3) Certain hypotheses, assumptions and propositions that were to be the basis of the design of the OD programme; and
4) The outline of the intervention plans.

The working paper emphasised the key issue as balancing of the three aspects of life of each member: ideological life, professional life, and missionary life. It also emphasised that any change in the environment demanded re-examination and readjustment of several issues within a system which was embedded in that environment. One of the issues was insecurity. Habits had been formed and some degree of stability had been achieved. Change presented a new perspective and demanded new behaviour, something which has not been tested before, and resulted in uncertainty, anxiety, and apprehension.

In developing the design, the following *hypotheses* were used:

1) It is possible to examine the related knowledge and its linkages with behaviour.
2) Such an examination can be made both at the rational as well as at the emotional levels.
3) Suitable hypotheses, on persons, organisational and community levels, can be framed by an individual who can also gather data regarding his behaviour on each dimension. He can analyse this data and accept or reject the hypotheses he has framed in regard to his behaviour patterns.
4) Confrontation of issues leads to development of one's understanding of the latent issues involved. This develops his insight which may provide him with added strength and adequacy in dealing with his problems.
5) When the latest issues like anxiety, fears, apprehensions, etc. are brought to the surface, and shared with others, perceptions of the issues change; those become more realistic. At that stage it is possible to sort out how far the fears are real or unreal, how far they are personal or general, individual or systemic. This sorting out may help in energy mobilisation.
6) Sharing of feelings of anxiety and inadequacy reduce the level of anxiety and inadequacy.

Some Propositions: For the OD programmes the following propositions were suggested:

1) Changes are more likely to occur if the setting dramatises the importance of working intensely on these and lifts it out of the routine of every day life, thereby creating an ingroup feeling among the participants.
2) The more an individual believes that he can, will or should change, it is more likely that the organised attempts to change would succeed.
3) The more thoroughly an individual explores his personal orientations, styles, apprehensions, etc., and relates them to self-actualisation, the more likely he is to experiment and change.
4) The more an individual can confront himself on his usual style of interpersonal interaction, the more he is likely to change.
5) The more an individual can perceive and experience the new attempts at changes as consistent with the ideal self-image, the more the changes are likely to be sustained.
6) The more the self-confrontation occurs in a face-to-face group, with a climate supporting such confrontation, the more the individual is likely to develop insight into his behaviour.

7) The more a group develops a climate of support, with a norm of unhesitatingly giving feedback to each other, the more the learning is likely to be (deeper and sustained).

8) The more intense and persistent the interactional meetings are, it is more likely that the learning about the self would be (deeper and enduring).

9) The more an individual perceived that change in his behaviour (e.g., being more confronting) is required by the demands of his career and life situation, the more he is likely to experiment and accept the change.

10) The more an individual can perceive and experience the new changes attempted as consistent with the prevailing cultural values and norms, the more the change is likely to be sustained.

11) The more an individual can examine the dynamics of the events in his everyday life, the more likely is the internationalisation of his learning.

12) The more an individual can link the newly developed insight into personal and interpersonal dynamics to action, it is more likely that the change in both behaviour and action would occur and endure.

13) The more an individual commits himself to achieving concrete goals in life consistent with the new insights, the more the change is likely to get stabilised.

14) The more an individual keeps record of his progress towards achieving goals to which he is committed, the more the accepted change is likely to influence his future thoughts and actions.

15) Changes are likely to occur and persist if the changes are a sign of membership in a new and continuing reference group.

Within a few days after presenting of the working paper to the Chief, it was discussed in a divisional committee. The main stand taken was that of tentativeness both in terms of the contract as well as the proposal.

The committee requested the consultants to prepare a shorter version of the working paper, which was to be circulated to all members of the organisation before a decision could be taken.

There was complete silence for almost six months. It was agreed that the decision to have an OD programme would be taken, not from above, but by each member, and that the decision of each member would be communicated upwards. This became an issue by itself. The system that usually followed the norm of decision-making at the top, now required to reverse the norm and initiate a new practice. The result was indecision.

At the same time an important process was perceived. A good deal of questioning started. Questions were not only raised on whether to accept or reject the working paper, but also on the various norms and practices regarding the governance of the system. Such questions were raised by the members individually, in small groups, and in the local units. The consultants did not actively generate the process, but the task performance (of discussing the working paper) made the process almost inevitable.

The consultants were with the process, and indicated that they were not eager to get a hasty decision. After a period of six months, the consultants thought it would be necessary to churn up things a little more. First of all, it was necessary that a final decision—yes or no—must emerge, and that the members should have a success experience in being able to arrive at a decision. In order to facilitate the process, the consultants offered that they could meet the representatives of the local units for a couple of days. So a two-day programme was arranged.

The programme was attended by representatives of all local units (LUs). In the programme the members could discuss about the new constitution, the emergent issues facing their life since the introduction of the constitution, the meaning and implication of OD and societal changes, adaptability, etc. The consultants presented various aspects of change: how we face issues of change, what change means to us personally and professionally, and how we cope or fail to cope with the demands of change. A demonstration of laboratory training was given in a microform, and the

possible outline of OD programme and its financial implications. This was made clear that they should have a wider choice of consultants.

Nothing was heard for two months. Then most of the LUs were ready to participate in the OD programme. Finally a draft contract was prepared, which was readily accepted.

13.4 THE MAIN INTERVENTIONS

Meaningful planning of interventions could be made on the basis of the consultants' understanding of the organisation. For a thorough and better understanding the consultants visited a few LUs and saw the normal functioning of the basic life; observed some of their formal meetings both at the LU level as well as the division level; and acquainted themselves quite intensively with the organisational process in their work place, through informal visits and attending formal meetings.

This process of initial diagnosis was rather unorthodox. The nearest standard method to this approach is the anthropological method of observation. Too much reliance on the instrument-generated data tends to shadow the holistic nature of the client system. Attention tends to be monopolised by the quantitative picture and the consequent interpretation of data. While the intended methodology in OD is non-directive and client-centred, quantitative data feedback is strongly directive because of its unassailable power. OD interventionists may ask themselves whether they will undertake data collection, partly because of the power that the data gives them vis-a-vis their clients.

Intervention Planning: In the planning of the interventions the following issues were considered.

1) The unit with which the intervention was to be used;
2) The overall objectives and the specific objectives of interventions;
3) The type and nature of the interventions, and
4) Phasing, sequencing and linkage of these interventions.

There are usually extreme positions taken in the planning of interventions. While some consultants may use their general insights and experience in working with the client system, and evolve their strategy based on their intention, some others plan out everything in detail. However, here a somewhat intermediate position between the two extremes was taken, although individually the facilitators had a wide flexibility of styles. It was necessary to plan interventions but only upto a point, beyond which it became futile.

The main overall objective of the interventions would be to help the members bring up key questions to the surface, confront and evolve by their own strength the answers to the questions they formulated individually and in groups, and help them to increase their effectiveness as persons, groups and as a community.

The specific objectives would, therefore, be to help them move towards the positions they value, and in a sense become self-actualised; to help them function as optimally as possible; and to help them use freedom and responsibility in being relevant to the world and its needs today. These three objectives included other objectives like:

1) To develop on orientation of looking at what is happening in the organisation and why it is happening. This should strengthen both religious motivation and concern for others;
2) To help others and receive help from others (interdependence of growth);
3) To discuss issues, including differences, openly (openness);
4) To work for the continual growth;
5) To develop tolerance and flexibility at all levels; and
6) To create awareness and improve sensitivity to one's own strength for better utilisation of resources for the community.

Phasing, sequencing and linkage: The nature of the task and the objectives of the programmes were such that the interventions had to be on the living systems. For example, all members participated (after their participation in the basic lab) in organisational diagnosis of their LUs, and implementation of their action plans, as well as preparation and implementation of action plans for their houses.

Before withdrawal of the consultants, stabilisation and consolidation of the change effort had to be planned. This would technically be an attempt to refreeze. This would obviously be the last input.

Accordingly, the interventions were attempted in the following order:

1) Basic laboratory,
2) Internal resource development
3) Organisational diagnosis
4) Review laboratory for internal resources person, and
5) Stabilisation.

The total OD programme was planned to be completed in a period of 12-15 months. The basic laboratories were to be provided within the first six months, followed by internal resource development. It was planned to have organisational diagnosis after four months and continue thereafter. At the end of the year the review laboratory was over, the internal resource persons went back to their respective LUs, and the terminal phase started.

Some important inputs in the basic laboratory were: microlab, personal structured data, panel discussions of organisational strategy, action plan, and evaluation.

It may be useful to mention the steps in the preparation of action plans for the local units.

1) Preparing a master list of all problems of the LU perceived by the members of the LU present in the new group;
2) Prioritising the problems on the basis of three criteria, viz., urgency of the problem, feasibility of action, and minimal requirements of external resources;
3) Selection of a specific problem and defining it specifically;
4) Dynamics of possible causes;
5) Force field analysis of the problem;
6) Devising alternative strategies for solution and selecting one of the alternatives;
7) Planning the action steps, including the time when the action was expected to be completed;
8) Anticipation of difficulties; and
9) Consideration of help needed and planning for the help.

Those plans were presented by the planning module to the whole group in the community session for critical review, and were later revised. After revision the group committed before the whole community to work on the action plan on their return. The strategy to involve other members of the LU (who were not present) was also discussed.

At the end of the programme, the total experience was evaluated. Different methods were used. Typically the participants worked in six groups to discuss the various aspects of the programme, and presented to the total community their conclusions. For example, six groups were formed on the following aspects.

1) Insight into self and planning for self-development to consider the inputs like: L group, including marathon group, FIRO-B, Individual plans and commitment, Micro lab, Data feedback.
2) Learning to understand others: L Group, the case, perception exercise.
3) Developing a climate of collaborative work in the houses: Exercise on trust, Exercise on motivation, N groups.

4) Understanding community problems and preparing to deal with a problem: Action plans, Fantasy, N Groups, Panels.

5) Developing conceptual understanding of interpersonal, interpersonal and group processes: Exercises, Concept sessions.

6) Management of the programme (including facilities, kind participants and the nagging trainers!)

The programme ended with songs on commitment and energising the learning obtained with a basic faith of transferring the learning for the good of all. Usually it was a very intensive programme, highly packed with events both at the rational as well as the emotional level. The working day started at 7 a.m. and closed most often in the small hours of the following morning. The programme was designed to be intensive. The intensity of the experience, though very exhausting, was highly stimulating. Never for a moment did it seem boring to any participant or trainer. The credit for this may be partly seen by the design of the programme. However, the keenness and eagerness of a group of individuals who had dedicated their life for a purpose, with their high degree of motivation and commitment to the programme was a unique experience for any consultant. To every trainer this programme became extremely involving and satisfying, an experience from which we believe, the trainers. learnt as much as the participants did.

Organisational Health Survey

At a much later stage, and as a part of an intervention to help the members develop some skill of organisational diagnosis, a survey was done with the help of the members. The interventions themselves are not enough in an OD process facilitation. What happens during the intervening phase between the two interventions is also important. To sustain the momentum gained in the basic laboratories, an intervention would be necessary at the level of each L.U. This took the form of organisational diagnosis. This was one of the OD interventions.

This intervention was named as Unit Health Survey. This exercise required the would-be-facilitator to enter into a dialogue with each of the other members of the unit and start discussions to find out the health of the L.U. What was meant by organisational health, the characteristics of a healthy organisation, and the action steps required to be followed, were explained in a letter written by the coordinator N and sent to each house. In the absence of a facilitator, it was decided that any person, decided by the LU, could undertake this exercise. Detailed instructions were worked out; these are not given here.

13.5 INTERNAL RESOURCE DEVELOPMENT

In the plan of process facilitation it was conceived that the role of the external consultants should be self-liquidating. In order to do so it was considered to develop a self-supporting system within the organisation. This included:

1) Developing a group of persons who might acquire the expertise of change agents from within the organisation. They might be termed as internal change agents, internal resource persons or internal facilitators. The term, 'internal facilitators' was more acceptable to the organisation.

2) Recruiting, on contract, some young behavioural scientists to work full time within the organisation on problems requiring application of behavioural sciences and to work in close liaison with the internal resources. This was a suggestion made to N for putting up for consideration before the governing board.

Selection of internal resources turned out to be a very potent intervention in the organisation. In almost all LUs, many a battle was fought, in the open and under cover; armistices were signed; peace was made, broken and remade. An intense confrontation process made into operation. Many a tear was shed and much laughter rolled.

One of the latent concerns was whether the resource persons selected would prove too powerful, by the very fact of their selection by the assembly and by the advanced expertise generated out of specialised training, and replace in effect the role of the LU. This did disturb the existing power equations. The entire issue of power distribution network came under scrutiny. Backed up by the experience of the basic laboratory, with their new found energy for verbalising, sharing, opening and owning, there was vigour and strength to deal with the intricacies involved in settling the issue. The task became very involved and difficult indeed.

The list of IRs contained 21 names which included one facilitator from each LU, and a few more members who could look after some process facilitation for special tasks at the corporate level of the sector.

The basic programme of Internal Resource Development was essentially a 10-day laboratory, consisting of:

1) Learning group (L group) synonymous with T-group or sensitivity sessions.

2) Consultant client group (C group). The structure of the C group was that the whole group of 21 participants was divided into three small groups of seven persons. The objective was to provide an opportunity to develop skill on help giving and help receiving and other associated skills like listening, communication, interviewing, unterstanding and building empathy.

   One person (X) from the group would be the help receiver and another person (Y) the help giver. The third person was the process observer. Each member played each role in turn. The role of the trainer was to intervene at an appropriate time to focus attention on the process. The content was the real life problem which X confronted.

   The session would end with a critique by all the members of the subgroup.

3) **Concept Session (PCS):** In this session participants were required to present different concepts. The objectives of the session were; (a) to create the confidence that they could present concepts, (b) to develop knowledge and understanding of the theoretical constructs necessary for any meaningful role of a facilitator, and (c) to practise the skill required in presenting a concept session. Generally three members worked together for this session. The faculty provided them with some help. But they themselves designed their session plan, studied the content to be presented, made through and elaborate notes, and prepared the necessary audiovisuals to present the concepts. The presentation was often shared by the three-member group and the questions after the presentation were taken up independently by the group members. The various concepts the members presented were: feedback, team building, decision-making, hidden agenda, data for interventions, authority and leadership, planning and commitment, and managing conflicts.

4) **Your Choice Time (YCT).** This part of the schedule was provided for any activity that the participants or the faculty liked to do. Surprisingly, to none it meant free time. It was mostly used for study, consultation, writing the lab diary or small group (dyad/triad) meetings and to resolve some issue that bothered them right in the "here and now" situation.

Module was a small group working from planning to implementation of a small project of intervention. The total group was subdivided into four modules. Each module was like a group of consultants working on the problems. Each group diagnosed the need of intervention, collected data for it, planned the intervention and then implemented it. After all these were over, the group's activity was reviewed in a critique where the faculty joined the other members in sharing their observations with the community.

Besides PCS there were also FCS, i.e., concept session provided by the faculty. It was considered very necessary that unlike a straight laboratory where the maximum emphasis was on experiential learning, the advanced laboratory for facilitators should provide a conceptual base for the experiential learning also. The concept

sessions provided by the faculty were on self, interpersonal communication (with role playing), collaboration, observation skills, change and human values, facilitation and facilitator's role. Many other concepts were discussed in lecturette forms at the appropriate time when other activities brought out sufficient experience which needed backing up by the relevant concepts.

The last event of the day was of the L group, held after dinner but continued till the small hours of the morning. Every night the session turned out to be a minimarathon. With the gentle breeze, combined with the silently dancing leaves of the coconut trees, the chirping of crickets, the wavering lights from the lamp and the candles, with the dancing light and shade on the wall, all that was somber and melancholy in life danced with the joy and peace of being. It was a memorable experience indeed!

The Reinforcement Lab (RL) was held nine months after the Internal Resource Development (IRD) laboratory. It was intended that all the facilitators who participated in the IRD lab would also participate in the RL. But some facilitators from one of the districts would not attend the RL. All the facilitators had expressed their desire to attend the RL, however. As a matter of fact they wrote to the coordinator (N) expressing their desire and indicating the time when it should be held. Accordingly the programme dates were fixed. But when the laboratory's started it was seen that about five or six of them from one district did not turn up. The reason mentioned was that a concurrent programme was being conducted at that very time. Something was amiss. The dynamics of the situation were more involving about which we should mention later.

The reinforcement lab was quite unstructured. The participants were familiar with the trainers, having participated in basic lab as well as in the IRD lab. They knew the norms and values of laboratories.
The contents of the programme essentially moved around the role of the facilitators: the skills needed in performing the role effectively and in identifying and resolving dilemmas of the internal facilitators while working in the LUs.

13.6 STABILISATION AND TERMINATION

One of the thrusts of the reinforcement lab was to bring in maturity in place of an exuberance of enthusiasm resulting in overambitious planning of action. Notwithstanding the shortcomings in the original selection of internal facilitators and the subsequent struggle, after the reinforcement lab we had renewed faith in the strength of the internal facilitators and their self confidence was reinforced. We thought it was time for us to plan our withdrawal. Before we withdrew finally we thought it was necessary to attend to a few issues. One of these issues was helping to resolve some conflicts that arose at the management level of plan renovation. One of us spent quite some time in an LU to counsel on this issue and arrange confrontation meetings between the conflicting parties. The confrontation proved very useful and resolution was achieved through the hard work of the conflicting parties.

During almost the same time members of the LU had reinforcement and psychological rewards from other sectors. There was praise and appreciation (and a little bit of jealousy also!) that this sector had moved ahead of the other sectors in their work. In the meantime an international meeting of representatives from all over the world was held. One of us agreed to provide process help to the meeting, and four internal resource persons were selected for help. We spent time in planning the process feeback strategy, and a few days on backup help to the internal facilitators, who took on the main process work. Almost everyone in the meeting was highly impressed by the superb professional work the internal facilitator did. And we were naturally very proud of it.

The central authority was also keeping itself informed about the activities of this sector, and they had witnessed their work and professional competence. Happily they did give positive reinforcement. A professionally competent person visited the sector

several times, met the members almost in every LU and entered into detailed dialogue in each LU. His visits had a stimulating effect on the members in their new pursuit.

In the gradual withdrawal process the consultants made it clear to the organisation that they did not think any other direct intervention was needed now. But that they would like to visit and help any LUs, and the coordinator. However, it was made clear that such requests for help must be channelled through their coordinator, they had done all that they could do to help themselves. These criteria were set forth to underscore the need for self help and self reliance. It was satisfying that they did not need much outside help. They really depended on their own skills and abilities. A year later, however, a request was received for help in training a group of members on certain specific aspects of management. But that was another story.

OD in Voluntary Organisations: Toward Organisational Maturation

Voluntary organisations have some special features which distinguish them from enterprise organisations. While these can be regarded as their main strength, they also pose some problems. These problems can be resolved through effective OD interventions, and their special features can be turned into their great strength. Three main aspects deserve some comments.

In the first place voluntary organisations work in a climate of **Commitment.** In most voluntary organisations, the members come together on the basis of some ideology and a high level of commitment to the goals which they share in common. This level of commitment is not found in other organisations. While this may be a great strength of these organisations, this may also create some problems. Since commitment is the main distinguishing feature of these organisations, individuals may become manipulative through their high level of commitment to the cause, and thereby may control the organisation. If this happens, a great deal of dependency may be generated in the organisational culture. It often happens that those who start such an organisation, or who have been close to the main fact, have a much higher commitment to the goals of the organisation. This may also give them a sense of ownership of the organisation with the right to direct and control the organisation. This may be done in good faith and with noble intentions. However, this does cause a problem when more people begin to join the organisation, and a differential strata of psychological membership begins to emerge. OD in such organisations, then, has to deal with the problem of dependency.

Another feature of these organisations is that the level of extension, motivation—concern for others, and a desire to serve others is quite high. Compared to other organisations, the stress on service, and working for others is a great strength of these organisations. However, the stress on service may lead to the tendency to use oneself for others, rather than to work for others without necessarily sacrificing ones own self.

This is likely to be the problem in India where denying oneself is a prime value. There may be two consequences if the self is used for, rather than integrated with service to others. On the one hand, it may lead to self-rejection and an escape into the role of a helper. This may disturb their mental health, and the individuals working in voluntary organisations, with this tendency, are likely to relish self-rejection and escape the problem of confronting their personal problems with the members with whom they work. On the other hand, overstress on serving others may lead to lack of affection and personal relationship amongst members of the organisation. As a result of these there may be lack of mutuality and collaboration. One problem, therefore, which OD has to deal within voluntary organisations, is the problem of working for mutuality and collaboration.

A corollary of a high level of extension motivation is that members of these organisations may have a high level of empathy. This in itself is a great strength. However, it may create problems if empathy makes people oversensitive and may result in the tendency to avoid hurting the feelings of others. If this happens, people are likely to try to be good, and would generally avoid confrontation. This may create issues which OD may have to deal with.

Source

This case study has been abridged from Chapter 16 of *Managing Organisational Change* edited by Somnath Chattopadhyay and Udai Pareek (Oxford & IBH, 1982). Details can be seen there.

13.7 SELF-ASSESSMENT QUESTIONS

1) Explain the following interventions:
   a) Basic laboratory
   b) Internal resource development
   c) Organisational diagnosis
   d) Review laboratory
   e) Stabilisation

2) Examine how OD has to deal with voluntary organisations

UNIT 14 ORGANISATIONAL CHANGE AND PROCESS CONSULTATION

Objectives

After completing the unit you should be able to:

- understand the main features of process consultation
- plan process consultation of meetings to manage change.

Structure

14.1 INTRODUCTION AND THE CONCEPT

Organisational change also involves effective teams. Teams work on various aspects—as task forces, project teams, meetings, conferences, inter-departmental groups etc. Process consultation is one effective intervention in making the team work effective.

This case study is not written in a choronological form, but more in terms of the main features and aspects of process consultation as an intervention. Process consultation is a part of OD.

Process consultation is the help given to a client in understanding and developing methodology of working in general, and understanding and managing the effects of work methodology on involvement, alienation, collaboration, conflict, consensus and such other group processes which affect decision-making and the members commitment to the decisions made, in particular. Elgor Schein suggests three main distinguishing characteristics of process consultation: joint diagnosis of the process with the client, helping the client in learning the diagnostic skills, and the active involvement of the client in searching for a solution. In process consultation "a skilled third party (consultant) works with individuals and groups to help them learn about human and social processes and learn to solve problems that stem from process events".

Before describing the process consultation experience, it may be useful to discuss the conceptual framework used. A large part of the conceptual framework was made explicit to the client group in the beginning, but the strategy was shared with them in detail at the end of the whole experience.

Underlying Values: Process consultants work with certain values, and it is necessary to make these clear to the client in the beginning. Thus the value made explicit are:

1) **Identification of client system:** Process consultation can be more effective only if the client is identified. The client may be different at different stages. At each stage, it is profitable for the consultant to make it clear to himself and to the client system who the client is, at that stage—top executive or a group of top executives. However, in many cases, the consultant's entry in the system may be at different points. At some stage, the process consultant should have to work with the top executive and help the top executive function become more sensitive, more process using and more effective.

2) **Integration of work:** Process consultation should get integrated with the regular work of the client. It is necessary to build process consultation as a

help to the task which the group is performing. If process consultation is seen as an extra input, the client system may not be prepared in the long-run to invest its energy in it. The more the process consultation is a part of the regular task, the more effective and integrated it is likely to be.

3) **Psychological contract:** The psychological contract of the consultant should be very clear from the beginning, and he should restrict himself only to process consultation. In other words, the consultant should make it clear from the beginning that his contract would not include intervening and influencing decision-making on substantial issues. There may be a great temptation, both on the part of the client system and the consultant, to get involved in decision-making on substantial issues. For sometime it is likely to be perceived as a great help, and it may, in fact, be so. However, it is important that this temptation is resisted. Several times during the present work on process consultation, such temptations arose and it was difficult to resist them. Since this was made clear, and since this was discussed with the clients each time such occasions arose, the temptation was resisted, and with very satisfying results.

4) **Group work:** The process consultant should help built the skills of group work in the client system. From the beginning, the consultant should plan to wean away the system from the help needed from him. The more the process skills are developed in the system, the more successful the consultant will be. These skills include the skills of group work, using process analysis in the decision-making, analysing, and confronting with the problem, coping with stresses and conflicts.

5) **Involvement of client systems:** One of the goals of process consultation may be to increase the general involvement of the members of the client system in what they are doing. This would mean increasing wider participation of the members, so that their commitment to the decisions made and to the process of arriving at decisions is greater. For this, the more diffused the leadership functions can be made, the more effective the process consultation will be. This would mean that such process skills will be used not only by the top group but shared by more of the members of the system.

General Strategy: The general strategy of process consultation takes into account the consultant as well as the client. It is necessary to think of consultant-client relationship in terms of compatibility. A client's need to influence may be high or low. There are some clients who are highly involved and who like to influence most of the situations. There are other clients whose need to influence is low, and who like to consult the consultant on most matters. It may also depend on the clients self-confidence. Usually the client with high self-confidence is likely to have high need for power or influence.

Similarly, the consultant's style is an important factor in this relationship. The consultant may use either direct or indirect influence. The consultant who uses direct influence tends to prescribe solutions, and work out details of various matters to be attended to. On the other hand, the consultant who uses indirect influence helps the client take decisions, generate alternatives, raise questions but refuses to prescribe solutions.

The interaction between the consultant's style and the client's need, and its relationship to compatibility is shown in Figure 14.1. Thus, if a client, who has a high need for power, works with the consultant who uses direct influence style, incompatibility may result, and there may be mutual rejection. Similarly, if the client's need to influence (or his self-confidence) is low and the consultant has indirect influence style, this may also result in incompatibility. The consultant may try to be a catalyst with the genuine hope that this role will help the client to become more independent and encourage him to exercise his influence in the situation. However, the client having low need for power, and concomitant low self-confidence, may therefore, lead to dissatisfaction on the part of both the client and the consultant.

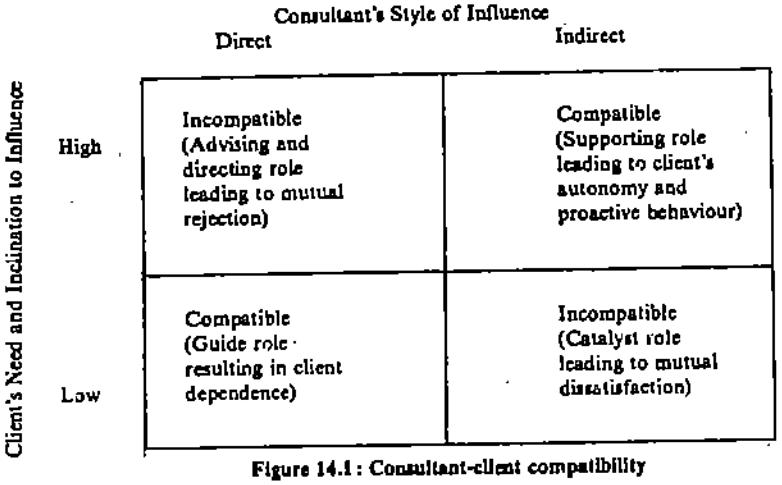


Figure 14.1 : Consultant-client compatibility

Compatibility, therefore, arises out of complimentarity of the consultant and the client, such as the client's high need to influence and the consultant's style of using indirect influence. Similarly, complimentarity is also between the client's low need to influence and the direct influence style of the consultant, who may provide guidance to the client, and both may have a satisfying experience. However, this kind of compatibility may not be productive and may not lead to the client's growth. It may lead to, and result in, dependency on the part of the client. Compatibility can, therefore, be either productive or unproductive.

The strategy of process consultation, therefore, should be aimed at maturation of the client. There should be movement from more active role of the consultant to a more active role of the client. In order to help the client mature in using the process skills, it is necessary that the consultant reinforces the client's use of these skills. We can conceptualise four stages in the development of process consultation, as shown in Figure 14.2.

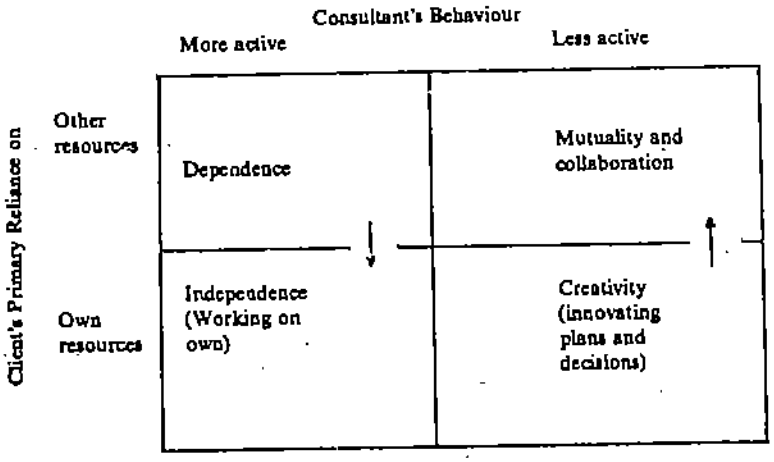


Figure 14.2: Development role of process consultation

These stages can be understood from the point of view of the client. When the client asks for help of an outside process consultant, naturally, he wants to use other's (outsiders') expertise. Client's perception of the necessity of an outside consultant may be a reality. However, the client should move from this position to the position of using his own resources. The first movement is from a dependent relationship, where the consultant is very active and responds to the client's needs, to a position where the client begins to work on his own, using his own resources and the consultant reinforces the client's success by giving him necessary feedback, encouraging him to play more active role.

The next movement occurs when the consultant decreases his active role, and progressively withdraws himself from the scene so that the client may be able to use

his resources fully. It has to be a planned and deliberate withdrawal, so that the client feels both self-confident and free to use his judgment and influence the decisions. This gives enough self-confidence to the client. The client becomes more creative, takes decisions on his own and derives pleasure in doing this. Unless the consultant cooperates by deliberately and systematically refusing in influence client, this phase is difficult to achieve.

When the client has gained enough confidence in managing process matters, he is ready to take the next step, namely, using other people's expertise and distributing decision-making more widely in his own group. This is the stage of maturity of the group and the client. This is achieved when the client tests out the ability of other members of his group to play effective roles in decision-making, and when he feels confident of the support extended by members in the group. This movement is difficult, but it is a necessary condition for a successful termination of the consultant-client relationship. If the relationship is terminated without achieving this level of maturity, the top executives in the client system are likely to use thier own resources and confine decision-making at their own level. Although the role of the consultant is passive at this stage, he continuously helps the client examine whether it would not be more rewarding for him to use resources available in his own group.

The consultant is very active in the beginning in establishing certain norms, giving feedback, raising questions, helping the client decide on the designs of sessions and the methodology to be adopted in accelerating decision-making, etc. As time passes, the consultant starts withdrawing himself from influencing the situation, and the client group (the top team) is in a way forced to talk more among themselves, take decisions, and then check with the consultant. The consultant increasingly insists on members discussing the matters among themselves first, and if there is any need for him to make any comments, he would feel free to do so.This puzzles the client group in the beginning, but they responded very well by using their own resources and by becoming active as they went along. There are clear signs of this movement; as the conference proceedes, more and more members played the process analysis rule and influenced decision-making. The decisions on the design of the programme taken in the meetings of the top team and the feedback received from them as well as from other members of the conference show clearly that this strategy worked very well. There has been increasing satisfaction on the part of the members in being able to take part in decision-making and using their influence as the conference proceeded.

14.2 CASE EXAMPLE OF PROCESS CONSULTATION TO A CONFERENCE

Background

An international conference was held in India in December 1974, for 20 days, to which process consultation help was provided. Process consultation was provided for the entire conference period, except for a few days used by the members for some special work and sight-seeing. There were participants from 12 different parts of the world. The proceedings and discussions were done in two languages—English and French. A voluntary service agency, established in 1897, sponsored the conference. This agency has, about 140 local units in different parts of the world, and in all it has a total membership of about 1400. The organisation is divided into 12 divisions, the largest having 16 local units, and 320 members, and the smallest having four local units with 16 members. The agency held its annual meeting with 21 members; 12 representatives of the 12 divisions, four members of the top governing body, and five observers. The agency has collective leadership, with four members. (We shall call it the top team).

The request for process consultation was received from the top team who, with other representatives, had experienced dissatisfaction during the previous international conference. Decisions had been influenced only by a few members; participation was very low; conflicts occurred, but were soothed by emotional appeals; more task-oriented and less development-oriented decisions were made; a sense of futility pervaded; and the conference had ended in tension. The top team then decided to have some specialist advice for the next conference planning, as well as help, during the conference, in conducting the proceedings with a view to achieving better understanding, wider participation, critical but supportive discussions and joint decision-making.

After receiving the invitation, but before deciding whether it would be worth-while to undertake this assignment, a detailed discussion was held with the top team at their main office in Europe on their expectation from this help of process consultation. After detailed discussions, it was agreed that such a help may be useful for the success of the conference.

Objectives: The objectives of process consultation to the international conference were discussed at the initial meeting in Europe. They were further spelled out and agreed on in the first meeting with the top team. There objectives were as follows:

1) To bring about the maximum amount of mutual and openness in the conference so that the members may be able to talk freely and help each other.

2) To ensure more widespread and better quality participation of the members.

3) To improve the quality of decision-making, so that decisions are taken faster, and make more commitment on the part of the members to execute and carry out these decisions.

4) To resolve differences which may arise during the conference, more creatively, and in such a way that the differences and points of view enrich the conference.

5) To provide the necessary feedback and help in the improvement of the conference process as the conference proceeds. In other words, to help develop a monitoring and self-correcting system during the conference.

The Client : It was clarified and agreed upon by the top team that the client for the conduct of the conference would be the top team and not the total conference, so that the consultant would provide help to the top team in designing as well as conducing the conference. However, in due course, he would also provide feedback to the total conference and the total group would become a client at that stage on several aspects. It was also agreed that this arrangement should be made clear from the beginning to the total conference.

Process Consultation in Action

The client group wanted help in designing the conference, process facilitation in the conference, and reviewing the progress in order to monitor the conference design and procedure. As will be evident from the discussion on the various dimensions of process consultation below, the role of the consultant becomes less active, as the conference progressed. One whole day was spent on preliminary discussions, and it was decided that the consultant (s) and client group (four members of the top team) would spend two full days, prior to the conference, in talking about the purposes of the conference, the expectations on process consultation, if such information was available, and to establish certain norms for process consultation. Two days immediately before the conference were therefore earmarked for this purpose.

There were long discussions on various aspects, such as the workng relationship between the consultant and the client. It was agreed that every day after the meetings were over, the process analysis group, consisting of the four members of the top team, and the consultant, would sit together for at least two hours in reviewing the whole day's activities. It was also agreed that the consultant would give feedback, and raise issues and that the client group would increasingly make notes and share their own feedback. This was to be a crucial meeting where the roles and designs for the next day were to be prepared in the light of the understanding of the process of that day. It was also decided that such meetings might become necessary even during lunch and other breaks, and provision for that was also made. This arrangement was honoured throughout the conference, and this led to a healthier understanding between the consultant and the client, and among the client group as well.

The objectives, as stated earlier, were worked out during these two days, and the alternative ways of achieving these were also discussed. The following dimensions were attended to as part of the process consultation.

The Main Activities

Initial Unfreezing Activities: Although the client did not know what it meant operationally, it was agreed between the client group and the consultant (s) that it was necessary to do something to help create a climate of openness, trust, and mutual understanding-from-the-very-beginning. It was also agreed that there should be enough

opportunity for the members attending the conference to interact with each other from the beginning and that a norm of asking questions without feeling embarrassed may be established. It was also agreed that the individual members may be helped to get some idea about their own orientations, so that the norms of critical self-examination may be established. All this was done through a 3-day programme which was separately prepared as an initial unfreezing intervention.

The programme consisted of (1) Micro Lab, designed to stimulate participants think about the various objectives of the conference through performing simple tasks in unconventional ways; (2) structured exercises to stimulate some dimensions of group life which were identified after discussion with the top team in the beginning; (3) structured ways of collecting data about the orientation and styles of the members of the conference in order to help them develop insight into these and the relationship with their effectiveness; and (4) discussion of six reports prepared by representatives of various divisions with a view to sharing these and increasing empathy. The programme started with the micro lab and it was followed by structured feedback on orientation and interpersonal styles of individual members. The structured exercises and discussion of reports were taken up after these two activities.

Issues on Focus

The following *issues got focused* during the 3-day programme.

i) **Insight into the behavioural orientations:** Behavioural orientations as revealed by some psychological tests each individual took, were discussed in the total group, taking examples from the individual profiles. A general interpretation of the total culture of the organisation was also given, based on the patterns of scores of the total group. It was, for example, pointed out that the members, out of their eagerness not to hurt each other, tended to avoid to be closer and establish meaningful personal relationship. The need for such relationship was quite high in the group. The implications of such trends were discussed.

ii) **Empathy:** A non-verbal test on empathy was given and the scores were interpreted. The implications of the extreme scores were discussed. Persons with low scores could be insensitive and therefore not understand others' problems, whereas persons with high scores could be too sensitive and could avoid taking the risk of expressing themselves freely. It was discussed how persons can continue to have high empathy and at the same time retain spontaneity of behaviour.

iii) **Use of group sources:** Through an exercise, the conditions under which the group resources are used were discussed. Individuals overconcerned with their own achievement and tend to neglect group resources which alone can help individuals have synergetic achievements—the group achieving more than the total potentiality of its individual members.

iv) **Collaboration:** Emphasis was put on collaborative efforts to resolve issues. One important dimension was the perception of goal, whether the individual perceived the goal as his own, or as that of the total group to which he belonged, made a difference in his strategy of achieving it. This was brought out by comparing behaviour of some individuals who were more effective in solving group problems with that of other individuals who were not so effective. During this exercise, a peculiar phenomenon was observed. Whenever the members had an opportunity to meet and discuss a strategy, they collaborated and followed the strategy, agreed upon within the group. However, they gave to collaboration when they had to work without such a previous meeting. It appeared that collaboration was not a problem when they were working in a face-to-face situation, but they became individualistic when they were working all alone.

v) **Developing people:** One major issue which seemed to be important was how new members were developed. Through an exercise, data was generated to demonstrate how expectations by important persons like the senior executive influenced performance and motivation. It was also demonstrated how overconcern indicates lack of trust in the latter's ability, and that help is useful only when it is sought on specific aspects. Encouragement and genuine positive reinforcement was seen in the exercise producing better effects on performance than detailed guidance.

Aspects covered

As stated above, the main work of the process consultant was to provide process

consultation to the chief executive group. Several kinds of consultations were provided during this time. The following *aspects were covered:*

a) **Feedback on the behaviour of the client:** This was done with a view to improving the conference ability and decision-making capacity of the top team. Usually two members of the top team chaired meetings during the day.

b) **Feedback on the day's programme and design:** The consultant also made notes on why certain aspects of the progammes did or did not go through well. Notes were also taken on several aspects, such as some members' need to participate and influence decision, visible conflicts in the group and among some members over certain items, clique formation in the discussions. The consultant shared these notes with the top team and asked them to react to these observations and used the feedback for preparing the next day's progamme. Such feedbacks were found to be useful both for increasing the insight of the client group as well as for giving them training in keeping such notes; as a result more process notes were prepared by all the four members of the top team, and were shared in these meetings. This helped in increasing the confidence of the top team in their ability to take such notes and make process observations.

c) **Designing of the programme:** The consultant made no comments on the substantia discussions and issues, but helped the client group in designing the next day's programme. In the initial stages, the consultant was active in giving suggestions and generating alternatives so that the client group could choose from among these alternatives with several considerations. Later, he deliberately became less active in generating such alternative and encouraged the client group to do their own thinking. The consultant's attempt was to help the client group in making it more flexible and creative in generating alternatives and then take decisions. On several occasions, the meetings were very exhaustive and it was felt that there was no time and energy for such process work. However, fortunately, this was a very rewarding experience and in spite of such exhaustion, the process discussion meetings were regularly held, and the analysis led to a more mutually satisfying experience.

Help to the Total Group: Although the consultant initially worked with the top team, as he came to be accepted and become a part of the total conference group, his role in giving process feedback to the total group was encouraged and welcomed by the conference members, and was seen as useful. When the group was engaged in some conflict and some members of the group wanted the consultant to make comments on what was happening, or when he felt that his comments on the process might help the group, he made such process feedback available to the group. His style was more in raising questions, making observations available, giving certain facts and data to the group as he observed it, and leaving it there. He did not get into an argument on how that feedback could be used. It was left to the members of the group to use or not to use the feedback. Rarely did that the feedback either threaten the conference group or leave it neglected. Mostly, the feedback was used. The consultant was very careful to see that this did not happen frequently, otherwise, the group instead of depending on the expertise of the top team or on their own, would continue to depend on the consultant's help. However, the consultant also did not shy away from making some significant observation to the total group when in his judgment the observations might be too late if not made at that particular point of time.

Help of Working Methodology: The consultant also provided help to the top team on the methodology of working. This was, in fact, the main thrust on the process consultation through on the duration of the conference. As stated earlier, the main focus of the help was on wider participation and distribution of decision-making among most of the members of the conference. The consultant helped the top team to think of a variety of ways of achieving these goals. His main attempt was to raise questions are help them search several methodologies, come out with new ideas, and finally take a decision themselves. In the process analysis meeting, the working of different methodologies was reviewed. In working out a methodology, the objectives were discussed, and alternative methodologies were reviewed in the light of the objectives. For example, the various advantages and disadvantages of using the small groups or the large groups were discussed before a decision was taken by the top team on how to use these groups. The client group themselves suggested on one occasion, that smaller groups would provide more opportunity to an individual to think. Similarly, it was agreed and suggested on the basis of experience of a day, that in the smaller groups, there was much more understanding and less commitment to an idea so that the ownership of the idea was lost, but the tendency to own up the responsibility of ideas and feelings was promoted. It was

certainly observed and agreed that there was much more participation of members in smaller groups.

The consultation on methodology was essentially in terms of raising questions on the design of the groups, on timing the various discussions, building and sequencing the various events, building process analysis work in between and so on. Close attention to the design was found to be most helpful as was revealed by a sense of solidarity and mutuality reflected in the group, and noticed not only by the top team but by other members of the conference also.

Evaluation of Methodology: It was decided to have a mid-conference evaluation in order to know how the conference was going on and to plan corrective actions to make the rest of the conference more productive. The consultant helped the top team in designing the methodology of evaluation. Long discussion was held on the purpose and methodology of evaluation. The discussion was spread over four days, and various aspects were taken up. Finally, it was decided that evaluation should involve all members of the conference, be forward looking, be thorough, and that it should not become a ritual. In order to achieve these objectives, it was decided to divide the entire working of the conference into four different aspects; and the members were divided into four groups, each group discussing one aspect for which a broad outline of the items to be considered was given to them. These groups met for one hour simultaneously and prepared written reports which were then shared in the total community and members of the community could comment on and discuss the various aspects. These dimensions of the conference were (i) objectives of the first half of the conference and to what extent these objectives were achieved; (ii) Resources and means used including the outside behavioural science consultant, other outside resources, small group work, total group meetings, visits, etc, (iii) Specific items of the programme, including the process activities, initial unfreezing programme, reports, specific session on substantial issues, and (iv) Physical and other facilities.

A different method was adopted at the end of the conference. One member was requested to interview as many members as considered necessary, and prepare a report. The member presented an excellent critical report which was highly admired. Then other members added any other remarks that they personally wanted to make.

14.3 PROCESS AND FEEDBACK

The events are not described in chronological order. The purpose of the case study is to suggest a model of process consultation and its application to conference planning and working. The process of the change is briefly described below, followed by the feedback from the client.

The Process: As stated earlier, the focus of process consultation was on helping the top team to participate more and more in diagnosis of the process, general alternatives to cope with the process problems, and pay attention to the processes of their working as a team. The focus was on helping the members increasingly recognise the need for examining process in the conference (distribution of participation, ways of dealing with conflicts, sensitively shown by members, maintenance roles played, etc). For example, one of them would suggest a discussion on why, in a particular session, there was low participation, or what effect did the chairman's task oriented style had on the consensus process. As a result of such an analysis a decision was taken at one stage to change the chairman (from among the top team) and see if the other person could try to encourage freer discussion (with less anxiety about the task) without affecting task accomplishment.

The change in the top team was perceived in several ways. While more process questions were raised in the beginning by the consultant, the members of the top team progressively took the initiative in raising such questions themselves. A norm of positive critical feedback was established.

At the end of each day, questions of the following nature were discussed by the top team: how was participation distributed, what was the level of involvement, how were disagreements dealt with and decision made with what consequences, how much support and antagonism was reflected, what maintenance and dysfunctional roles were evident.

The top team was also engaged in designing programmes with the objectives of maximising participation, confrontation, and decision by consensus. For this purpose alternatives were generated. As stated earlier, the consultant did this deliberately in the beginning. However, the members of top team increasingly generated more alternatives and chose one after discussing the process implications of the various alternatives. At the conference level, the emphasis was on distribution of the maintenance functions among the members. This was done by encouraging members to comment on the process by raising related questions. It was, for example, pointed out on one occasion that the decision was made by voting, but the consultant was not sure whether the points had been discussed enough. This remark encouraged some members to come out with some feedback on the way some members pushed the issues. Later some members themselves raised such questions. In short, the process was through modelling behaviour, raising process questions, and feedback. This was in addition to the especially designed sessions for openness, self examination and mutual help.

Feedback: There was several sources of feedback on process consultation. The top team continuously discussed and shared their general impressions. Remarks were made by other members from time to time. The systematic evaluation was done at the end of the first half of the conference, and then at the end, the total conference provided systematically collected feedback. The feedback was quite positive and encouraging.

Source

This case study has been adapted from "Process consultation in an international organization" by Udai Pareek (*ASCI Journal of Management*, 1975, 4 (2), 135-146).

14.4 SELF-ASSESSMENT QUESTIONS

1) What are the underlying values of process consultation?

2) Examine the process of consultant-client compatibility?

UNIT 15 WORK REDESIGN MODEL

Objectives

After completing the unit, you should be able to:

- have basic understanding of work redesigning as an approach to organisational change
- understand the main element in this model
- prepare a plan to use the model in your work situation.

Structure

15.1 WORK REDESIGN IN A MANUFACTURING ORGANISATION

The concept of methodology of work redesigning has already been discussed in Unit 10. Here three brief accounts of the steps taken in redesigning work in three settings are given.

Work redesigning was done in BHEL, Hardwar Unit. The following steps were involved.

A Organisation

1) Selection of Groups

2) Meeting of all the workers, supervisors, officers connected with the group, to explain the philosophy of the scheme and fully involve them in decision-making

3) Reorganisation of the working group—all members divided into two groups, with each responsible for a single task

4) Formation of a task force—from the members of both groups a task force consisting of permanent members/temporary members was formed. The temporary members were replaced by other group members every month to give a chance to everybody.

B) Role of the task force

1) Receive overall target from management
2) Breaking this into sub-targets
3) Plan the requirement of materials, tools, equipment
4) Use of job-rotation and multi-skilling
5) Use of semi-autonomous work-group concept (even stage inspection was done by the group, only final inspection was done by Q.C. Deptt.)

C) Training

1) Training needs identified to settle issues and review progress
2) Emergence of "self managing" work teams
3) Change of job from elemental job to work task

To sum up, with the introduction of this scheme, employees had an improved feeling or ownership of work and enjoy an improved quality of worklife, and are thus committed towards their work productivity.

15.2 WORK REDESIGNING IN THE POSTAL SYSTEM

In April 1975, the Director (Post Training) took the initiative in launching an action-research programme on employee motivation in the post offices. The post office work traditionally organised on the bureaucratic model: one man-one job with hierarchical supervisory chains checking the systems operation at the end of the day's work and preparing fortnightly minutely detailed records of all transactions to be despatched to the head office. Each public counter is designed on a one-job-one-counter basis with the result that the same customer depending on the nature of his needs would have to go to different counters, one after another, and, in the process, stand in queues and take his turn for the job to be done. These inordinate delays were a major cause of public irritation with the postal system. The following steps were taken in the experiment.

1) The technical system of work including work-flows and the social system of work interaction were studied along with the employees. The post office had forty three employees in addition to one part-time employee. There were association (union) leaders, two in the postman category and one a telegraph signaller. The diagnostic study revealed the following:
   a) The work space in the post office was inadequate with a high degree of congestion;
   b) Furniture was antiquated and dysfunctional but over-abundant, contributing to the congestion;
   c) There was no physical facility at the counters for customers to fill in forms and no seating for old and infirm visitors;
   d) Lighting was inadequate and also improperly placed.

2) A study was also undertaken to find out job satisfaction levels of the employees, particularly of the postmen and clerks. The information, obtained anonymously, showed that in their perception the postal authorities genuine interest in their welfare and happiness was of only average strength, their receptivity to the needs of the employees was low and there was little consultation before decisions were taken. A majority felt that they had to do this work because there was no alternative and it was just a case of working to earn a living. There was no real happiness with work content or the work climate.

3) A two-level participation mechanism was set up in evolving a new form of work organisation: (a) Participative dialogue between the external consultants and the management, including the sub-postmaster who headed the organisation; (b) Participative dialogue between the management and all the employees of the post office.

4) The diagnostic phase of the study revealed that the primary tasks of the post office were:
   a) Mail delivery activities—collection and delivery of mail, including valued articles, such as money orders, registered mail, insured articles, etc.;
   b) Counter service activities which included savings bank functions, booking or money orders, registration of letters, parcels, etc. selling of postage stamps, registration of broadcasting receiver licences, selling of postal orders, etc.;
   c) Receipt and despatch of telegrams, settlement of telephone bills and attending to public call office;
   d) Control functions including Treasury and correspondence activities.

5) It was felt that before any new form of work organisation was created, the problem of space had to be handled. Accordingly, the management made available the first floor of the building to the post office by converting the residential accommodation occupied by a postal employee into office space.

6) After these congenial work conditions, the management started a dialogue with the employees and it was decided in a joint meeting that the delivery group would start working as a group instead of on one man-one job basis. The

group also decided to have a group leader to be rotated every two weeks, so that every postman could get a chance to be a leader, mainly as a liaison between the group and the sub-postmaster.

Initially there was a leadership struggle within the group which was further complicated by a series of confrontations with the sub-postmaster. The Senior Superintendent of Post Offices decided not to intervene in these disputes, because this might foster dependence on him. Instead, he advised the delivery group to settle all disputed issues in their own forum. The group consisted of 17 members including the assistant sub-postmaster. While most of the issues were dealt with by the group itself, any boundary issue had to be taken up with the sub-postmaster.

Gradually, the group learnt to tackle their conflict situations and by the beginning of 1976, the group started functioning satisfactorily.

7) A significant increase in productivity was seen. The working of the delivery group indicated more mutual help to achieve the P.O. objective. In the post the mail collectors used to bring mail from post boxes located at different beats within the jurisdiction of the post office, stamp letters and articles to deface the postage stamps and seal bags for the railway mail service; postmen, including the head postmen, sorted and then distributed the mail along their beats; the delivery clerks recorded registered mail and other accountable items. Now the group started going beyond their individual work roles. If the preliminary or detailed sorting was taking more time on a particular day, other staff joined in to expedite the process.

8) Encouraged by this experience, it was decided by the employees that the four counters meant for the public would become 'one-stop' counters, each one carrying out all of the counter activities other than dealing with savings bank accounts, which was retained as a distinct activity at one counter. There were some procedural difficulties, particularly in respect of booking of money orders, because blank receipt forms could not be distributed amongst different counters. The counter group in discussions with the Senior Superintendent of Post Offices came up with a solution: by taking the aggregate of money orders booked in the previous year, it was possible to work out average daily money order bookings for this post office. Accordingly, pre-determined number of blank receipt forms could be distributed amongst the four counters and on any day with an unusually heavy rush, the sub-postmaster could authorise additional blanks.

9) Encouraged by the results of this group system of working in an otherwise highly traditional, hierarchical government organisation like a post office, it was decided by the higher authorities to introduce it with the support of the employees in the two other post offices in Simla, namely, Chhota Simla and the Accountant General Post Offices. The authorities also felt convinced that gradually the system could be introduced in the remaining 200 post offices in the State of Himachal Pradesh.

10) Earlier it was mentioned that there were three union leaders in this post office, about whose role in the experiment some apprehension was expressed. There was initially leadership conflict and some confrontation between the sub-postmaster and these leaders, but gradually the group as a norm-setting and norm-enforcing agency won the union leaders support in work activities. They were perceived as helpful and constructive, a change that could not have been anticipated in the traditional climate.

15.3 WORK REDESIGNING IN A BANK BRANCH

The branch was located in an agricultural area with 71 employees. After a series of discussions with high officials in Delhi, officers of the local branch and union leaders and clerical employees, a sample survey was done on 6 aspects of jobs (learning, variety, decision-making, support and respect, meaningful job, desirable future). The data reveals that, as one goes down the hierarchical level, employees' interest in the work came down on most of the socio-psychological job needs and yet it was also

found that the clerical employees made a distinction among the clerical desks. Under the one-man-one-desk formula, as was the traditional work design, some desk were considered as symbolising low status and some others like foreign exchange advances, balancing of accourts and clean cash, were considered as more prestigious—job which were not plentiful in the branch. Once the data were presented to the employees in January 1976, they decided that they would like to experiment with a new form of work organisation in the personal banking branch of activity. A workshop was held in April 1976 with the employees concerned and the officers. This two-day workshop brought about a new concept of deposit call (personal banking), which is briefly presented below:

Task

To plan and organise work relating to personal banking components in such a way as to ensure;

1) staff involvement;
2) job satisfaction; and
3) good customer service.

Service to be Performed:

1) savings bank;
2) current accounts;
3) fixed-deposit receipts;
4) recurring deposits; and
5) janata deposits (poor man's accounts).

Activities Involved:

1) opening of accounts;
2) operation of accounts;
3) statement writing, completion of pass books;
4) correspondence relating to these accounts;
5) standing instructions;
6) subsidiary day books;
7) balancing of ledger-control; and
8) planning and budgeting (draft form),

Persons Involved:

1) 3 cashier-cum-clerks;
2) 1 teller;
3) 2 messengers;
4) 3 clerks;
5) 1 officer Grade I; and
6) 1 officer Grade II.

Decision-making

The internal management of the group will be handled by a task force consisting of 1 officers, 2 clerks/clerk-cum-cashiers/tellers and 1 messenger. The task force will handle the following functions;

1) leave (including short leave);
2) allotment of tasks and job rotation within the cell;
3) enforcement of discipline;
4) recommendation to Branch manager/Accountant in regard to facilities to customers on exchange rates, overdraft, etc.
5) allotment of day books within the constraints of bank's existing instructions;
6) training of the members of the group;
7) recommend names of persons to be included in the group during leave arrangement;
8) seating in the cell;
9) arrangements for stationery;
10) to keep a record to circulars in the cell;
11) display of publicity material;
12) arrangements of drinking water for customers.

With the streamlining of layout, simplification of procedures and involvement of staff members, there was a marked improvement in the customer service for the constituents of the personal banking segment. Time taken for payment of cheques through the ledger-keeper was cut by half. The teller payments were made immediately. Time taken for opening new accounts was cut by two-thirds. Complaints from the customers had gone down considerably. Fixed deposit receipts were being prepared and handed over to the customer within 15 minutes, a considerable improvement on the past practice.

The group was also more conscious of its problems and was operating on a more realistic data. However, it was still unable to resolve the problem of integration of the cashier into the system. The role of the supervisory officers, as traditionally defined, appeared to be somewhat anachronistic in the context of the new form of work organisation but it was a matter which neither the group nor the branch could resolve: it fell within the competence of the policy making authorities in the central office of the bank.

On the basis of the evaluation report presented by the deposit cell to the employees of the entire branch, it was decided in November 1976 to extend the new form of work organisation to other activities of the branch and, to begin with; in the government business, segment of activity.

Sources:

1) *Participative Redesigning of the work System* by K.C. Sharma, Harinder Singh and K. Diesh. New Delhi: HRD Unit, Department of Personnel and Administrative Reforms, Ministry of Home Affairs, 1978. 139 p. (Work redesign in the Kalkaji post office).

2) *Initiation Process in Designing New Forms of Work Organisation.* New Delhi: PECCE, 1978.

3) *Towards Organisational Effectiveness through HRD.* National HRD Network, 1989 (pp. 292-306) (Work redesign in BHEL).

4) *Alternative Designs of Human Organisations* by Nitish De. New Delhi: Sage, 1984 (Several accounts of work reorganisation).

NOTES

NOTES

Utter Pradesh
Rajarshi Tandon Open University

MBA-3.14

Managing Change in Organisations

Block

4

CONSULTING: APPROACHES AND SKILLS

BLOCK 4 CONSULTING : APPROACHES AND SKILLS

This block comprises three units. The block is focusing on the role of change agents in managing change, be it the manager as an individual, or an internal consultant or external consultant/s.

The first unit of this block deals with the manager as an independent entity in the organisation working as change agent. As a manager everybody has an important role in contributing towards coping with managing continuously changing environment.

The second unit embarks on the internal consultant or change agent, highlighting the skills and abilities required by the internal change agent. Change, be it of any type and magnitude, is bound to face the resistance. This unit also explains the sources of resistance, how to overcome these sources and lastly the unit also describes the characteristics of a successful change agent.

The third unit touches on the need, role and significance of external change agent (consultant). Apart from mainly focusing on the consultant's roles the unit also explains the other important key roles which play important part in management of change in organisations.

UNIT 16 MANAGER AS AGENT OF CHANGE

Objectives

After going through this unit you should be able to :

- appreciate that organisational environments are constantly changing and that the pace of change is accelerating;
- appreciate that effective organisations must continuously anticipate and respond to change; that one time transformational change efforts may be required at times but the focus must be on building "learning organisations" which continuously learn, change, and improve;
- understand that every manager has a significant role in continuously changing in response to the changing environment;
- understand that some of the critical attributes of the manager of tomorrow will be:
  a) the ability to be a good learner;
  b) the willingness to change his/her own behaviour and practices, and
  c) the ability to be good coach/teacher of subordinates.

Structure

16.1 INTRODUCTION

Heraclitus a Greek Philosopher in 6th century B.C. put across the idea that "There is nothing permanent except change". Over the centuries, there has been a general philosophical and intellectual acceptance of the notion that change in all human systems is continuous and inevitable. In the twentieth century and particularly in the last few decades, there has been growing evidence that the pace of change in all walks of life is becoming increasingly faster. Alvin Toffler's Future Shock documented this evidence in great detail.

For the individual human being, the implications of this notion of continuous and increasingly faster change have been captured in notions like traditionality Vs modernity, adjustment Vs dysfunctional behaviour, generation gaps between parents and children, etc. For the business organisation the need to orient to this fact is frequently a matter of survival. Increasingly, the continued survival and high performance of a business organisation over a period of time will be in direct relation to its ability to anticipate, strategise and change to keep pace with its changing environments. Organisational leaders and managers will need a mind-set geared to recognising and anticipating trends, modifying frames of reference for action and responding with new behaviours and strategies. As leaders and managers they

will need to ensure that environmental changes and the organisation's need to change are understood, accepted and responded to by their teams and subordinates.

16.2 ENVIRONMENTAL CHANGES AFFECTING ORGANISATIONS

Every organisation exists within a context and interacts with it at various points. Some of these are:

i) Political environment and Government Policy

Political ideologies and imperatives affect govt. policy and as the former change the latter get modified accordingly. In India as the political ideology has shifted from socialism to a more open market orientation, govt. policy is changing towards greater liberalisation and opening of the economy to domestic and multinational competition.

With this, the focus of organisational leadership has had to shift from lobbying for licences to looking for investment opportunities suited to core strengths of the organisation. Focus of Public Relations Department has had to shift from government relations to customer relations. Personnel and HRD Departments are having to find more creative ways to ensure retention of top flight managers. Finance Managers are having to deal with impact of crash of far away economics; and Legal departments are struggling to understand implications of International Patent and piracy related laws.

ii) Societal changes

As educational levels of the general workforce has improved, the traditional paternalistic style of managers has begun to run foul of workers' expectations. The young professional today expects to be treated as an equal who may have less experience but probably has more uptodate technical knowledge. As more women get professionally qualified and take to long term careers, organisations have to respond with variety of changes in personnel policies and behavioural norms. As living standards and aspirational levels of people change compensation packages have to be reoriented and promotion policies modified.

iii) Competitive pressures

As the competitive environment changes from monopoly/oligopoly to larger number of competitors the need for systematic competitive intelligence by the sales team increases. The pressure for catching attention of the customer through newer packaging and products takes on battle proportions. The shift from sellers' market to buyers' market demands mind-set changes in the entire organisation, not just from the sales and marketing teams. The Total Quality Management Movement with its primary focus on the Customer is in line with the emergence of buyers' market conditions in major sectors of economies in most of the world.

iv) Technological changes

Changes in materials, methods, equipments, material handling, design and technology have been occurring in the entire gamut of industry. Some of the most dramatic changes have been due to automation and robotisation of the manufacturing process. Changes in the telecom and computer industry is part of the latest wave of changes which is effecting not just manufacturing but service sectors and office environments at faster pace than never before.

From typewriters, cyclostyling machines and telexes to Personal computers, colour photocopiers, Fax, E-mail and now multi-media, office environments change even before stabilisation of an earlier change effort.

The information superhighway which is currently in the process of evolving, will change entire industries like telecom and entertainment.

16.3 TRANSFORMATIONAL CHANGE AND OD THEORY

Organisational Development theory is based on the recognition of the fast pace of environmental change and the organisational need to respond effectively to it. However, OD Theory is rooted in the reality of the '60s and '70s when changes were not so rapid or, rather, continuous. As such, OD theory has typically focussed on planned one-time transformational change. Various OD approaches focussing on different aspects of Organisation Structure and Process have been evolved to achieve one-time changes in the way things are done (See box).

OD Strategies

	FOCUS			
	Jobs	Interpersonal exchanges	Works Groups	Whole Org.
Emphasis on Structure	Job redesign	Communication Patterns	Autonomous Work Group (Socio-Technical systems)	Survey Feedback
	Flexi-time			Action Research
			Team Bldg.	MBO
	Job enlargement	Transational analysis		
Emphasis on Process		T-Group		
	Job enrichment	Process consultants	Conflict resolution	Management Grid

The sequential process of change is typically believed to involve eight phases:

a) Initiation
b) Motivation
c) Diagnosis
d) Information Collection
e) Deliberation
f) Action proposal
g) Implementation
h) Stabilisation

As such, the change effort results in a new organisation state which is believed to be effective thereafter. The key players in this change effort are the consultant, top management and a handful of Internal Change Agents.

16.4 CONTINUOUS IMPROVEMENT PROGRAMMES AND TQM APPROACH

With the emergence of the Japanese as significant International players in many industries and the competitive beating taken by American Industry in the Eighties, Total Quality Management thinking emerged as a basic approach to continuous improvement in a continuously changing environment. With its focus on the Customer both internal and external, this approach has spawned many efforts at organisational change.

16.5 CONTINUOUS CHANGES THROUGH BUILDING LEARNING ORGANISATIONS

As TQM and continuous improvement programmes have proved to be difficult to transplant in different cultural environments the realisation has grown that continuous improvement essentially requires a commitment to learning. Theorists like David A Garvin have

emphasised that organisations can improve only after they learn something new, and that, without accompanying changes in the way that work gets done, only the potential for improvements exists.

Building learning organisations which are skilled at creating, acquiring and transferring knowledge and at modifying their behaviour to reflect new knowledge and insights, is now recognised as the focus for top managements wanting to remain significant players in an ever-changing business environment. In contrast to the one-time transformational change logic of OD efforts, the focus on building learning organisations recognises the need to continuously learn and change.

Five main activities are seen to be essential to a "Learning Organisation":

1) **Systematic Problem solving:** This includes reliance on the scientific method for problem diagnosis, insistence on data, use of simple statistical tools and most importantly, a mind-set geared to discipline, accuracy and precision.

2) **Experimentation:** This involves systematic searching for and testing of new knowledge in the form of various programmes and projects. Essential to this is creation of an organisational culture where experimentation is encouraged and employees are not penalized for risk taking.

3) **Learning from past experience:** This requires systematic review and assessment of successes and failures and recording of lessons in a form that employees find open and accessible. At the heart of this approach is a mind-set that enables companies to recognise the value of productive failure as contrasted with unproductive success.

4) **Learning from others:** The process of benchmarking which is an ongoing investigation and learning experience that ensures that best industry practices are uncovered, analysed, adopted and implemented, is fast becoming a hallmark of the professional organisation. Another important process is learning from customers by talking to them and observing them in action. Essential to these processes of learning from others is openness and lack of defensiveness.

5) **Transferring knowledge:** Learning organisation must develop mechanisms for rapid and efficient spread of learning throughout the organisation, they must also provide the right incentives for such knowledge transfer. Essential to this process is the willingness to share learnings with others.

16.6 EVERY MANAGER AN AGENT OF CHANGE

While creation of a learning organisation is a top management task, the onus of continuous learning, changing behaviour and bringing about improvements must devolve down to each manager. An important aspect of the functioning of every manager will be his or her ability to continuously contribute to change. As distinct from the concept of Internal Change Agent in OD theory where specific individuals are identified as internal change agents to work with external consultants in a one time change effort spearheaded by top management, it is important for every manager to assume the responsibility for continuous change in a continuously changing environment.

The successful manager who is oriented to continuous change and improvement will need to:

1) **Be a good learner:** The manager must continuously keep in touch with the relevant environment including competition, other business organisations, and customers in order to be alive to the need for improvement and the possible ways of improving. The manager must also learn from peers within the organisations as well as from his/her own past experiences.

2) **Be open to changing own behaviour and practices:** The successful manager in today's environment is not necessarily the one who has all the answers, or who has done all the right things in the past; he or she is the one who is willing to ask "Five Why's" about everything including own behaviour and work practices in order to get to the root of the problem and fixing it so the problem does not arise again.

3) **Be a good teacher:** Bringing about changed behaviour of team members is the responsibility of every manager. He or she must coach, teach and help subordinates to

understand the changes in the operating environment, to appreciate the corresponding need for changed organisational response, to experiment with change in their own behaviours and practices and then to systematise and institutionalise the changed practices and systems.

16.7 SUMMARY

The cope with the constantly changing environment, the corporate sector has also equipped itself to face the challenge. Manager being a unit of the organisation has to play a very important role in coping/managing response in ever changing environment. For any organisation to remain effective, merely reacting to any change is not enough rather the organisations have to continuously anticipate and respond to the change. The need of the hour is to develop the organisations to the level where they can continuously learn, anticipate, change and improve.

16.8 FURTHER READINGS

Havelock, R.G. and Hubesman A.M., *Solving Educational Problems*, Unesco, 1977.

Mc. Lelland, D.c.; The *Inner Experience*, Irvington, 1975.

UNIT 17 · INTERNAL CHANGE AGENT

Objectives

After going through the unit you should be able to:

- understand the significance of the role of Internal Change Agent;
- appreciate some of the behavioural skills and abilities required by Internal Change Agent.

Structure

17.1 INTRODUCTION

Organizations frequently need to undertake planned, programmatic change efforts in an effort to transform or bring about fundamental change in, a) what drives the organisation, b) relationship between and among organisational parts, c) ways of doing work or d) means, values or reward systems. Consultants or external change agents are often used to help bring about such transformational change. Consultants are experts who have both knowledge and experience in relevant areas. More importantly, they are outsiders to the internal organisational dynamics and can therefore, transcend the constraints of the organisation and take an overall view.

However, no change effort can be accomplished and implemented by consultants alone. Internal change agents or Internal Resources Persons have to be associated with the external consultants linking, coordinating or acting as the nodal point between the Consultants and the Organisation. Internal Change Agents have a significant impact on the success of a change effort.

17.2 DEALING WITH ORGANIZATIONAL CHANGE

The organization of today is profoundly affected by the rapidly increasing pace of change, and the organization of the future will be even more profoundly affected. The concept of force-field analysis — the tendency of an organization to seek an equilibrium, or balance, and the analysis of deviation-amplifying and deviation-reducing forces to help optimize the balance is useful in understanding change efforts. This involves two sets of forces representing two opposing sets of vectors: the deviation-reducing (reactive) forces work toward reducing the duration amplifying forces and the attainment of a more optimal balance in the system.

Organizational equilibrium can be altered by either increasing the set of force in the desired direction or reducing the set of opposing vectors. One noted author, Chris Argyris, believes that the strongest reactive forces lie not only within the managers, but also within the other individuals in the organisation. He postulates that most individuals are "systematically blind" to their behaviour and are therefore "culturally programmed" to behave in ways that reduce the probability of change. The strength of these reactive forces cannot be lessened simply by increasing the amount and degree of the proactive forces. Rather, a much more

effective approach is to reduce the amount and degree of the resistance to change by reducing the strength of the reactive forces.

Greiner reviewed 18 studies of organizational change and found that the more successful change attempts involved six major steps.

1) Pressure and arousal

At this level, there is a felt need for change, particularly at the top-management level. Such pressures come from either external forces — competitor breakthroughs or stockholder discontent — or internal events — interdepartmental conflict, decreased productivity, or a union strike.

2) Intervention and re-orientation

This step usually involves bringing in a newcomer, usually an outside consultant, who has a more objective viewpoint, can appraise organizational needs, and can reorient the thinking of top managers by getting them to reexamine their practices and procedures, thereby helping them to define the real problem.

3) Diagnosis and recognition

Here, the newcomer, or consultant, helps the organization at all levels to do a better job of "seeking the location and causes of problems". In the more successful attempts at change, this is a shared rather than a unilateral or delegated approach. In the unilateral approach, the top brass make the decisions; in the delegated approach, top management delegates, but remains involved.

4) Invention and commitment

Effort is now directed toward developing more effective solutions to problems, using the shared approach to obtain full commitment for the implementation of the new solutions. Greiner stresses that successful change approaches involve intensive searches for new, innovative solutions which depend on the collaboration of many people who provide their own solutions. In his study, Greiner found that none of the less successful attempts at change reached this stage and that rather than commitment, there was serious resistance to the proposed changes. (In other words, the reactive forces became stronger than the proactive forces.)

5) Experimentation and search

The successful change approaches used "reality testing" to determine the usefulness of the solution prior to the introduction of large-scale changes. Greiner stresses that the concept of shared power ensures that a number of minor decisions are implemented at all levels of the organization. In short, the decision-making process is tentative rather than final.

6) Reinforcement and acceptance

Successful change leads to clear improvements in organizational performance, with corresponding support for change from all levels of the organization. This reinforces the impact of the change, particularly as it involves a sense of experimentation and reward for those who continue with change efforts.

From these studies of successful and less successful change attempts, Greiner concludes that successful organizational change requires four positive actions.

1) The myth that organizational change must consist of a master blueprint designed and executed at the top by an "omniscient consultant or top manager" must be dispelled.
2) Managers too often assume that change is for those lower in the organization, who are seen to be less productive and less intelligent than those who are higher in the hierarchy.
3) Successful change efforts cannot rely on either unilateral or delegated approaches to change.
4) Those involved in the change must develop broader outlooks and become less parochial in their viewpoints toward change.

17.3 ROLE OF INTERNAL CHANGE AGENT

1) Primary role of Internal Change Agent is to act as the linkpin between the consultants and the organization. In this process Internal Change Agent smoothens the access of the consultant to the organization and reduces the familiarisation and learning time of the consultant.

2) The Internal Change Agent plays a very significant role in communicating within the organization. Communication of the objectives of the change programme in detailed and informal discussions with various interested concerned and anxious individuals help in reducing resistance to change very significantly.

3) As a researcher and analyst Internal Change Agent brings in his indepth knowledge of the organization which helps to make the analysis richer and closer to reality.

4) As a role model for changing behaviour and style, the Internal Change Agent could play a key role with his enthusiasm and excitement, about the change of process he can facilitate change in others.

5) A formal role of training may also be assigned to the Internal Change Agent.

17.4 SOURCES OF RESISTANCE

Understanding the sources of resistance to change is the first step in designing a program to help an organization accept change. These are the most common causes for resistance.

1) **Ignorance:** When people have insufficient knowledge, they are uncertain about the causes and effects of change. This uncertainty, in turn, causes stress and resistance. As with walking in the dark, most people would rather stay put than venture into the unknown. Also, when people are uncertain about reality, they try to guess about it, sometimes adding imaginary problems to the real ones. For example, if employees learn via the grapevine that management is considering merging departments to streamline operations and cut costs, they are likely to resist the change because they fear losing their jobs or having new reporting relationships.

2) **Desire for security:** People often want to retain the status quo even when they know it is inferior. The security of the "known" makes them resist change. The faster or more major the change, the more powerful the lure of the comforting status quo. This phenomenon was first discussed extensively by Alvin Toffler in his best selling 'Future Shock'.

3) **Fear and lack of ambition:** Another source of resistance to change is people's unwillingness to learn the new skills or behaviour that change may require. There are two reasons why. First, workers fear inability to learn the skills or behaviour; therefore, change will mean failure. This fear is especially prevalent in older workers who have developed their skills over a long period. Second, some workers simply may not want to exert the energy, time, and mental effort required.

4) **Informal group pressure:** Most organizational changes have some impact on informal networks in the formal organization. Breaking up a closely knit work group or changing social relationships can provoke a great deal of resistance. Managers often overlook this source of resistance because the informal network is not the focal point of organizational change. This often unplanned, secondary spillover effect can cause resistance to change.

5) **Eroding power bases:** The fifth source of resistance to change results from its effect on personal power bases. When people expect their status or power to decline, resistance is inevitable. Besides the direct loss of status or power from a change, there are power and status considerations in the change process itself. That is change often invites criticism from other employees and causes workers to question their own abilities and self-worth.

6) **Potential loss of job security:** Advance in technology have made the concern for job security an especially strong source of resistance. A change that can eliminate jobs is threatening to employees. Two examples are the worker whose job will be taken over by a machine or a middle manager who is afraid that computers will eliminate his or her duties.

7) **Personality conflicts:** The last source of resistance is caused by personality clashes. These conflicts often are the result of misunderstandings, lack of trust, or past resentments. For instance, if employees whose personalities conflict must have daily personal contact because of a structural change, they are likely to resist the reorganisation. This resistance can be strong enough to override the best of changes. Conflicts among workers, between positions, or with management in general can all inhibit acceptance of change.

17.5 OVERCOMING RESISTANCE

Managers often underestimate both the amount of resistance a proposed change can provoke and the negative effect that this resistance can have on progress. There are certain ways to minimize the resistance, however, Kotter and Schlesinger's approaches, illustrated in the accompanying Table and described below, are among the most effective methods that managers can use in dealing with resistance to change.

1) **Proper communication :** One of the best ways to overcome resistance is through education and communication. All the people who may be affected by a change need advance information about the reason for the change, its nature, its planned timing, and the impact it is likely to have on the organization and personnel. When lines of communication are kept open, people can get the information they need as well as communicate their concerns. For communication to effectively reduce resistance, good superior-subordinate relationships are necessary so that people will believe what they are told.

2) **Participation:** Basically, participation means involving affected workers in the change process. People affected by a proposed change can be encouraged to provide their opinions and suggestions. If employees participate in an activity, such as collecting performance data, they may be convinced of the need for change. This approach requires that management show a genuine interest in what others have to say and, whenever possible, give credit to the right people for their valuable input. Why is this method so effective? Because change is threatening when done to us, but exciting when done by us.

3) **Empathy:** Facilitation and support is the third method for overcoming resistance to change. This method recognizes that resistance can come from good and rational concerns. Being supportive may involve extra training in new skills, or simply listening and providing emotional support. Management also can smooth the change process by emphasizing its most personal benefits and giving people time to adjust. A change also can be implemented in phases in an effort to minimize the upheaval.

4) **Negotiation and incentives:** Managers can use this approach for specific sources of resistance. For instance, if workers fear losing their jobs, they may be given some guarantee that they won't be fired. Another way to use negotiation and agreement is to offer incentives to those who support the changes even if the change results in the loss of jobs. Exxon Corporation, for example, offered its employees bonuses to take early retirement when it decided to cut its work force by forty thousand in 1986. CocaCola offered attractive prices to bottlers it was trying to buy out during its restructuring.

Table

Sources of Resistance	Possible Remedies
Ignorance; inadequate information	Complete and accurate communication based on mutual superior-subordinate trust.
Fear; lack of ambition	Incentives; supportive atmosphere; guarantee of job retention; involvement.
Personality conflict	Manipulation; coercion
Loss of status	Additional training; incentives
Informal group pressure	Incentives for group leader co-operation; manipulation; coercion

5) **Manipulation:** Some managers try to reduce resistance by manipulation and co-optation. Manipulation usually involves the select use of information and the conscious structuring of events. For example, when Exxon announced its plans to reduce

its work force by one-fourth, it realized that forty thousand people might not want to retire voluntarily, even with the inducements. So Exxon informed its employees as part of its announcement that involuntary retirements and firings with regular severance pay would make up the balance. Exxon manipulated its employees by creating uncertain conditions.

Co-optation is a form of manipulation in which potential resisters or leaders of resisting groups are given a role in designing or implementing change. The basic difference between co-optation and participation referred to earlier is that co-optation looks for help merely to silence potential dissenters, not for the sake of valuable information that may be gained.

6) **Coercion:** The last method for overcoming resistance is explicit and implicit coercion, which forces acceptance. Explicit coercion often takes the form of firing or transferring resisters. Issuing statements designed to create fear of the business going bankrupt is an example of implicit coercion.

Choosing a method to minimize or eliminate resistance depends on the source of the resistance and the time constraints for implementing the change. The objective of all these methods is to turn resistance into commitment.

17.6 CHARACTERISTICS OF SUCCESSFUL CHANGE AGENTRY

Although various authors and researchers have attempted to identify the personal characteristics of successful change agents, most of their studies have contained little useful information and instead have produced lists of desirable and undesirable personal characteristics that are based principally on people's beliefs and impressions about what characteristics effective change agents ought to have. It has been suggested, for example, that the effective change agent is an extrovert, has considerable interpersonal skills, is creative and takes risks, has the ability to conceptualize and clearly present ideas, and is good at organizing activities. It would be hard not to agree with a list of such attractive characteristics. Unfortunately, this and all other such lists are based on armchair impressions, not on any factual evidence.

An extensive review of the research literature, however, has enabled Havelock and Sashkin (1983) to identify a set of factors characteristic of effective change agentry. These factors, briefly defined below, really refer to the way that the change agent manages the process of change, rather than to personal characteristics.

1) **Empathy:** This is the skill of understanding the feelings and thoughts of another person. Like most skills it can be learned by most people and thus is not really a personal characteristic of the change agent. Empathy leads to improved communication and understanding between the change agent and the other employees.

2) **Linkage:** This refers to the degree of collaboration between the change agent and the others — the extent to which they are linked to one another as equal participants in the change process. The greater the collaborative involvement (the tighter the linkage), the more likely it is that the change agent will be successful.

3) **Proximity:** The more accessible the change agent, the more likely it is that the change agent will be successful. Increased proximity obviously makes it easier to develop collaborative linkages.

4) **Structuring:** This factor refers to the ability to clearly plan and organize activities with respect to the change effort. When the change effort is outlined and presented clearly, it is more likely to be understood and thus more likely to be effective. A clearly organized change effort also facilitates implementation of the change approach in a straight forward step-by-step fashion.

5) **Openness:** This characteristic refers to the degree to which the change agent is receptive to ideas, needs, and feelings. The preceding four factors can all facilitate the development of such openness or, when absent, they can effectively hinder the development of openness between the change agent and client.

6) **Energy:** This factor refers to the amount of effort that the change agent has available to put into the change activity. It is not unusual for a change agent to be "spread thin" across many activities. Similarly, when immediate operational problems are so pressing that they take all of the energy, it is unlikely that he will be able to devote the effort needed to made the change successful.

7) **Synergy:** This factor refers to the positively reinforcing effects that each of the preceding six factors have upon one another. Synergy means that the whole is more than the sum of its parts. The more favourable each of the preceding nine factors is, the more synergy there will be for the success of the OD effort.

17.7 SUMMARY

Managing change being a collaborative effort, requires internal strength in handling the situation. Apart from availing expert brain from outside the organization, who may come as and when called for, and solve the problem, the role of top management is also to develop an internal line of defence, who act as the counterpart of the external consultant. Once a change is introduced, it is certain to face one or the other type of resistance. It is in the interest of the organization and of course top management to timely evaluate and assess the resistance and cope with it successfully. Success in such a tidious area may not come on its own, unless the person has acquired certain skills and characteristics in the area.

17.8 FURTHER READINGS

Pareek Udai, *Organizational Behaviour Processes;* Rawat 1988.

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UNIT 18 EXTERNAL CHANGE AGENT (CONSULTANT)

Objectives

After going through this unit, you should be able to:

- understand the concept of an external change agent (consultant);
- understand the need and significance of a consultant in an organisation;
- understand the key roles important for managing change in an organisation;
- identify the role of consultant in managing change in organisations.

Structure

18.1 INTRODUCTION

External Change Agents have become an influential force in changing the way businessman operate. Change and resistance to change is the nature of the human being. Organisations do fall into deep problems sometimes, trying to manage change. This change may be of any type and magnitude; what is more important here is the very perception of the problem. If the problem is looked at as an opportunity, the problem acquires altogether a different dimension as compared to if it is handled casually.

Organisational change is a complex phenomenon and several people contribute to it. Organisational change goes through several phases. Several internal and external roles contribute to the different phases of change.

Management techniques have achieved such a height of sophistication that management consultants have no longer remained a luxury, instead it has become almost a necessity. Management normally would not go for a consultant unless they see the share of their plate gradually disappearing and competitors start nibbling at the market shares. Consultants can see the organisation as a whole more easily, as they are not embroiled in internal power play. As an organisation becomes large, the executives lose the judgement and are unable to see the forest for the tree.

One of the main reasons why consultancy is booming is that today organisations are too leaner as compared to the past. Companies have cut their staff down to the bone. In such a situation when a company runs into trouble because of implementing changes of various nature or embarks on a speculative venture, there are scarcely any specialists left in the organisation who can be called in to advice or rescue. Then the people who can rescue, for various reasons, are the external consultants.

18.2 THE CONSULTANT

History is full of examples in each country of rulers and kings seeking the advice of experts and wise men of various kinds in the process of handling/solving problems. The very desire

to "consult" someone knowledgeable and respected when faced with a tricky problem is an eternal human need.

Institutions consulting/hiring external management experts, on formal and professional basis, is however, a relatively recent phenomenon. As the body of management knowledge and complexities grow so did the profession. This professional is commonly known as management consultant and the profession became popular as management consultancy. Management Consultancy may be defined as "The Service provided by an independent and qualified person/s in identifying and investigating problems concerned with policy, organisation, procedures and methods, recommending appropriate action and assistance in implementation".

The skills of management consultancy is evolutionary rather than revolutionary. Consultants usually sell judgement and experiences rather than particular expertise. It is a profession that brings techniques and judgement to assist management optimise the utilisation of resources.

Consultants have often attracted envy and opprobrium. The advantage of being an external person is that they charge high fees but never have the responsibility of management. They are also repeatedly subject to the question that if they are so good at giving advice to managers, why do not they manage the company themselves. Yet the most intriguing question is why some of the world's most successful companies feel the need to call in consultants at all.

18.3 EXTERNAL VS. INTERNAL CONSULTANTS

Managements have often hired consultants in various fields — in both the technical and management areas — only to find themselves endowed with a voluminous report of recommendations which may be desirable but somehow cannot be implemented.

Whether to Hire a Consultant?

Managements of many Indian companies are quite pro-active in dealing with problems or crises which arise every day in their operations. But sometimes despite the company's alertness and intimate knowledge of circumstances problems crop up which keep on repeating themselves causing an obstruction to the company's dynamism. It is something like a headache which does not seem to go away. It is felt only then that there is some problem which cannot be overcome by the normal responses and a specialist is looked for.

The next question which often arises is: Is there anyone inside the organisation who can help? The insider would have the advantage of very good knowledge of the systems and procedures as well as the processes and personalities in the company. However, there are some good reasons for hiring an outsider such as the following:

1) Greater expertise and specialised knowledge to diagnose the problem.
2) Wider experience to draw from. If the outside consultant has worked for other organisations he would be aware of problems faced by them and how these were overcome, or on the other hand, could not be overcome due to specific reasons.
3) Persons within the company may not be able to devote themselves wholly to the new problem while an outsider would be able to do so.
4) The outsider may have a fresh point of view. This does not necessarily mean that he is more imaginative, but being an outsider he would not have the same biases as those in the company.
5) An outside consultant would have a better infrastructure, e g., reference libraries as well as colleagues from whom he can get assistance.

The five points just mentioned may be used as criteria for choosing a consultant, but the company need not adhere to them rigidly, specially if they need a consultant of a category of which there is paucity in India.

How to Get the Best from the Consultant

Consultants are expensive (when their total cost is considered and not only their direct cost) and it is good to bear in mind right at the outset that *what is important is not how excellent their recommendations are but how well they can be put to use.*

There are various crucial aspects and steps to translate the recommendations successfully into practice. Some of these relate to the outside consultant's role; others to the organisation's role.

Timing the Entry of the Consultant into the Organisation

1) If the organisation have just undergone a major crises or faced a problem, it may be advisable to wait till the dust settles and the air is cleared. Frequent changes cause executives to become suspicious and sometimes insecure. This would impede the consultant's work of getting reliable information, analysing it and working out likely solutions.

2) What is the work load on the executives? Can they take on the added load and stress on them when the consultant's recommendations are introduced? Does the organisation have the tenacity and time to cross the hurdles of resistance which is bound to be there when any change is introduced?

3) If the company is doing well financially, the introduction of a change will be easier and persons within the company would be more cooperative. But more often than not, problems are tackled when the company's performance has either reached a plateau or is on the decline. In such cases, changes may be very desirable but it would be more difficult to implement them: on the other hand sometimes events simply overtake the company and it has to do what must be done.

In October 1972 IIMA consultants were engaged by Larsen and Toubro to identify steps needed to be taken for continued growth, profitability and leadership in the market. An internal team of senior executives with technological, marketing and finance background was nominated to jointly work with them.

At the same time Larsen and Toubro appointed 'in-company groups' to examine several key areas, e.g., organisation, technology, products, marketing, people and operations to arrive at an understanding of our strengths and weaknesses.

With this understanding of the internal and external environment, the consultants presented in January 1973 a 'broad approach' relating to how the L & T Organisation may be structured and how the management planning and control system may be designed to serve the basic objectives of growth and leadership. At that time, two in-house teams were appointed by L & T, one for organisation structure and the other for management planning and control system to work with the consultants.

If this task is not done properly, the consultant would be faced with tremendous resistance from people in the company and this may colour his diagnosis. To make his task easier, it is incumbent on the chief executive to clearly spell out the scope of the exercise. This reassures the managers who have fears as to how they would be affected by the change. It also demonstrates the support that an outside consultant needs to probe and analyse problems in a company.

How do Consultants Work?

All outside consultants will be with a company only for a certain period of time and it is the insiders who would either properly use or misuse the recommendations. It is therefore advantageous that right from the beginning, the outside consultants be associated with a few insiders. This helps in sharpening the insiders' skills and also facilitates the transfer of responsibility for implementation to the company. This joint working of insiders and outsiders has other useful purposes. It provides insight to the consultant about the company's procedures, realities and character; and also shortens the time required for the whole process, from the stage of gathering information to that of diagnosis to solutions.

This joint-working is particularly rewarding as the consultants can more easily gauge how much the organisation can cope with. They also then have a reference person (or persons) with whom they can check out the viability of their tentative solutions.

Implementation

As stated earlier, what is important is not how good the recommendations are but how well they can be used.

The implementation is perhaps the most important aspect of the whole thing, in which the organisation's own role is more crucial than the steps dealt with earlier. It is because of this that it is advantageous that some insiders jointly work with the consultant so that they are able to implement the recommendations with better understanding and skill.

Once the management has accepted the consultant's recommendations (after proper consideration and necessary modifications) the next step is to communicate the recommendations suitably to all affected levels in the organisation before introducing any changes. It has been the general experience of L & T, that however detailed the written communication from the management may be, it is necessary to arrange forums/seminars for groups of people where the rationale behind the recommendation can be explained and discussed. As a matter of fact, L & T found that even while the study was going on (over a period of five to six months) it was useful to let their managers know through some circular, and once through a presentation by the consultants as to how the study was progressing and what seemed to be the nature of problems, etc. Not only does this communication allay the rumours and fears of people, one also gets very useful feedback and indication of what would be viable.

In L & T, consultants' recommendations were submitted in May 1973 and after due consideration these were okayed for implementation in October 1973, when an implementation team was appointed by L & T to implement the recommendations.

Another thing to consider is whether changes will be introduced at one go or in phases. The phases will differ in each individual case; for instance, whether the change will be introduced initially only in one part of the company; whether some part of the recommendations will be implemented immediately and another part after, say, 6 or 12 months, etc. But phasing it properly depends on the individual needs, practices and character of the company. This may make all the difference between success and trouble.

Based on the practices of L & T and the changes they had to make in their managerial staff, L & T decided to introduce the new budgeting procedure with immediate effect. However, the year 1974-75 was utilised for preparing and training various managers to adapt to their new roles; some of them were appointed to their new position during this year which was a period of trail implementation.

The year 1975-76 was, thus, the first full operating year and towards the end of it L & T conducted a review to find out how the transplant, i.e., the changed L & T organisation structure and the new systems had actually worked out in practice. This review was carried out by the consultants and discussed in depth with management in April-May 1976 with a view to deciding on various steps to ensure greater future effectiveness. Following this, a written communication was sent to their managers in June 1976.

18.4 CLIENT AND CONSULTANT

There is a very ambivalent relationship between client and consultant which is almost inevitable. This relation is also one of slight tension. As the consultant you undergoing are trying to change them fast. The money meter is constantly on and so you are under pressure to change the client's behaviour which means you have got to get the results. The consultant is there at a little disadvantage, as the client has the power to fire him. The evidence from clients and consultants suggests that an assignment will work well only in the case where both have equal commitment and where each side takes account of the other.

Thinking with the client from their frame of reference is also critical. A consultant has to get over on the client's side of the desk and work with him rather than against him. Consultants are there to help client look at the opportunity, solve the problem or whatever. Consultants are not the experts about that business, also they do not come in with a lot of views that they expect the client to accept at face value. They are indeed there to help client analyse the situation in a particular sequence and approach, for better understanding of the problem, which in-turn may facilitate reaching to the solution.

There should not rather must not be a break of communication between the client and the consultant. One of the main reasons why there might be break of communication between the two is that the client has become engrossed in more pressing immediate concerns. Client has to run the business whereas the consultant has only one issue to attend to. Senior managers may find themselves dropping meetings with consultant one after another due to unexpected developments in day to day working, which need urgent solution. But this can play havoc with the assignment.

The most frequent criticism by the consultants is that the report submitted by them and accepted by the client does not get implemented in letter and spirit. Consultants have reacted to this by extending assignments to include helping clients implementing the recommendations made by them and accepted by the client, as it has direct bearing on their credentials.

18.5 KEY ROLES IN MANAGING CHANGE

Organisational change is a collaborative effort, involving several roles and individuals. In managing change in the organisations smoothly, several external and internal roles play very important role. As many as six important roles are discussed in this unit. Every role is concerned with process as well as task. However, the difference may lie in terms of the emphasis. Various roles perform different functions. They make their specific contributions to the designing and implementation of organisational change. These roles are:

1) Corporate Management
2) Internal Consultants
3) Implementation Team
4) Chief Implementor
5) Task Forces, and
6) The Consultants

1) Corporate Management

Corporate management includes the chief executive and members of the top management, who are involved in policy decisions.

The following are the main functions of the corporate management in relation to organisational change.

a) **Legitimising function:** Corporate management legitimises the change being planned, recommended and implemented. The more actively the corporate management promotes the change the more legitimate it becomes and the quicker it is likely to be accepted. If the corporate management does not clearly indicate its interest and support for the change, the change is likely to be slowed down. The concern on the part of the corporate management and the visibility of such concern are very important for organisational change.

b) **Energising function:** Organisational change is a very difficult process. It may be slowed down at several stages. In many cases the enthusiasm may go down. In other cases some difficulties arising in the natural course may discourage people who may find it difficult to deal with such problems and may like to take the course of least resistance by reverting to the older methods or ways of management. The role of the corporate management at such critical points is crucial. Corporate management energises the

slackening pace and interest by taking up problems for discussion and by showing concern.

c) **Gate-keeping function:** Corporate management helps in establishing the relationship between the consultants and various groups in the organisation. This is usually done by calling various meetings in which the purpose is explained and then the consultants get an entry into the organisation.

2) The Internal Consultants

Even if the expert is from outside, some people from the organisation work with him. These people represent the same expertise as the consultant has, or at least they propose to develop that expertise. This role we shall call the counterpart role. This may already exist in an organisation, or this may have to be created in the organisation. For example, if the management information system is to be introduced, people with enough technical experience and expertise may be involved, and if such people do not exist in the organisation they may have to be recruited and developed.

The internal consultants help in implementing the policies and details of the organisational change worked out and accepted, and in stabilising these in the organisation. It is only through the counterpart that the change becomes a part of the organisation. Much more detailed discussion is needed about the role of the counterpart than is permitted by the length of the present chapter. Whether the internal should be an independent individual or group or, members from different groups constitute a team which functions as the counterpart role; how to legitimise the counterpart role in the system; the length of the time required for the counterpart to develop the expertise, and various other questions need to be discussed. In many cases jealousy develops when the counterpart becomes successful and effective. Their success produces some threat in other members of the organisation, leading to various prejudices and jealousies. All these issues have to be properly dealt.

3) Implementation Team

The implementation team consists of a group of people from various departments or areas of the organisation who are given the responsibility for monitoring, deliberating and making necessary recommendations from time to time. Such a team ensures proper motivation of people throughout the organisation, and takes necessary steps for effective implementation. This has been discussed in several places in the book. The following are the main functions of the implementation team.

a) **Collaboration building function:** The implementation team helps to build collaboration amongst various sections and departments of the organisation for the change programme. It should therefore be a real team, every member having respect for the other and collectively thinking and evolving a consensus in spite of differences of views. An effective team is one which has representation of various expertise and diverse experiences relevant for the change. And yet people are prepared to listen to each other and take collective decisions which are not necessarily unanimous or by majority, although enough consensus develops.

b) **Gate-keeping function:** The implementation team helps to keep the communication between those who are planning and implementing change and the rest of the organisation open. This is done by developing liaison between the various departments and sections of the organisations. Since the team has representatives from such departments and sections, it is able to carry various matters to the departments and raise various questions there. It similarly carries back some feedback from the departments for discussion in the implementation team.

c) **Reviewing function:** The implementation team reviews from time to time the progress of the change programme, and makes necessary adjustments in the programme so that the implementation may become effective. The reviewing function is both to take stock as well as to make necessary modification so that implementation is not hampered.

d) **Policy formulating function:** The implementation team in the light of the review makes necessary recommendations and formulates policies to ensure that the programme of change is both effective and smooth. This helps in making the change programme more realistic.

4) Chief Implementor

Organisational change has to be implemented and this need not be done by those who are working in a particular area. In fact it is much better to make implementation independent of the functional responsibility in an organisation. The chief implementor is usually the chairman of the implementation team. But his responsibility is not confined only to discussing the problems and making recommendations. He takes the responsibility of monitoring and ensuring proper implementation. The main difference between the role of the chief implementor and the implementation team is that a group can never take on executive responsibility. This can be taken only by an individual, and the group can help him to perform his function more effectively in several ways. The following are the main functions of this role.

a) **Monitoring function:** The chief implementor monitors the programme of change. He has to be a tough person, a go-getter so that he relentlessly keeps the programme on the schedule. He assures that the programme design that has been prepared and the time schedule that has been laid down are followed.

b) **Diagnostic function:** From time to time the chief implementor looks at the programme to find out what is preventing the smooth functioning and progress as planned. This is the diagnostic function of the chief implementor. He collects the necessary information through specially designed questionnaires or through interviews and uses these to discuss with the implementation team to be able to take necessary action for either modifying the programme or for providing additional input for the proper progress of the programme.

c) **Executive function:** The chief implementor has the responsibility of implementing the programme. This is an executive function. It involves not only making recommendations but ensuring that action is taken on whatever has been decided. He mobilises the necessary resources and works on the implementation of the programme.

The chief implementor should be systematic in his approach. He should have great concern for systematic planning and going into the details of the various steps planned. At the same time he should be flexible. If the chief implementor has his own strong views and ideas and finds it difficult to accept other's points of view he would not make a good implementor. In one organisation, an otherwise very effective implementor developed his own prejudices; and this resulted in unintended delay in the implementation of the change.

The chief implementor needs to be creative and imaginative. He comes across several problems and has to find solutions for them. He should search various ways of dealing with the problems, sometimes even unconventional ways. He should also be resourceful, and should have an eye for the resources available in the organisation.

The chief implementor should have high acceptance in the system. His role requires a high level of rapport with various persons in the organisation, so that he can find out their problems, and people feel free to talk to him. He should have high respect in the system, should be known for this qualities for implementation, and for his concern for the organisation and for the people.

5) Task Forces

Task forces are set up for specific purposes in order to prepare material, collect information, generate ideas, and take specific responsibility which is time bound and which is completed very fast. There may be many task forces, which get dissolved as soon as a particular task is over. Task forces help in making use of the various kinds of expertise and skills available in the organisation.

The relationship between these roles and their involvement in organisational change has been presented in Table 9.1. (See page 39 of Unit 9). The table also indicates the relative involvement in process or in task; that is likely to make a role effective at different stages of the change process. At the initial phases involvement required on the *process* is much greater than that in the subsequent phases when gradually more involvement at the *task* will be possible. When the change process is being started all roles concerned with it should pay more attention to process and if it is properly done, the task performance becomes easier. Towards the end all roles can pay attention to the task. Moreover, the exhibit also indicates

that, even towards the end the top manag... has to be concerned with the process though the intensity and the time spent by them will be less. As a matter-of-fact the involvement of the top management will be predominantly on the process only whereas that of the task force would need to pay attention mainly to the emergent tasks. The relative focus of the different roles in orienting themselves in this proportion of process-task continuum will be useful.

6) The Consultants

A consultant or a team of consultants usually comes from outside but they can also be insiders. The consultant role is that of experts who have both knowledge and experience in the field in which change is proposed. There are some advantages in having outside consultants for some time. The internal persons, even though they may have the necessary expertise, are likely to be inhibited to have their own perception of the problem. Also, they may be restrained by the internal dynamics. This may make the internal people less effective. Therefore, even organisations with a very high quality of expertise in a particular field invite outside consultants for some time. The following functions are performed by the consultant(s).

a) **Implanting function:** The consultant does not supplant the internal expertise available but supplements and implants such expertise. It is necessary that the consultant carries along with him the various people at different stages of the process of organisational change. Then the consultant is able to make change a part of the organisation.

b) **Transcending function:** One great advantage of the consultant is that he is not bound by the constraints of the organisation. He takes an overall view. He transcends both the ecology of the organisation, i.e., the various units and departments, to be able to take an over all view of the organisation, as well as transcends the time and people into the future of the organisation. This transcending function makes the role of the consultant more creative. He thinks about the total organisation not only as it is now but as it is likely to be in the future. This helps to give a wider perspective to organisational understanding.

c) **Alternatives generating function:** The consultant is not as much for working out a specific solution as for helping the organisation develop the capability of evolving solutions. The consultant does this by generating several alternatives out of which the organisation can choose one or two. The more the consultant generates and helps to generate several alternatives, the more creative and useful his role is, and the more the organisation develops the ability to design interventions and ways of solving problems.

d) **Process facilitating function:** The consultant is primarily a process facilitator. He has to be perceptive of the reality in the organisation. There is nothing like an ideal or a best solution. Even if one solution may be technically the best one the consultant may see the repercussions of the solution, and may like to make the necessary modifications to suit the situation. The consultant also helps in developing various roles as the change programme proceeds and change is being implemented. The process facilitating role helps the consultant to move towards self-liquidation. He helps the relevant people in the organisation to take over the role as the programme is being implemented.

e) **Shock absorbing function:** During the planning of change and making necessary recommendations, much unpleasant feedback may be required to be given to the organisation. It is difficult for internal people to do so. They cannot take the risk necessary to make some things explicit. The consultant can take such a risk. He can afford to absorb the shock created by the change and can help the system to confront reality and discuss certain process which may be quite unpleasant but without which it may not be possible to move towards the solution.

f) **Resource sharing function:** The consultant brings with his background the latest knowledge and a wide variety of experience, which he uses in making organisational change effective. He collects such resources and shares them with the internal people so that the knowledge can be utilised for making the change effective.

g) **Resource building function:** The consultant helps in generating resources within the organisation by building the necessary expertise as he works with the organisation. This does not mean that he makes people dependent on him. By sharing his knowledge and experience and by continuously discussing with the concerned people he helps in building internal resources.

b) **Self-liquidating function:** By building ——— prestige and resources he is working towards withdrawal from the organisation and liquidating his role and indispensability. In many cases the consultants enjoy the influencing function so much that they may continue to play this role in the organisation. This is bad both for the organisation and the consultants. The consultant deliberately refrains from using undue influence on internal executive decisions. And as the work of the organisation change is over he takes definite and deliberate steps to withdraw and wean the organisation from depending on him. The self-liquidating role is very difficult. Once a consultant is successful and effective, he may have the temptation to continue to influence the organisational decisions. If the consultant is not perceptive enough, and in his eagerness to be helpful he makes the organisation dependent on him, and enjoys this dependency, the results may be bad for the organisation as well as for the consultant.

The organisation should have the capacity to assimilate the influence and expertise of the consultant and necessary preparation should be made to make use of the consultants in the organisation. It is important that continuous communication is maintained by the consultant at all stages of the change process.

18.6 SUMMARY

Change is the law of nature, change is inevitable and also it is bound to be resisted, being the very part of the human nature. Any kind of change faces resistance. However, the degree may make lot of difference in perceptible magnitude and immediate tangible impact thereof. Coping and managing change has come up as an independent and burning area now-a-days. These are the days of fast change in national scene and also to an extent in the international scenario. Lots of mergers and acquisitions are taking place resulting into lot of all round change. Such a drastic change may results into serious resistance. Unless change is successfully managed by the management, it may be a nightmare for them. Sometimes it so happens that internals either don't have proper vision and objective assessment of the situation or if at all they may be well equipped to handle the situation, their suggestion may not be heeded too. Sometimes an internal may not express himself so bluntly and effectively due to obvious reasons. Here comes the role of an external consultant who has no stake and hence may be blunt in putting up the facts before the top management and many recommend a drastic solution, which generally is impossible for an internal. Experience shows that it helps.

Sometimes management do take shelter of the consultants either to justify some of their decisions for which they don't want to own the full responsibility. Sometimes they are hired to lend a part of helping hand to the internals, moreover they are also hired for mere prestige sake now-a-days. Consultants do help management to choose among the conflicting claim. They do help learn people truth, which is impossible for people power, for accelerating growth.

18.7 REFERENCES/FURTHER READINGS

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