UNIT 1 STRATEGIES FOR MANAGEMENT OF CHANGE

Structure

1.1 Introduction

1.2 Objectives

1.3 Socio-Cultural Parameters of Change

1.3.1.1 Nature and Magnitude of Change

1.3.1.2 Change and the Environmental Paradigm – Three Different Contexts

1.4 Mechanics of Change

1.4.1 Phases of Change Management Processes

1.4.2 Some Structural Aspects of Change

1.5 Models of Change

1.5.1 Self-initiated Models

1.5.2 Externally Initiated Models

1.5.3 Change Management Strategies

1.5.4 Leading the Management of Change

1.6 Let Us Sum Up

1.7 Check Your Progress: Possible Answers

1.8 References and Suggested Readings

1.1 INTRODUCTION

Change as well as resistance to change is attributes of all social institutions and organisations. This general statement is true for education as a social institution as well as for educational organisations – schools, colleges and universities. Further, education is perceived as an instrument of social change. This brings additional burden on education since only a resilient and self-renewing system of education can ensure desirable changes in society.

In this Unit, we shall make an effort to bring the issues and models of organisational change that applies as much to educational institutions as to business and industry. The issues dealt in each section of the unit are:

- The first section that deals with the broad socio-political parameters that determine the process of change in education,
- The second section that deals with the mechanics of change – the structural aspects of the system of changes,
- The third section that deals with various models of change identified by researchers, and
- The fourth section that outlines the processes of change management.

1.2 OBJECTIVES

After studying this Unit, you should be able to:

- explain the socio-cultural dimensions of change;
- identify the components of the process of management of change;
- analyse different models of management of change; and
- describe the process of management of change in any organisation.

1.3 SOCIO-CULTURAL PARAMETERS OF CHANGE

Change is an inevitable fact of life. It evolves rather than take shape in fits and starts. Change in education is no exception. Whoever said "People do different things; but wise people do things differently", hit the nail on its head. Doing something differently is at the heart of innovation. Innovations that initiate and negotiate the actual changes in any system, and the society at large, show a dolphin-like behaviour – leaping above the surface at different places and times. However, innovations are only an instrumentality of change, not change *per se*.

Societies, systems and institutions particularly with long traditions have a tendency to resist innovations and efforts at change. This is both due to self-fulfilling prophecies of the systems with time-tested methods and also lack of resilience to restore the dynamic equilibrium that is always disturbed by new methods, practices and processes. The older the society and the institution, exceptions apart, the more difficult it is to change.

Educational change is integrally linked to the various processes and institutions in society. Within a social framework, various social institutions including education, adopt innovations to change. The evolution of open and distance learning systems in the last three or four decades on a large scale is a significant example of innovations in educational practices. Such acts of innovating are pro-active, reactive or retro-active. In fact, though education has been proclaimed as an instrument of social change (assigned a pro-active role), it has primarily been reactive, and more often, inactive. Nevertheless the core process of education, namely, curriculum design and transaction in the developing countries has remained rather unchanged, at best, or changed only marginally.

As mentioned earlier, if education has to play a pro-active role in ushering in social change, changes within education become a necessary pre-condition, as stagnation stifles social development and change.

1.3.1 Nature and Magnitude of Change

What can happen to educational systems and organisations over a period of time? They can improve, degenerate or remain where they are.

What drives change? Experts classify organisational changes into three broad categories:

- Changes that are imposed on organisations: This type of change nearly always leads to resistance;
- Changes that the organisation decides to undertake: Such changes are often the results of willingness to change and do not face much resistance;
- Changes that one imposes on others: Such changes generate positive response from the change initiator, but leads to a negative response from the targeted organisation.

Whatever is the stimulus, organisations change. Generally, organisational change is prompted by several factors. For instance, response to the needs of new client groups or of a new constituency, or a change in the organisation's mission, or the introduction of new products and services, or improvement in efficiencies through quality management and introduction of new technologies, require changes in the ways in which an organisation has been functioning. There could also be changes arising from the dissatisfaction of the people in the system. The

sources of such dissatisfaction could be internal strife or unhappiness with the performance, or frustration arising from lack of opportunities for growth. Whatever is the reason, maintaining status-quo where everything else is changing is a near impossibility.

The subject of *change* and change management has been of enormous interest to social scientists – anthropologists, sociologists, psychologists as well as educationists. While the interest in understanding the process of change has been evident for centuries, a definite spurt in research on innovation and change can be traced to the early 60's of the 20th century. Major contributions have come from the fields of agriculture, rural development, medical innovations, cultural anthropology and education.

Diffusion of Innovation by Everett Rogers (1962), *Innovations in Education* by Mathew B. Miles (1964), *Communication of Innovation* by Rogers and Shoemaker (1971), *and Planning for Innovation* by Ronald Havelock (1973) are some of the pioneering works in this area. Their work has been followed by experts and researchers ever since. Significant contributions to the field of studies in Change Management have come from Tom Peters and Robert Waterman of Mckinsey and Company, a consultancy firm and a host of others.

Change occurs naturally as a response to developments in the environment. These developments could be the outcomes of socio-economic and technological changes, planned or otherwise. Educational change can also be effected deliberately through planned intervention – 'planned change' is one of the major schools of thought today.

Change is a responsive process – both planned and unplanned – and can take different shapes. In one form it takes the entire system into its fold. For example, right at the dawn of independence, India embarked on planned development, covering the entire country and all aspects of life. This is a case of planned holistic change. Let us take the example of Eritrea, a newly liberated country. As part of the country's education reforms, the Government decided that part of the summer vacation should be devoted by all students and teaches for national reconstruction with the goal of speeding up the process of development and sensitising the budding youth about the development related problems of the country. Since the programme encompassed all, it is both systemic and planned.

Another form of change is incremental, through intervention in a chosen area of a system. For example, reforms are introduced in the examination system in education without necessarily changing the curriculum and the instructional process. This approach is also called piece-meal social engineering. Modernisation of examination may indicate need for change in the instructional process and change will follow in the instructional system as well. In fact, much of the institutional changes are efforts in piece-meal social engineering.

Check Your Progress 1

Identify the following statements as 'true (T) or 'false' (F), and write your answer in the parenthesis against each statement.

Note: Compare your answer with the one given at the end of the unit.

a) Innovations are only an instrumentality of change, and not change per se. ( )

b) The core process of education has changed significantly in the developing countries. ( )

c) Incremental change is also known as piece-meal social engineering. ( )

1.3.2 Change and the Environmental Paradigm – Three Different Contexts

A. India

Indian education, as we noted earlier, is a complex mix of tradition and modernity. It was shaped and developed by the highest levels of scholarship and spirituality as well as by the influence of religious philosophy and thoughts notably of Hinduism, Islam and Christianity. While these traditional influences persist in Indian education, the overwhelming influence of the modern system, introduced in the middle of the 19th century, is very apparent. This system which had the stated objective of supporting public administration has not been able to break free from that objective and become an effective instrument of social change. Much of the present turmoil in Indian education has its origin in this socio-cultural outlook.

The socio-cultural structure of India is a major issue in considering the process of change in education. India with a federal structure and the Indian constitution makes education a joint responsibility of the centre and the states. By assigning education to the concurrent list of the constitution (a list of subjects on which the centre and the states have the power to legislate with the provision that in cases of conflict, the central law would prevail) fundamental changes in the system require a complex interplay of several stakeholders. At the core, national policies are decided by the central government after extensive consultations with the state governments and other concerned stakeholders (universities, research bodies, educationists, professional organisations, industry, commerce and civil society). Wherever legislation is involved in the implementation of the national policy, again the central government takes the initiative and enact laws through parliament. Similarly, the centre enacts laws for the establishment of national level institutions; the states do so for establishing universities and other institutions within each state. The management of the institutions is the responsibility of the governments that establish them. An interesting point to note here is that school education is, by and large, the responsibility of the states with the central government managing only a small number of special schools established by it. Similarly, establishment of universities and colleges is primarily the state responsibility though some universities are set up by the central government with an all-India jurisdiction.

Issues in education are not just about establishment of institutions. There are major issues about the content and processes. While there is a broad measure of understanding about the need for uniformity of content of school education across the nation (the need for social and inter-state mobility among students demands such uniformity), the content of university education is decided by the universities themselves. There are multiple agencies at the central and state levels that deal with education at different levels and various types. We have discussed them in Block 2 of this course and therefore we are not repeating it here. What is significant to note here is that in the establishment of schools, colleges and universities, there is always pressure from local politicians; in determining the curricula, it is necessarily the academics and professional bodies that influence decisions. Indian education is a field of active interplay for politicians, bureaucrats, institutional managers, teachers, students and parents. One has to consider the process of educational changes in India and its management against this multidimensional context.

B. South Africa

The case of South Africa is another interesting example. With the end of apartheid in 1994, South Africa launched several initiatives to reconstruct a fragmented and

deeply discriminatory education system, and establish a unified national system underpinned by democracy, equity, redress, transparency and participation. This social reconstruction had to be linked to economic development in the context of global economies and internationalisation (Education in South Africa: Achievements since 1994; Department of Education, Government of South Africa, May 2001). In the first phase of education reform, the government focused on the development of legal and regulatory policy frameworks to facilitate change, including the establishment of organisations and institutions that created the conditions and structures for effective action for transformation. It was not an easy effort; firstly, the entrenched apartheid structures had to be dismantled to create a unified education system; second, a more equitable system of financing in the context of limited financial resources and mounting demands of national reconstruction had to be established; and finally, a policy framework that gave concrete expression to the values that underpinned the post-apartheid state had to be created.

Dismantling of apartheid structures required integration of divided bureaucracies, merger of institutions, transfer of staff and students and the creation of unified administrative control systems and processes. An equity-driven financing model that ensured fair distribution of resources to end racial inequality and spending patterns based on equality among all communities across the nation was developed and put in place. A sound legislative policy framework for educational transformation was developed as a White Paper in 1995 that took as its starting point the 1994 education policy framework of the African National Congress. The adoption of this policy framework was followed by:

- The National Education Policy Act (1996),
- The South African Schools Act (1996),
- The Further Education and Training Act (1996),
- The Higher Education Act (1997),
- The Employment of Educators Act (1998) designed to regulate the racially divided teaching community and regulating their professional, moral and ethical responsibilities and competencies under one integrated code,
- The Adult Basic Education and Training Act (2000),
- The South African Qualifications Authority Act (1995) that provides for the creation of the National Qualifications Framework, and
- Curriculum 2005 that envisaged replacement of the existing general education system characterised by a racist, apartheid, rote learning model with a liberating, nation-building and learner-centred, outcome-based model.

All this goes clearly to indicate the preparatory processes including the key strategies for the effective implementation of changes in a deeply entrenched system.

C. Eritrea

Let us now turn our attention to another small nation, Eritrea that became independent in 1991 after a long war during which the quality of education had deteriorated considerably. To overcome this crisis, the Government placed education among its top priorities. The major objectives of education in Eritrea are to equip its people with knowledge, skills and a culture that can sustain a self-reliant and modern economy, develop self-consciousness and self-motivation in people to fight poverty, disease, ignorance and all other causes of backwardness. Besides the all round expansion of the system that involved more schools and teachers, better teacher training and recruitment and increases in enrolment, there were several novel initiatives too. For instance, all Secondary school students

above the age of 18 had to participate in an annual summer work programme in which they engage in such activities as environmental conservation, road construction and maintenance, production and maintenance of school furniture, laying power lies and telephone cables, public hygiene, etc. The primary purpose of these activities was to develop good work ethics and social habits, improve national awareness, foster national unity and build self-reliance. University students after graduation were required to complete one year of civil service at a variety of government institutions. A colony so long used to submission, though unwillingly, to the diktats of the rulers, began to stand on its own feet, waking up to freedom, a new-found national identity and dignity.

Check Your Progress 1

Note: i) Space is given below for your answer.

ii) Compare your answer with the one given at the end of this unit.

a) Changes in socio-cultural outlook are a necessary precondition for educational changes. What is the Indian experience? (Answer in about 40 words)

.....

.....

.....

.....

b) What are the main points that are emerging from the South Africa and Eritrea cases? (Answer in about 40 words)

.....

.....

.....

.....

1.4 MECHANICS OF CHANGE

Changes do not come about automatically; someone has to trigger the changes. That trigger is what drives the change. We have identified some of them in the preceding sections. In education, it could be the governments that seek to define a new vision, change the policy directions and align the education system with the emerging national expectations. At the institutional level, it might be a university that wishes to launch new programmes, new teaching methods and new student assessment processes. How do they go about making the changes? The processes they adopt are what we call the mechanics of change. We shall discuss these processes in the following sections.

1.4.1 Phases of Change Management Processes

One can identify four distinct phases in the processes of management of change. These are:

- Defining the roles and expected outcomes of the change
- Identification of the change priorities
- Defining the strategies for organisational development in terms of the priorities identified
- Management and evaluation of change.

Innovation, we said earlier, is an instrument of change and the process of change is indeed the process of adoption of innovations. But innovations do not happen. Someone has to take the trouble of trying something new, or think of out-of-the-box solutions for problems that plague organisations. When once a new idea (innovation) emerges from within an organisation or outside, it has to be given a go-ahead by those who lead the organisations. That is the starting point or Phase I of the process of managing change.

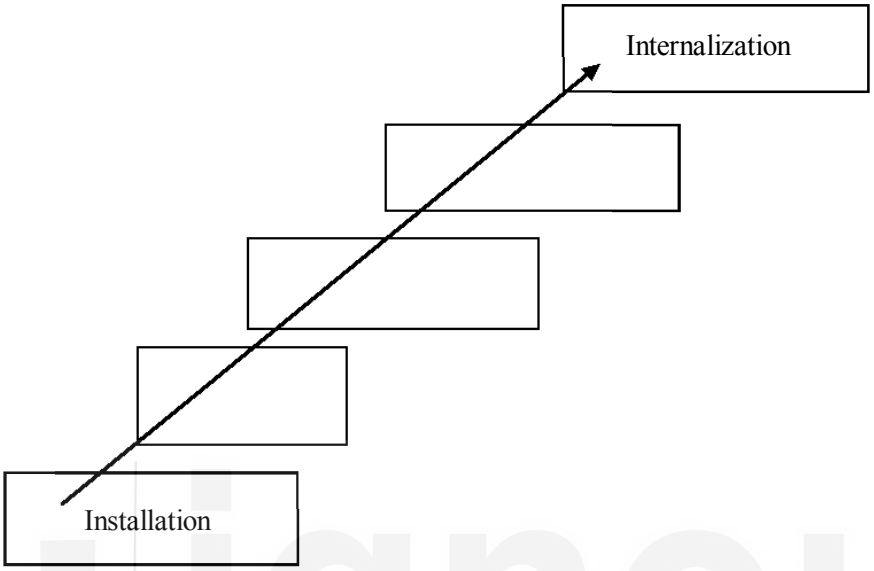
Phase I defines the purpose of the change, the expectations from the change and the preparations for change. This phase constitutes the preparation of a road map to initiate the process of change. This involves, in management terms, the preparation of a project that defines the project objectives, identifies quantitative measures for realisation of the project goals, establishing indicators for monitoring progress (performance indicators), development of monitoring systems and evaluating the progress during implementation, and designation of the team that will implement the project (the team could be from within the organisation or outside). Often, during this phase, it might be necessary to revisit the project objectives, the strategies and the priorities and make necessary changes in them.

Phase II constitutes the stage in which the priorities for implementation are identified. For instance, it might be necessary to have a clear idea about what the current situation within the organisation is in relation to the expected outcomes of change, and assess the gaps to be filled. Hopefully, the project team would consist of people who are knowledgeable in their functional areas, and have a basic understanding of the organisational context for the change, including its strengths, weaknesses, threats and opportunities. A critical study of these factors, in which the top management is also involved, would yield all relevant data. From a critical analysis of the data so collected, the team can establish the priorities and look for causal connections between different parameters. It would help identify the starting point and move from that stage to the next in a way that can address the objectives of the project fully.

Phase III involves the planning of organisational development activities to address the identified priorities. It is possible that in Phase II, the project team would have found the critical gaps that need to be filled across functional areas and at different levels in the organisation. This process would involve identification of several organisational development initiatives that include capacity building at various levels, preparation of an action plan for the implementation of those activities, and to order their priorities. These activities would comprise several interventions in the areas of human relations, human resource management, techno-structural and strategic interventions.

Phase IV is about sustaining and evaluating the action plan, management of resistance to change and even the possibility of an abrupt termination of the change plan itself. Some simple steps that could take the project team through the final stages of the change process are communication of the action plan to all those involved in steering the change to assure them that they are all on level ground and that the change leaders would provide the initial push in implementing the change. This would involve building teams and securing their support through discussions on the aims of change, budgets, milestones, and such other issues that are crucial to the project implementation. In all these, communication is the key to monitor progress, identify bottlenecks, locate points of resistance and initiate interaction among individuals and groups to direct their efforts towards the achievement of a common objective.

While the four-stage change management process typically provides a practical guide to enduring organisational redesign, it would be useful to place these processes in a more theoretical framework to provide a deeper understanding of the issues involved. From experience, and also from the findings of research studies, we find that the adoption of innovation (change) passes through five stages as presented below:



- Installation/awareness signifies the first implantation of a new idea in the mind of the potential adopter;
- Trial, at this stage, is the mental exercise in terms of assessing the feasibility, preparation for adoption and possible adverse consequences;
- Adoption is the actual translation of the idea at the field level – pilot or full scale;
- Evaluation is the assessment of the process efficiency and impact of innovation; evaluation in this case is not summative, the basic intention being corrective action before final adoption; and
- Internalisation is the mechanism of full integration of the innovation with the system, rendering it out of the 'zone of innovation'.
- Just as an innovation is installed it generates different reactions among the potential adopters. Researchers have classified adopters in to several categories, namely,
- **Innovators** – Innovators are those who actually innovate the idea itself and try out;
- **Early Adopters** – people who react to a new idea immediately and take to adoption;
- **Adopters** – those who take to adoption, but wait on the fence to see the experience of adoption of innovation by others;
- **Late Adopters** – are the reluctant respondents to a new idea;
- **Laggards** – the confirmed rejecters of innovation.

Generally, innovators and laggards are a smaller percentage and adopters the largest single group in most organised systems.

1.4.2 Some Structural Aspects of Change

The mechanics of change can be presented in several ways. The most frequently used framework and the most acceptable premise is 'change as a function of adoption of innovation'. This framework presupposes a structure comprising:

- One who communicates innovation, say, the Resource System;
- One to whom innovation is communicated for adoption, say, the 'Adopter System';
- Innovation itself; and
- The process through which innovative ideas are transferred, say, the 'Communication System'.

Should we put these elements in the form of a diagram, it would look like one given in figure 2.

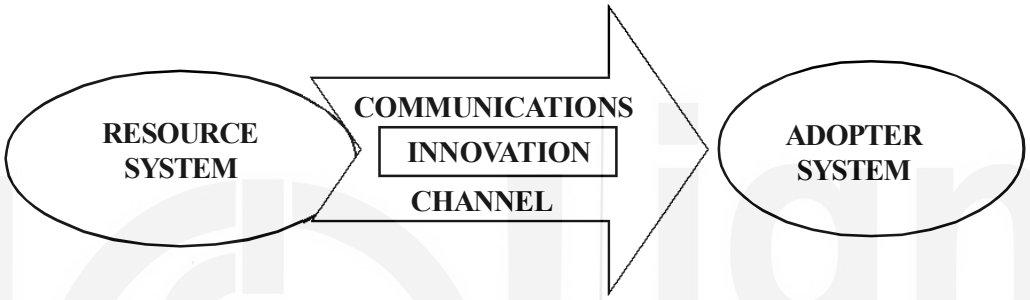


Fig. 2: Elements in Changes Process

There are two other relevant questions. Once an innovation is communicated and the adopter system initiates steps for its adoption, it may find some difficulty. Hence, there has to be a provision for sending problem messages from the adopter to the resource system and a reverse path sending solution messages from the resource system to the adopter system. If we incorporate these elements also in our diagram, it would look like one given in figure 3.

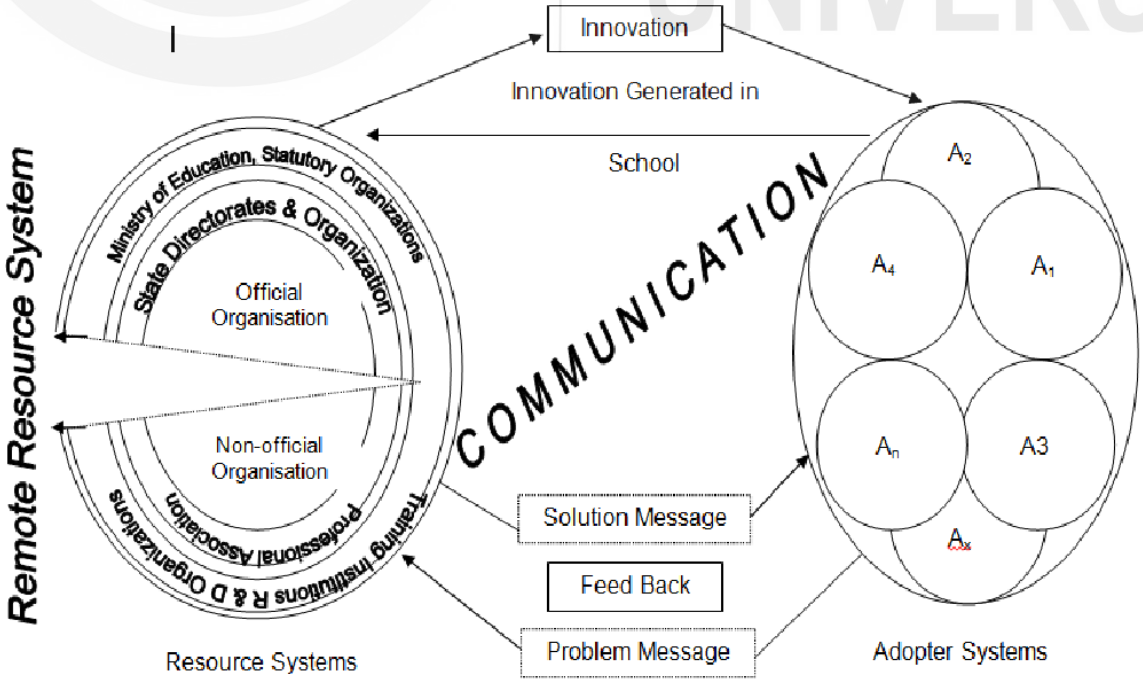


Fig. 3 : Dynamic Model of Innovation Diffusion

At this stage, we shall take a look, in some detail, at the attributes of these four components of the system of change.

a) Resource System

Resource system is an individual or an organisation that acts as the source of innovation and also as the expert source of technology of implementation of innovation. In education, three types of agencies that constitute the resource system are generally noticed. These are:

- Academic/professional bodies- apex level bodies set up for the development, regulation and standard setting in education, research councils and other professional bodies;
- Administrative/bureaucratic systems like the Ministries of Education, State Directorates of Education, etc.,
- Non-formal and non-governmental bodies like Teachers' associations, professional organisations, parent-teacher associations and similar other civil society interest groups.

While there are a large number of agencies that comprise the resource system, there are also significant gaps in their operational areas when it comes to innovative initiatives. For example, standard-setting bodies at the apex are capable of designing, developing and diffusing innovations, but they do not have the power or authority to ensure the implementation of those innovations. Those that have the authority and power like the Ministries and the Directorates of Education do not have the necessary academic or professional competence and credibility to secure the adoption of innovative ideas. The third category of organisations is primarily engaged in advocacy and the creation of environments that are receptive to innovations.

At this stage, it would be useful to examine the basic nature of the resource system. For instance, we need to ask:

- Are the resource systems necessarily organisations?
- Are they necessarily external to the adopting organisations?
- Are they stand alone systems?

The answer is in the negative. Resource systems can be an individual, a group or an organisation; they can be internal to the organisation, and they need not be stand alone systems. For example, an innovative teacher or a group of teachers can act as a resource system for a school, college or university. It does not have to be a specially designated group that can trigger innovative ideas. In fact, a resource system needs to change continuously in order to maintain its credibility with the adopter system. It is not uncommon to see that structurally designated resource systems, wherever they exist, maintain constant linkages with remote systems as source of innovation. For example, international agencies like the UNESCO, UNICEF, etc. act as remote resource systems to national agencies in several countries.

An innovation can bring about change only when it is internalised by the system. To transform an innovation from the stage of awareness to internalisation, the resource agencies need to provide expert support to the process of adoption. However, resource agencies generally consider that their role is largely confined to diffusing innovations to the adopter system. In other words, beyond creating awareness, resource agencies do not yet perceive any specific role in managing the process of change. The professional role of resource agencies comprise process support to the adopting organisation to move from the level of installation to internalisation.

b) Innovation

Innovation is defined in several ways. The most acceptable definition probably is that innovation is an idea or a practice 'perceived to be new'. This definition has an element of relativism in it, and it is necessary. An idea that is new to one may not be so to another depending upon the extent of exposure that an individual or a system has had. However, all innovations are not adoptable or adaptable, nor are all innovations worthwhile. Similarly, same innovation may not be relevant to all categories of institutions, and individuals within institutions. An innovation worth trying in IGNOU, for example, may not be relevant to the Open University in Jordan. Or, an innovation that is now relevant to a state open university in India has already been tried out and internalised at the national open university.

There have been several studies both internationally and in India on characteristics of innovations and their adaptability for ushering in change. Some of these characteristics are:

- Relative change
- Simplicity or complexity
- Compatibility
- Communicability
- Value loading
- Scientific status of the knowledge.

The relative advantage of an innovation as perceived by the potential adopter over the prevailing practice influences to a great extent the adopter's decision. While a minority of the adopters look at the relative advantage from the angle of organisational advantage and scientific status of knowledge, a majority considers relative advantage from the angle of benefits accruing to individuals, e.g. less workload, simpler procedure, etc. On the other hand, innovations that are less communicable, less divisible, more complex and relatively less advantageous are likely to be resisted and are more liable to failure.

Check Your Progress 3

Note: i) Space is given below for your answer.

ii) Compare your answer with the one given at the end of this unit.

Which are the three types of agencies that can act as resource systems and which one among them is effective in designing innovations and why? Answer in about 50 words.

.....

.....

.....

c) Communication

Communication signifies conveyance of the idea or innovation from one party to another through some media. Research on communication of innovation has thrown up significant understanding of its role in its adoption. For instance,

- Difference in status between the communicator and the recipient is a significant determinant of success. The wider the gap between the communicator's

status and innovativeness and the adopter system, the greater is the likelihood of failure in its adoption.

- Community norm is another determinant. The innovation adoption behaviour is directly linked to the norms of the social system in which the adopting organisation or the individual is located. Lack of communication between the adopter systems with the external resource agencies hinders change.
- Whatever be the media, efficient use is the key to success. Demonstration is the most powerful medium. However, it can be most damaging, and can permanently inhibit adoption, if demonstration fails. In cases of innovation, where controversy is likely, oral presentation seems to be more effective.

One of the features of educational planning and management in the developing countries is its relative centralisation. For faster and equitable development, planning including innovations are centrally designed and initiated. The centrally designed innovations as well as those flowing from the academic bodies provide a triangular structure of communication (see Figure 3 below)

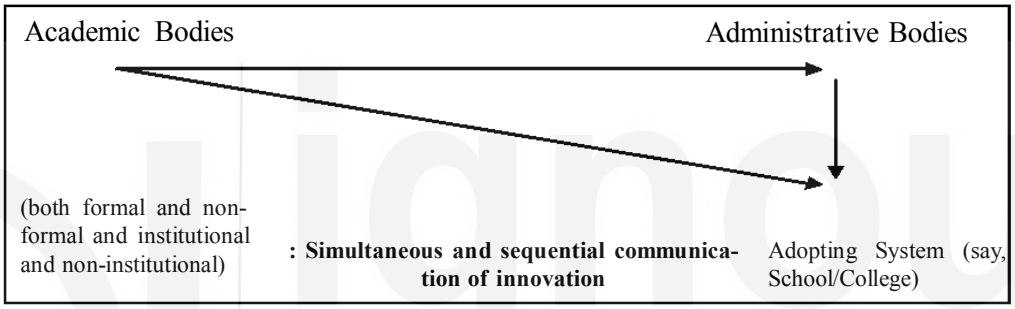


Fig. 4: Simultaneous and sequential communication of innovation

If this is further broken down to central, state and district level authorities, the structure would look like the following figure 5.

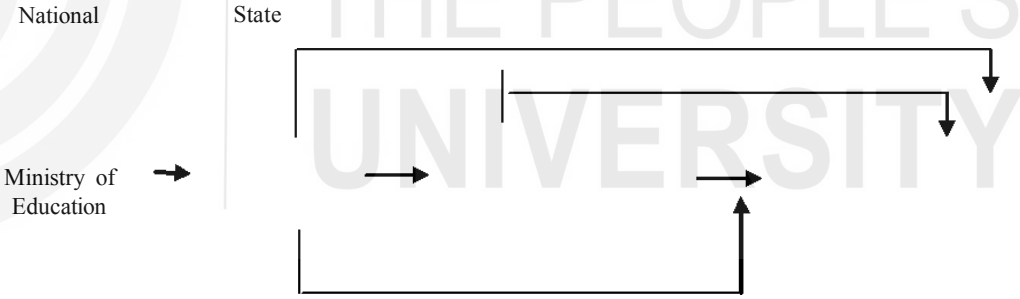


Fig. 5: Hierarchic and unidirectional communication

Because of the typical bureaucratic system of management in centralised systems, the flow of communication is usually unidirectional. One of the basic problems of communication is inherent in the organisational structure of education. As we have seen in Block – 1, all major educational systems comprise multi-layer structures of national, state and local level agencies. This complex structure makes an equally complex flow of communication through multiple channels, some of which may not even have any direct stake in a specific innovative initiative. Unlike the industrial system, education system is yet to develop a communication model relevant and functional to the management of change.

d) Adopter Organisation

Adoption of innovation in education, particularly for qualitative improvements, is the function of the agencies like schools, colleges, universities, etc. However, there is evidence that individuals and small groups play a significant role in the management of change as well as in organisational renewal.

Certain organisational characters like open, paternal and familial climate, linkage with resource agencies and a pro-active administration (Board of Governors/ Executive Council, etc.) have been found to be conducive to change. Several studies have established the key role played by the Head of the institution, especially his/her leadership capability, professional awareness, initiative, and inter-personal relationships, that influences the process of adoption of innovation.

The findings from a wide range research on the characteristics of the adopting system that promotes or resists change, are summarised in the two Tables that follow:

Table 1: Individual Characteristics that resist Innovation

Personality-oriented	Others
a) Conservative attitude b) Sense of insecurity and fear of failure c) Low self-esteem d) Closed mindednesse) Inability to sense needsf) Defence-mechanism – distortion of innovation g) Unwillingness to work – lack of motivation h) Loss of interest i) Inadequate exposure to mass media j) Inadequate contact with change agents and resource agencies	a) Role conflict b) Lack of training c) Absence of clarity of innovation d) Lack of competence e) Non-availability of literature f) Lack of access to guidance g) Work load h) Fatigue from innovation i) Unrealistic time target j) Lower socio-economic status

Table 2: Organizational Characteristics that resist innovation

Organisational			
External	**Internal**		
	General	**Leadership**	**Small Groups**
a) Demand of change in social relations b) Threat on the dynamic equilibrium of the system c) Lack of openness d) Lack of permeability from one layer of organisation to another due to coding systems and system myths e) Localism f) Lack of communication and linkage with resource systems	a) Division of labour b) Hierarchic organisation c) Reward for traditional behaviour d) Interference of higher management e) Organisational climate-closed type f) Physical distance between the sub-systems g) Inadequate financial and physical facilities h) Size of the organisation – small in particular	a) Directive and autocratic	a) Cohesive b) Lack of autonomy and involvement in decision-making c) Peer criticism d) Sense of imposition e) Vested interest

These studies have also shown that most of the adopting organisations, the schools and colleges for example, live in isolation, and do not have any significant linkage with outside agencies. Thus they have little functional input of innovations. Secondly, the principal role perceived by the Heads of institutions is of maintenance rather than change and renewal. The institutes, a very large majority among them, engage themselves in routine activities in a routine manner. Thus their capability for innovation and self-renewal remains unchanged. The situation is further aggravated by lack of, if not the absence of, management training for the personnel administering the institutions.

In effecting changes, management of innovations by the adopting organisations is of crucial importance. Successful management of innovations calls for:

- Planning of innovation,
- Determining objectives for development,
- Identifying innovations,
- Planning resources,
- Providing authority support,
- Building up consensus among the members of the adopting group, and
- Developing linkages with relevant outside agencies and also with the environment.

The adopter organisations do not usually plan innovations. They implement innovations as they come through the pipeline of the administrative channel. Nor does one find very often, an awareness of resistance that may accompany an innovation. As a result, casualties occur without adequate, if at all, contingency arrangements. Further, the adopter organisations within themselves can develop a network where innovations, and experiences accruing from innovations, can be shared. Although there are some evidences, more as exceptions, the models for functional replication are not too many. One of the major problems is the lack of documentation in the form of cases – both of successes and failures – on adoption of innovation and management of change that can be used by others for emulation and replication.

Check Your Progress 4

Identify the following sentences as 'true' (T), or 'false' (F) and answer in the brackets provided against each.

Note: Compare your answer with the one given at the end of the unit.

a) Difference in status between 'communicator' and recipient is not a significant determinant of success. ( )

b) In a centralized bureaucratic system of management of education, the flow of communication is usually unidirectional. ( )

c) The adopter organizations do not usually plan innovation but implement the ones which come through administrative channels. ( )

1.5 MODELS OF CHANGE

So far, we have focused our attention on understanding the factors that prompt institutions and organisations to redesign and restructure their functions and

operational frameworks. In doing so, we also looked at the starting point of these efforts, what occasions the rethinking, and in what context and circumstances the need for change is felt compelling. We also tried to understand the processes involved in changes and the ways and tools available for managing those processes. We shall now turn our attention to the ways in which organisations make changes happen, what strategies they follow and what models they adopt.

Research to capture the process of change in a conceptual framework has yielded several models of change. These research efforts have documented behaviour modification models at the individual and organisational change models. These models, identified by different authors can be broadly classified on the basis of the source of change, namely, changes initiated from within or outside. Though these models are not mutually exclusive, we shall list them in Table 3 for easy reference.

Table 3: Models of Change

Self-initiated models	Externally initiated models
Problem solving	Rational-Empirical
Social interaction	Normative Re-educative
Research, Development and Diffusion	Power-Coercion
Organisation development	Systems model

We shall now look at these models to enhance our understanding of the strategies for change and the conceptual framework (models) for those changes.

1.5.1 Self-initiated Models

These are generally institutional models that are relevant to schools, colleges and universities.

The Problem solving model is essentially a need-reduction model where the starting point of intervention is the perceived need for change. Havelock (1973) refers to terms like "client-centred therapy", and 'student-centred teaching" as expressions of need-reduction models. Although the role of external change agents is not ruled out in this model, the need for collaboration and understanding of the institution's (clients for the external agent) need are two important components. The Organisation Development Model can be one of the practical applications of the Problem Solving Model. As Havelock says, "this model is a general one and could apply to a process inside a single person, or inside a group, an organisation, a community, or society as a whole". According to this model, the problem solvers may be outside specialists (change gents, resource persons, etc.), but they will act in a two-way reciprocal and collaborative manner, in order to make the interventions effective.

The Research, Development and Diffusion Model is widely followed in the USA. The starting point in this case is research and new products through research. The assumption is that if there is a new product (including new knowledge), there will also be a consumer. Unlike in the problem solver model, consumer need is implicit, and does not have to have to be established through need-reduction research. The progress in the fields of medicine, engineering and agriculture testifies to the evolution of this model. As Havelock says "there is a transformation of knowledge from basic research to applied research and development which goes on in the agriculture-related departments of the land grant colleges and universities. The R&D process is systematically linked o the Co-operative Extension Service,

an elaborate mechanism that diffuses the developed knowledge to the farmers. This system, taken as a whole, seems to exemplify the orderly transition of knowledge from research to development to diffusion and finally to adoption by the consumer" (Havelock, 1973). The more recent case of open and distance learning is another example that illustrates how the results of research on the impact of programmed learning has influenced the growth and development of ODL that depends on self-instructional learning packages diffused through modern communication technologies that can optimise human learning and reach out to large numbers, thus ushering in the age of mass education.

The Social Interaction Model assumes that society, and organisations within that society, are a network of units that have 'roles and channels of communication with one another through formal and informal associations forming barriers and overlapping connections'. This model does not view society as a system; instead, it gears all the various components towards a common goal and output. The primary focus is on management of change through interaction between and among various stakeholders in the change process. According to Havelock, this approach has contributed a large quantity of empirical data on dissemination and utilisation of knowledge.

The Organisation Development model is a widely used technique in management of change. It comprises six sequential stages of action:

- Organisational Diagnosis (OD)
- Planning for Intervention (PI)
- Allocation of Responsibilities (AR)
- Resource Mobilisation (RM)
- Implementation (IM)
- Monitoring and Evaluation (ME)

Organisational diagnosis often uses SWOT analysis or Survey-Feedback methods. A notable feature of this model is that it is a participatory process in which, from diagnosis to monitoring, people in the organisation are collectively involved.

The following spiral representation illustrates this model in figure 6:

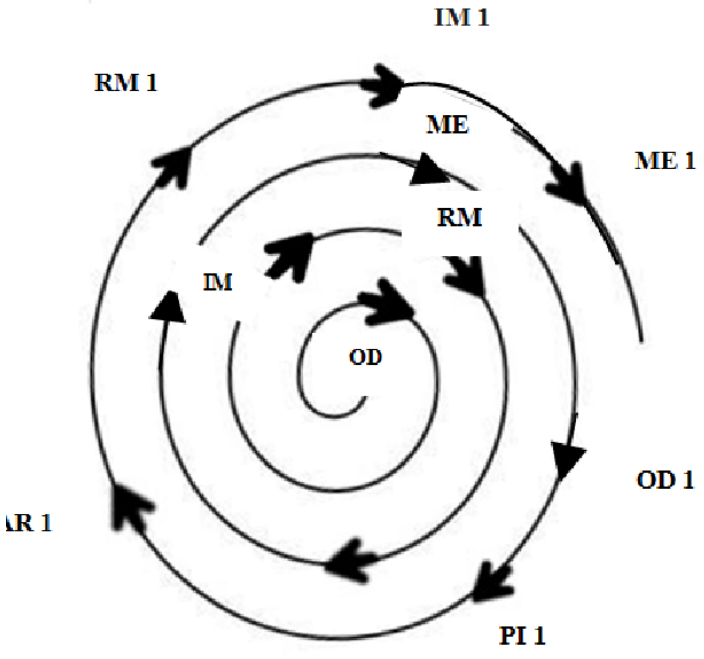


Fig. 6: OD-Spiral Model

1.5.2 Externally Initiated Models

The three models – Power-Coercion, Normative-Re-educative and the Rational-Empirical - have been extensively dealt with by Bennis and others in "Planning for Change".

The basis of the Rational-Empirical model, a classic approach to Change Management, developed by Robert Chin and Kenneth D. Benne, is based on the assumption that human beings are rational and therefore, are open to reason as the basis for change. Empirical evidence, corroborated with reason, can form the basis of organisational diagnosis and planning for intervention. Research provides a sound foundation for planning for change through this model.

The Power-Coercion model bases itself on the power of "power". According to Hans Morgenthau, "Power may comprise anything that establishes and maintains control of man over man. Thus power covers all social relationships, which serve that end, from physical violence to the most subtle psychological ties by which one mind controls another". This model indicates the use of top-down power, rather authority, in the approach to planning and management of change. Innovations in this case are decided at the top and pushed down for implementation. In a larger context, changes in the totalitarian systems illustrate this model. Not only are innovations pushed down, this model also uses coercion for adoption.

Normative-Re-educative model is largely based on the cognitive restructuring concept. The first element is normative – setting norms by demonstration. It assumes that humans are social beings and therefore they always have the inherent urge to conform to social norms and standards. This approach is different from prescription of the power orientation. The second component is re-education of the potential adopters. Setting norms on the one hand, and re-educating on the other, leads to easier acceptance of innovation.

Unlike the Power-Coercion model, both Normative-Re-educative and the Rational-Empirical approaches are diffusion of innovation through creating conviction. These two models are slow to adopt innovations, but are more sustainable and self-renewing. The Power-Coercion model is fast but runs the risk of distortion of innovation and rejection at the first opportunity of change in the power structure.

Yet another approach, the Environmental – Adaptive model, developed by Fred Nickols is based on the assumption that while people are generally averse to change, they adapt themselves to it when left with no choice. In other words, while individually people are quick in rejecting any change that they feel might threaten their settled ways of life, they are as quick to adapt themselves to a new set of circumstances when they find that there are few options available to them. This approach recommends that instead of forcing changes in behaviour, norms and culture, it would be better to create a new set of circumstances and exploit the innate nature of human beings to adapt to the new situation.

What we have discussed so far were the models of change that focused more on the individuals or the various sub-systems within an organisation. Let us now look at the management of change at the system level. A system model of change management is presented in the following diagram figure 7.

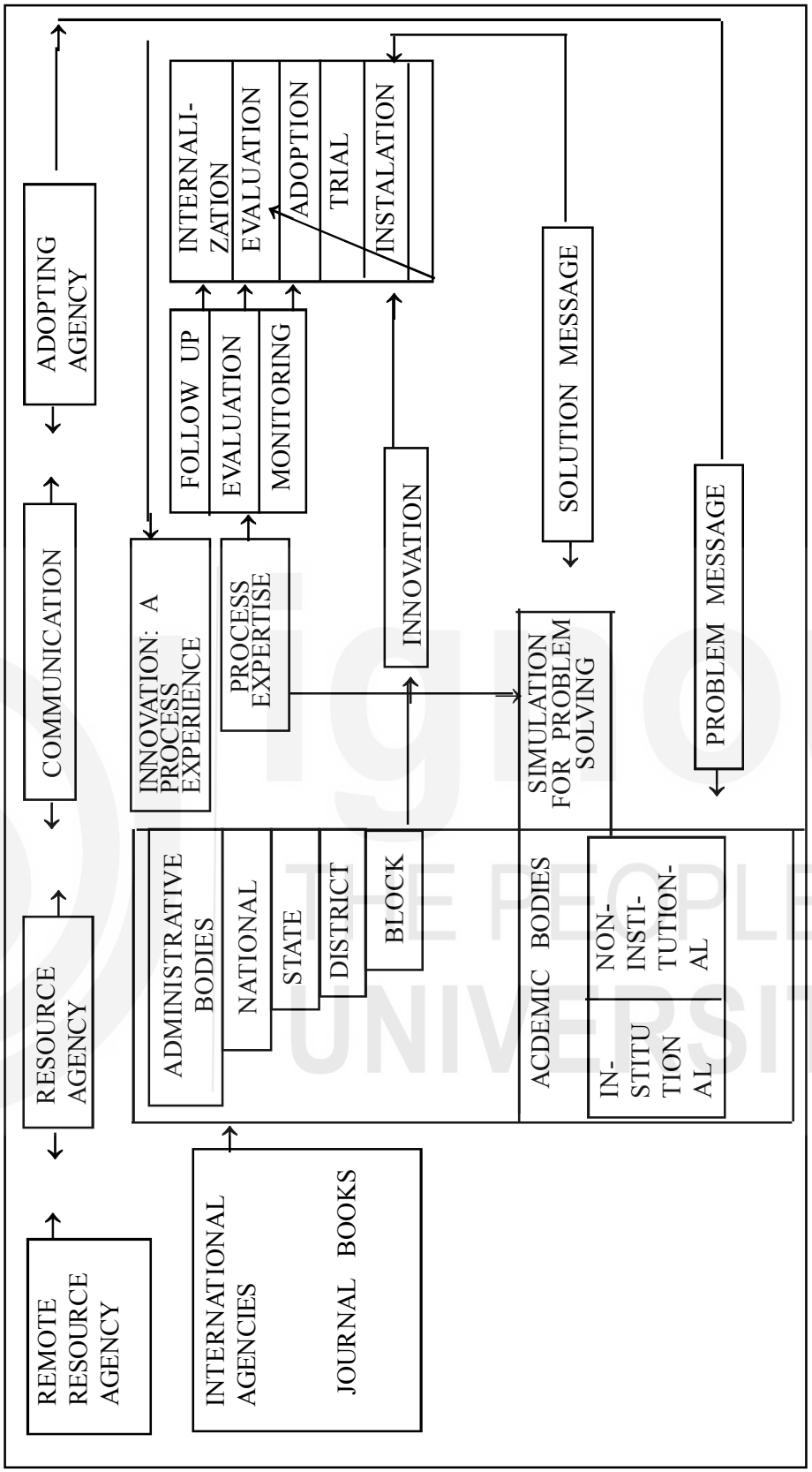


Fig. 7: System Model of Management of change

In the system model, there are four components – remote resource agencies, resource agencies, innovations communication mechanisms and adopting organisations. We have discussed each one of them earlier. Changes are brought about when these systems interact with one another through policy, planning and management processes. Policies provide the basic framework showing the directions of change; planning ingrained in policy translates policy into action plans and management inlaid in planning, actually implements the plan.

1.5.3 Change Management Strategies

The previous sections that tried to identify different models of change also suggested the core strategies around which those models were built. We shall now try to explore those strategies in some detail.

As we have noted, the **Empirical-Rational approach** assumes that although the innate tendency in most people is to resist change, they can be won over by persuading them to accept it by:

- Explaining the genuine logic behind the proposed change;
- Showing them what there is in it for *them*.

If people are convinced on these two concerns, it becomes easier to navigate the process of change. This strategy therefore relies on persuasion as the way to make people accept changes through the instrumentality of:

- Planned and well-managed dissemination of information that clearly conveys the incentives for change;
- Skilful use of communication to sell the benefits of change;
- Emphasis on providing accurate and correct information as well as education and training that inspire people to accept change willingly;
- Focus on people who could be identified as willing to accept change and are influential enough to carry the message effectively to others in the organisation.

The leadership of the organisation has an important role here, buying-in of the people and inspiring them to embrace the change. A meaningful plan for successfully initiating change and taking it through must have the following elements:

- A strong basis for initiating the change;
- Linkage to actual benefits or incentives to be derived from the change; and
- An analysis of the positives and negatives, including the measures necessary to neutralise the negatives.

The more imponderable element of this approach is that while employees may accept the need for change and the rationale behind it, dislocation and transition always bring with them emotional disorientation and problems of adjustment.

The **Normative-Re-educative approach** is one of the most widely used strategies in the preset times. This strategy works through the existing culture; collaborating with people and helping them see new and better opportunities rather than an abrupt transplantation of an entirely new culture on unprepared grounds. This approach calls for a set of strategies that might include

- An honest effort to work in sync with people;
- Identification of problems and remedies;

- Improvements in problem-solving capacities within the organisation;
- Refinement of processes including development of new skills, attitudes and norms;
- Effective engagement with people to minimise chances of resistance.

It should be noted that this approach depends too much on employee cooperation, and that there are too many examples of employees not stepping out of their 'comfort zones" to do things differently.

The **Power-Coercion approach** assumes that people are, by and large, compliant and advocates the use of power to secure compliance with threats of sanctions. As we noted earlier, there are different forms of exercising power, and while threats are at one extreme, there are more subtle ways of playing with power. In fact, in both the approaches that we discussed in the preceding paragraphs, power plays a subtle, persuasive role in navigating the change processes. The power softly used in this manner is known as hegemonic power, an internalised form of social control that makes people believe that they are choosing something when they really have no choice. In both cases, the strategy is to use "reason" and "collaboration" to make the change seem like a choice between a better situation and status quo. In other words, the strategy is to make people accept change for a better prospect without necessarily giving them any option. Exercise of authority, subtly or otherwise, in the form of political and economic sanctions, legislation, or other instruments of policy, including "moral" power is a widely used strategy in managing change.

The **Environmental-Adaptive approach** is a variation of the power-coercion strategy that leaves no choice to people except adaption of change. As we said earlier, the difference in approach in this case is the creation of new sets of circumstances and norms in a pro-active manner and leaving them to people to adapt. As people have no choice to accept or reject change, the responsibility of regulating and managing the change shifts from management to the people themselves. In short, the strategy is to make the change, and leave it to people merely to accept or quit.

What is the right strategy for the management of change? The answer is that there is no single strategy that works in all situations. The choice depends on the nature and extent of change. If the changes are radical, an environmental-adaptive strategy might work; in the case of a more or less submissive organisation, empirical rational or normative re-educative strategies will do. If one anticipates strong negative reactions, the power coercion strategy is the way to go.

1.5.4 Leading the Management of Change

Having discussed the theories and practices that guide the management of change and organisational transformation, we shall now look at what the leadership of change management is all about. A recent article in the Mckinsey Quarterly by Steven F. Ditcher, Chris Gagnon and Ashok Alexander (1993) entitled "Leading Organisational Transformation" offers some useful insights.

Organisational transformation is aimed at improvements in performance by changing behaviour and capabilities throughout the organisation. Opinions within the organisation might differ on the objectives of change. For example, the Finance Department might want new financial measures; the HR chief might seek a new compensation package and training programmes; the operations chief might want new quality improvement initiatives and the marketing wing might want more customer focus. Development of an integrated transformation approach is the key to organisational change. The three major elements of this approach are:

- Top-down direction setting to create focus throughout the organisation and develop the conditions for performance improvement
- Broad-based bottom-up performance improvement to get people at all levels to take a fresh approach to solving problems and improving performance
- Cross-functional core process redesign to link activities, functions and information in new ways to achieve breakthrough improvements in cost, quality and timelines

These three elements constitute the transformation triangle that offers a balanced, integrated framework that combines separate initiatives into a coherent overall programme. While the top-down approach ensures focus and direction, the bottom-up process provides motivation and momentum, and the core process redesign ensures that function-specific efforts add up and that a critical mass of change is ushered in to make an impact. A quality programme here, a new training initiative there, a new set of internal strategy task force or an executive team-building exercise will not add up. Effective leadership in change management requires purposeful coordination of, and engagement with, the efforts of all three axes of the triangle. We shall now turn to the ways in which each of these three elements functions.

a) Top-down direction setting

First, we shall look at the top-down direction setting process. Clear, consistent and on-going direction setting and culture shaping initiatives are a necessary pre-condition for the successful transformation of an organisation. The leadership has to take concerted efforts to clarify priorities, create energy and signal commitment to change in performance and behaviour through different approaches. These should include:

- Setting the goals with a limited set of quantified targets and clear milestones linked to the vision of the organisational transformation. Vague, generic and poorly defined goals will not inspire confidence;
- An excellent vision statement should reflect broad agreement among management ranks, clearly and compellingly used in decision-making and priority setting;
- A leadership agenda that promises sustained efforts and time from the top leaders that reinforce commitment and compels others to make similar efforts;
- A process design that articulates home grown process development with mutually reinforcing thrusts and clear milestones tied to vision and goals. Multiple initiatives poorly integrated, and occasionally conflicting, could turn out to be counterproductive;
- An effective communication system that includes feedback loops and measurement. Newsletters, videos and other such efforts with little or no focus is no substitute for an effective communication system;
- Training of people in new skills focusing on expected performance improvement rather than primarily technical and management training organised on traditional patterns; and
- Formulation of a series of transaction level measures cascading throughout the organisation and regular review of benchmarks rather than those reflected by the financial accounting system, or those limited only to key functions .

b) Broad-based bottom-up approach

Now, let us look at the broad-based bottom-up approach. It involves getting a large number of people in the organisation aggressively and creatively working

for improvement in performance. It depends upon the creation of disciplined processes for identifying opportunities and developing plans to close clearly identified performance gaps. These approaches have to be tailored to specific challenges, skills and readiness to change in given parts of the organisation. For this purpose, methodologies have to be designed for setting appropriate goals and performance objectives, analytical templates have to be developed to guide problem solving, and specific information needs have to be developed by levels and units. In particular, attention needs to be focused on:

- Front-line operations to improve cost, quality and timeliness of given parts;
- Aligning staff functions to activities that increase the value of products and services;
- Identification by the management group of the most attractive performance improvement opportunities and design of necessary processes to exploit them.

Bottom-up initiatives go far beyond the usual pilot testing and implementation. Pilots are always tried at isolated locations. A comprehensive bottom-up approach encompasses intensive problem-solving efforts spread across an entire enterprise. It aims at sustained performance improvements, development of new skills, better readiness for change, and deeper insights into how organisations must adapt to sustain improvements. The process followed in the bottom-up approach involves the development of creative ways to involve people in improving performance and redesigning their work. These are not one-off activities; they involve successive round of efforts to improve performance and build skills.

c) Core process redesign

Both top-down and broad based efforts operate within existing operational boundaries. Opportunities for breakthrough improvements in performance can be addressed only through a cross-functional, core process redesign perspective in which people, activities and information are linked in new ways. The goal is to produce simultaneous dramatic improvements in cost, quality and time by shifting the focus of work and decision making from hierarchical channels to new horizontal flows across functions, locations and organisational boundaries.

It should be noted that all the three approaches by themselves are not groundbreaking. They offer an easier framework to make organisational restructuring acceptable and less painful to all stakeholders. These strategies are:

- Focused: Organisations can perform well with less than perfect, but not unclear, strategies. During periods of change, attention tends to shift from tangible performance goals to a general concern for effecting changes in the organisational culture. The best way to change culture is to work on improving performance at all levels and across all functions. We know how counterproductive it is to indulge in mutual recriminations and blame games, as, for example, in management against labour conflicts.
- Integrated: Works on all three axes simultaneously, and in ways that are mutually reinforcing; demands attention to shift to the problem and the goal. Strategic focus or direction setting could be top-down, while frontline involvement is bottom-up. When there are multiple inefficiencies across functions, the emphasis will naturally be on the redesigning of cross-functional processes.
- Balanced: Gives equal emphasis to each axe. Too much reliance on top-down could attract criticism and cynicism just as too great an emphasis on bottom-up efforts could lead to attention being diffused and focused on activities that might not make any difference. Too much emphasis on cross-

functional processes could lead to solutions that are so complex in design that they might turn out to be beyond the organisation's ability to implement.

- Team-based. Teams are critical for all three approaches. With top-down, leadership is essential to integrate the initiatives and lead the processes. In bottom-up, there could be several performance teams working in different parts of the organisation, and in cross-functional efforts, process management teams have to come together across functions.

Check Your Progress 5

Identify the following sentences as 'true' (T), or 'false' (F) and answer in the brackets provided against each.

Note: Compare your answer with the one given at the end of the unit.

a) Innovation is decided at the top and pushed down for implementation in the power coercion model. ( )

b) Normative re-educative and the rational – empirical models are fast in adoption of innovation. ( )

c) Planning is an inset in the policy. ( )

d) In System model communication takes a two-way interactive mode. ( )

1.6 LET US SUM UP

This Unit discussed the patterns and mechanics of change that organisations in general (including educational institutions) follow in different contexts and circumstances. In the absence of a body of literature exclusively about changes in the management of educational institutions and organisations, we have gone with the theoretical foundations that recent research finding have provided us in understanding different models of change, the factors that influence changes, and also the processes by which changes get absorbed in the existing systems and their structures. As we have mentioned in Unit 1 of Block 1 of this course, management of education systems also draw upon the wealth of knowledge and experience gained over time not just in the fields of business and industry, but also in the Government, not-for profit organisations and civil society institutions. We hope that this discussion would have given you some insight into the complexities and constraints that managements often confront while attempting to introduce changes in the organisation of the education system, whether in its governance structures or in its curricular and examination reforms.

1.7 CHECK YOUR PROGRESS: POSSIBLE ANSWERS

Check Your Progress 1

a) T b) F c) T

Check Your Progress 2

a) Indian education is a complex mix of tradition and modernity. The impact of high levels of scholarship and spirituality established over several centuries and the preponderance of modern education which was initially launched to support governmental infrastructure, are the prime movers of educational

development in India. Perhaps, what India needs is a blend of both, and a new mindset that can support an integrated system.

b) The cases of South Africa and Eritrea reveal that changes at large in society occur only through cultural change, in which 'education' play a vital role. The other issue is that educational change takes shape within the broad cultural canvas of a society.

Check Your Progress 3

The three types of resource systems are: (i) academic agencies, (ii) administrative or bureaucratic agencies, (iii) non-formal and non-governmental agencies. Out of these three, academic agencies are more capable in designing, processing and diffusing innovations because of the academic expertise available with them.

Check Your Progress 4

a) F b) T c) T

Check Your Progress 5

a) T b) F c) T d) T

1.8 REFERENCES AND SUGGESTED READINGS

Bridges, William, (1991). *Managing Transitions, Making the Most of Change*, Addison-Wesley Publishing Company.

Schneider, William, (1994). *The Reengineering Alternative: A Plan for Making Your Current Culture Work*, Irwin Professional Publishing.

Wilson, D, (1992). *A Strategy of Change: Concepts & Controversies in the Management of Change*, London, Routledge.

Paton, R & McCalman, J (2000). *Change Management: A Guide to Effective Implementation*. Sage.

Burnes, B, (2004). *Managing Change: A Strategic Approach to Organisational Development* (3rd Edition), Pearson.

Hatch, M & Cunliffe, A (2006). *Organisational Theory*. Oxford University Press.

Warren G. Barnis, Kenneth D. Benne & Robert Chin (Ed), *Planning of Change*. Holt, Rinehart & Winston, New York.

Robert Chin & Kenneth D. Benne, (1969). *General Strategies for Effecting changes in Human Systems*.

Hans Morgenthau (1948). *Politics among Nations: The Struggle for Power and Peace* (5th Edition), Alfred A, Knopf, New York, 1978.

Percy Agreras Dastur (2010). *The Art of Change Management*. Embassy Books, Mumbai.

Fred Nickols, (2010). *Four Change Management Strategies*, www.nickols.us

Peter Senge (1990). *The Fifth Discipline: The Art and Practice of the Learning Organisation*.