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Planned organisational change management –forward to the past?

An exploratory literature review

Introduction

The evolution of planned organisational change models (POCM), since their origin by Lewin in 1946, has derived from a wide range of characteristics, each adding to apparent gaps, whilst focusing on different component parts. One series of approaches has focused on differentiating change by type, where change is seen in the context of its phases, as continuous change or stepped change (Cook, Macaulay, & Coldicott, 2004; Dunphy, Griffiths, & Benn, 2007; Maimone & Sinclair, 2014; Pettigrew, Woodman, & Cameron, 2001; Romanelli & Tushman, 1994; Tsoukas & Chia, 2002). Another approach, whilst in part related to the first, sees change in the context of its impetus, being planned or emergent (Beer & Nohria, 2000; Bullock & Batten, 1985; Wyatt Warner Burke, 2013; Bernard Burnes, 2004; Chia, 2014; Dunphy & Stace, 1993; Ford & Ford, 1995; Kanter, Stein, & Jick, 1992; J.P. Kotter, 1996; Luecke, 2003; Porras & Silvers, 1991).

A further approach views change in terms of its organisational origins, namely top-down or bottom-up (Beer & Nohria, 2000; Smith & Graetz, 2011). A final differentiating aspect in organisational change management (OCM) has been viewing change in terms of its size and impact, identifying the transformational and incremental elements and the necessary steps in achieving such change (Dunphy et al., 2007; Malhotra & Hinings, 2012; Robinson & Griffiths, 2005; Sutherland & Smith, 2011; Taffinder, 1998). A defining element in each of these POCM characteristics is the absence of mutual exclusivity between them, such that

overlap occurs at intersections between type, impetus, origin and size/impact at different points along the change continuum.

A common element intrinsic in the development of POCM over the decades since Lewin has been the focus on resistance to change as a condition inherent in failure, viewing resistance as a negative element that requires intervention in order to overcome its effects (Carnall, 2007; Piderit, 2000). During this period there has been an increasing awareness of the role of those that resist change, not necessarily from a position of pure negativism, but rather from a position of improved understanding and involvement, (Lewis, 2011), with the aim of improving change outcomes (Bartunek, Balogun, & Do, 2011; Burke, 2013). In this manner, resistance to change has been summarily linked to a wide range of issues that organisations need to face in order to limit the debilitating effects of resistance on organisational change programs.

A further development in the understanding of resistance to change has been the role that individual emotions play in mediating the impact of negative resistance. This further consolidates a growing focus throughout the literature on the individual in change management as distinct to purely the broader organisation perspective (Cook et al., 2004; Holt, Armenakis, Feild, & Harris, 2007; Keller & Aiken, 2009; J.P. Kotter, 2012; Nasim & Sushil, 2011; Oreg, Michel, & By, 2013). Additionally, the focus on persuasion as a process in readiness for change, that addresses resistance by ensuring change recipients will actually engage with the change, has been identified as a parallel process that supports change communication strategies (Garvin & Roberto, 2005).

Whilst OCM has been researched extensively over the course of the last 50+ years, resulting in currently over 2,700,000 references in Google Scholar to the terms ‘managing change’, discussions in much of the prevailing research continues around the notion of change failure (Armenakis & Harris, 2002; B. Burnes & Jackson, 2011; Gondo, Patterson, & Palacios, 2013; Nasim & Sushil, 2011; Pfeifer, Schmitt, & Voigt, 2005; Smith & Graetz, 2011; Whittle & Stevens, 2013). Associated with this is the identification of factors that possibly support such failure considerations such as focusing on the duration of change programs, the integrity of the internal change agents, the organisational commitment to change and the effort required by those experiencing change over-and-above normal work commitments (Sirkin, Keenan, & Jackson, 2005)

Whilst the accuracy of failure statistics themselves have been questioned by some (Bernard Burnes, 2011; Hughes, 2011), there exist a range of themes emanating from the research that characterises change failure through a kaleidoscope of causes, including structure and content of change communication (Armenakis & Harris, 2002; McClellan, 2011); the role of senior managers and the direction of change from within the organisation (Bartunek et al., 2011); tensions between the *organisational* focus vs. the *people* focus (Bunker & Wakefield, 2006); ignoring the role of culture (Damschroder et al., 2009; Schein, 1999); poor understanding of the impact of change readiness levels by change agents (Drzensky, Egold, & van Dick, 2012; Gondo et al., 2013); limited focus on the centrality of employee engagement in the planning and execution of change (Levasseur, 2001; Lewis, 2011; Lewis, Passmore, & Cantore, 2008), and inadequate planning processes identified through a lack of appropriate organisational diagnosis (McFillen, O’Neil, Balzer, & Varney, 2013).

In the context of expanding research into POCM and a continuing recognition of OCM failures, we ask the question as to whether the depth of research regarding OCM and the resulting development of a multitude of POCMs has in fact defined completely new approaches to change, or, as we suspect, has the extensive research provided refinement to the Lewin approach to change, by developing more detailed processes around the unfreezing-change-refreezing model first developed in 197. In doing so, we highlight the often misbranded and misapplied description of Lewin's change model as one of linearity in addressing OCM, when in fact, his inclusion of action research, group dynamics, and force field analysis, suggests an approach to change that has features consistent with a more flexible approach, consistent with change management research undertaken since his original works.

This paper argues that the research over the last 50+ years has not fundamentally developed anything completely new; rather, the research has provided us with clarity to better understand what was developed many years ago and to consider how its ongoing application into the future can be optimised. As a developmental process, POCM challenges the interplay between organisational inputs, processes and outputs, with the vagaries of human behaviour, a core variable in the success of organisational change. Through this recognition, especially with the inclusion of Lewin's work in action research, group dynamics and force-field analysis, it places the outcomes of Lewin's research into a more centralist perspective by ensuring POCM, as both a management and academic activity, recognises him not just as an historical reference from which OCM has evolved, but rather, as a potentially critical and current response to POCM both in practice and in academic research. Therefore, are we in fact moving forward by better understanding and applying the past?

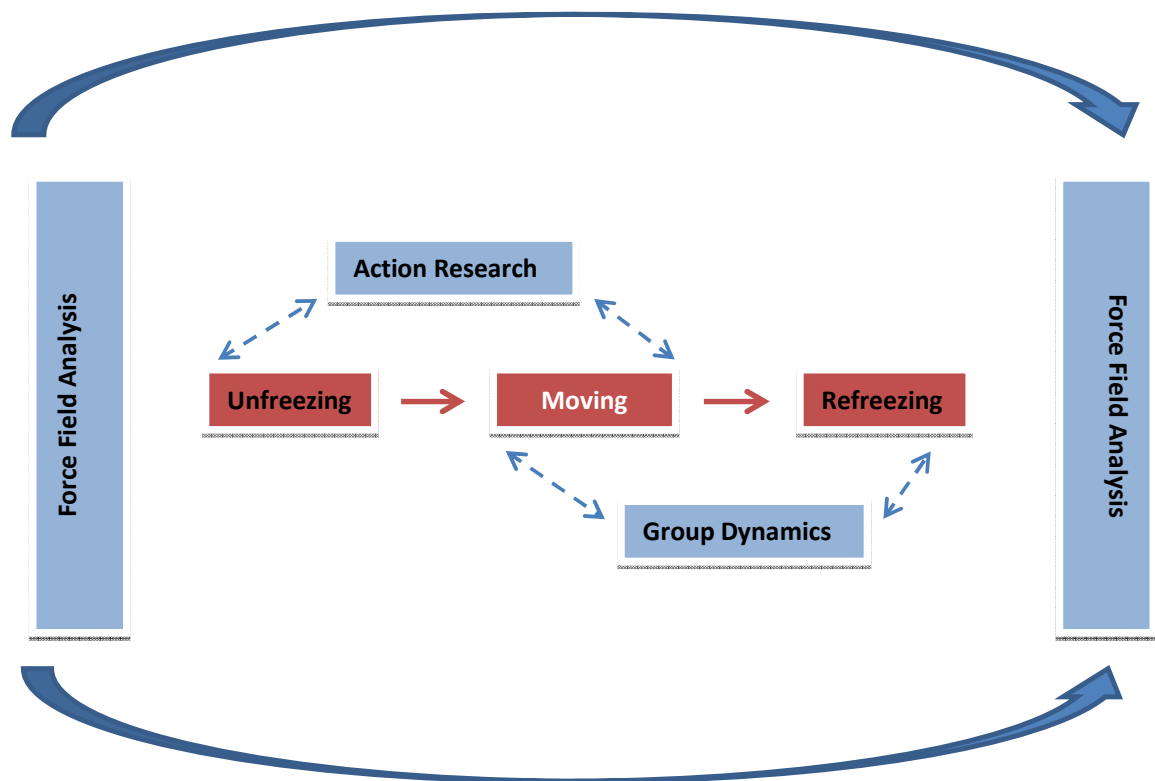
Lewin's contextualisation of change

This article considers the POCM related work undertaken by Lewin which was covered in three critical publications in 1946 and 1947, the former identifying the context of action research (Lewin, 1946) whilst the latter introducing and expanding on field theory, group dynamics and the now famous three-step change model (Lewin, 1947a). In doing so, we consider the foundational elements of Lewin's contribution to the ongoing research in OCM and identify the linkages between his contribution and the development of a number of organisational change models that have been introduced since that period to the present time. This lays the groundwork for responding to the question of 'How has our understanding of OCM changed with the ongoing development of new POCMs since Lewin?'

Many of the references to Lewin's three-step model tend to be one-dimensional in that they seek to isolate the management of change to a simple linear process of what Lewin describes as "*unfreezing the present, moving to the new level and freezing group life on the new level*" (1947a:330). This one-dimensional approach fails to recognise the remaining integrated components necessary in understanding all the elements of change. Within the three-step model is a clear reliance on a range of enablers which he considered as integral to the process. These are presented as criteria related to the creation of permanent changes, of which the three-step model is but one. Others included the need to identify countervailing forces as part of force field analysis and understanding the characteristics necessary to influence movement within a change process, understanding resistance as an element of habits within

groups subjected to change, and the role of group decision making as underpinned by personal and group motivations. His linkages with action research in the course of his work with certain social groups provided the basis for a more complete picture of change, and underpinned a more iterative approach to change than many writers have since commented on. Seen in this light, the depiction of Lewin's change model, not merely as a linear three step process, is presented in Figure 1.

Figure 1 – A More Accurate Depiction of Lewin's Change Model



By considering a number of the key POCMs that have evolved during the late 1980s to the present, evidence exists that places Lewin's model at the centre of these and further highlights that a more focused interpretation of Lewin suggests that in the area of POCM, perhaps little that is fundamental to the process, has in fact changed, other than a degree of

fine tuning, the impact of which may be questionable, given the prospect that historic change failure rates apparently continue.

Method

The world of POCM is diverse and complex with a number having resulted from academic-based research, and a number resulting from practice-based application in the hands of management consultants. Given the plethora of options, some of these differing sources have been addressed in the course of this analysis of the prevailing literature.

In the category of academic-based research, the various models can be further categorised into those that are predicated more on the governing approaches to change in that they provide specific approaches or steps that change agents and those who initiate change must address in order to maximise the success of the change program. A further sub-categorisation points to those models that are more structural in their approach, meaning that they offer more of an overall framework within which change takes place. Whilst flexibility in both categorisations is necessary, the former approaches tend to be seen by change agents as definitive guides whilst the latter seem more conceptual in nature. In this manner practice-based models tend to be governance focussed, as they are designed to drive specific client-driven outcomes. Tables 1 to 3 identify the most discussed models within these categories.

Table 1 – Key Governance Approach Researched-based Organisational Change Models

POCM	Authors	Defining Characteristics
Three Step Model	Lewin	Viewing change as a process of movement from the current stage to the end stage and underpinned by Force-Field Analysis, Action Research and Group Dynamics that support planned change (Lewin, 1947b)
Phases of Planned Change	Bullock & Batten	Builds on a project management platform that sees change from a technical viewpoint, focusing on the four stages of exploring, planning, action, and integration (Bullock & Batten, 1985)
Change Formula	Beckhard & Harris	Formulaic approach that identified the elements of change and how these relate to each other to effect change, providing an operational framework for those involved in the change process by understanding a range of interdependent consideration points (Beckhard & Harris, 1987)
Eight Step Model	Kotter	Developed from research into 100 organisations undergoing change to determine lessons to be learned from them, converting these into a procedural approach to managing the process (J.P. Kotter, 1996)
Five Step Corporate Transformational Model	Taffinder	Somewhat similar approach to Kotter in the development of a procedural approach to transformational change resulting from an analysis of transformational changes in 30 multi-national companies (Taffinder, 1998)

Table 2 – Key Structural Approach Researched-based Organisational Change Models

POCM	Authors	Defining Characteristics
Change Curve	Kubler-Ross	Stems from her analysis of the five stages of grief recognising that people react emotionally to change in a similar way to the emotional reaction to grief, providing insights into possible organisational responses (Kubler-Ross, 1969)
Causal Model	Burke & Litwin	Considers the various drivers of change and ranks these, recognising external environmental factors as the most important followed by an additional eight factors which must be understood and dealt with in an integrated approach (W Warner Burke & Litwin, 1992)
Congruence Model	Nadler & Tushman	An ‘open-systems’ model that links organisational sub-systems with changes to the external environment that was meant to guide the thought processes of those involved in change rather than being a prescriptive approach (Nadler & Tushman, 1997)
Transitional Phase Model	Bridges	A phase model that has been applied to transformational style change that focuses attention on the end-game and moving beyond that from the current stage and in the process differentiating ‘planned change’ from ‘transition’ (Bridges, 1991)
Management of Transition Model	Carnall	Focuses on the key organisational management aspects of culture, politics, and management in the context of skills development (Carnall, 2007)
Systemic Model	Senge, Roberts, Ross, Roth, & Smith	A non-formulaic approach to understanding change, it focuses on the long-term sustainability issues and the renewal process itself which, at its base, considers notions of redesigning and rethinking change (Senge, Roberts, Ross, Roth, & Smith, 1999)
Sustainability Change Matrix	Dunphy, Griffiths, & Benn	Identifies a six phase process leading to organisational sustainability through change and focuses these as part of ‘Waves of Sustainability’ (Dunphy et al., 2007)

Table 3 – Key Practice-Based Organisational Change Models

POCM	Consulting Origin	Defining Characteristics
7-S Model	Peters & Waterman	Focused on assessing how well an organisation was positioned with a range of ‘soft’ and ‘hard’ skill attributes. Provided a dual focus of assessing organisation in current state as well as future state, providing the basis for better understanding the gaps that needed to be filled in order to achieve a desired outcome and change (Peters & Waterman, 1982)
ADKAR	Prosci Ltd.	Results orientated change management tool that maps a range of enablers of change to a list of management activities that when structured and implemented, respond to those enablers (Love & Spencer, 2003)
Association of Change Management Professionals (ACMP)	ACMP	Structured approach for transitioning to a future state utilising a range of tools identified through the grouping of identified ‘Change management Process Groups’

In the case of each of the research-based POCMs, we have adopted a three-stage evaluative process that firstly sought to identify the salient features of the model as identified when it was first developed. Secondly, refinements to the model stemming from any published revisions were highlighted where such refinements changed any components of what was originally published. Finally, we identified within each of these models, characteristics that provide fundamental links to the Lewin Three Step Model, either by direct reference, or by virtue of inherent structure. This analysis is provided in Tables 4 to 6 inclusive.

Table 4 – Analysis of Research-Based Governance Organisational Change Models

POCM	Key Features	Refinements by Author	Connection to Lewin's Model
Bullock & Batten	Aligned to a project management type approach. Applies a 4 stage process of (1) exploring the need for change and securing necessary resources (2) creation of detailed plans for change (3) actioning the plan including the development of feedback loops and (4) aligning the changes back into the organisation through developed policies and procedures	None	Exploration and Planning (1) & (2) are sub-sets of 'Unfreezing' as the latter must involve an in-depth understanding of current systems and processes which lead to an assessment of why change needs to take place and the resource issues that must be addressed, as well as the events and milestones that must be achieved from a project plan perspective. Actioning (3) equates to the 'Change' process itself whilst alignment (4) incorporates some of the activities associated with the institutionalisation processes of 'Refreezing'
Kotter	A sequential eight-step process involving the formation of a guiding coalition, vision and strategy, communicating the vision, empowerment, generating short-term wins, consolidation and finally institutionalisation.	2012 – The Accelerate Program – based on two structures in one organisation designed to accelerate change and built on the original 8-step model (J.P. Kotter, 2012)	Establishing a sense of urgency (1) creating a guiding coalition (2) develop and communicate a clear shared vision (3) & (4), can be seen as components of the Unfreezing process considering Lewin's focus on "open the shell of complacency" (1947:330). Communicate (4) empowerment (5) and short-term wins (6) are positioned within the 'Change' process and evident in Lewin's focus on achieving "group performance as the reaching of a different level" (1947:330), whilst consolidating (7) and institutionalising (8) support the 'Refreezing' imperative as suggested in Lewin's commentary "...that it does not suffice to define the objective of a planned change in group performance as the reaching of a different level. Permanency of the new level...should be included in the objective." (1947:330)
Beckhard & Harris	Formulaic representation of change highlighting interdependencies where each component must be evident otherwise resistance will not be overcome. Represented by $(A \times B \times D) > X$ where: A = dissatisfaction with status quo B = desirability of proposed change D = practicality of change X = cost of change The model is structured around an understanding of the present state and why change should occur.	None	Mirrors Lewin's 3 Step Model, but places the emphasis on describing key states in the change process rather than detailed action points. These 'states' infer specific actions in order to move from one state to another. Introduces specifics with regards the role of leadership.

Taffinder	a transition state which represents the “...set of conditions and activities that the organization must go through to move from the present to the future.” (1978:29), followed by the future state which reflects the destiny point that organisational leaders wish to attain.	None	
	A sequential eight-step ‘ <i>action list</i> ’ process derived from the key ‘ <i>elements of human and organisational effort</i> ’ of (1) awakening (2) conceiving the future (3) building the change agenda (4) delivering the big change (5) mastering the change.		The ‘S-curve’ has a corollary with Lewin with ‘awakening’ and ‘conceiving the future’ key components of unfreezing and ‘... <i>breaking open the shell of complacency</i> ...’ (1947:330). ‘Building change’ and ‘delivering big change’ forms the underlying elements of “... <i>moving to the new level</i> ...” (1947:330), whilst ‘mastering the change’ is closely linked to refreezing. Taffinder then moves into an enhanced action list which identifies a range of details actions that are seen as necessary in order to implement the process.

Table 5 – Analysis of Structural, Research-Based Organisational Change Models

POCM	Key Features	Connection to Lewin's Model
Kubler-Ross	Linked to earlier research regarding grieving and suggests that those experiencing change will react through shock, denial, frustration, depression, experiment, decision and finally integration. Understanding this from a change management perspective may predict response and therefore enable appropriate interventions to be planned either before or during the change process.	Can be related to the ancillary aspects of Lewin's model, especially with regards the implications associated with force field analysis and group dynamics, especially when one considers the behavioural consideration of each of these. In this manner, morale and competence are impacted over the duration of the change process, in line with Lewin's discussions of personal impacts from changes to social habits. A common feature in both models is the focus on resistance. No further refinements have been undertaken as of the date of this paper.
Burke & Litwin	Highlights nine drivers of change in order of importance as (1) external environment (2) mission & strategy (3) leadership (4) culture (5) structure (6) work unit climate (7) task requirements and individual skills (8) individual needs and values, and (9) employee motivation	Understanding the drivers of change leads to an understanding of reactions to those drivers from a change agent's perspective. Whilst this model has no direct linkage to Lewin, the 'driver' approach can be viewed as informing specific actions that may be necessary in executing within each step, gaining clarity from an analysis of the forces that drive and inhibit change. No further refinements have been undertaken as of the date of this paper.
Nadler & Tushman	As an open systems model that focuses on the congruence of outputs associated with work, people, informal and formal organisational elements resulting directly from the interaction between the external and the internal environment	Within their open systems model, they identified key success points for change as (1) developing an understanding of the current state (2) articulating a clear vision of the future state, (3) guiding the organisation through a delicate transition period. These align closely with Lewin's model. No further refinements have been undertaken as of the date of this paper.
Bridges	Differentiates planned change from transition with the complexities of the latter being reflected in a three-phase process of ending, neutral zone and new beginning. In a similar approach to Taffinder, identifies specific action points that need to be considered for each of the phases.	Mirrors Lewin's Step Model but focuses more on how people feel during the change process. In this manner it provides a broad framework for the various communication elements during each of the phases. In 2004, whilst the model did not change, a heavier focus on transitional elements was identified (Bridges, 2004)
Carnall	Views change from a skills-based perspective suggesting that management must be able to (1) manage transitions (2) deal with culture, and (3) manage politics. In doing so the approach considers a multiple preconditions for change success focusing (i) building awareness (ii) building the	Whilst the focus on skills within the organisation is predominant, the preconditions identified have a correlation with aspects of Lewin in that building awareness and building the case for change closely align with activities that form part of unfreezing, whilst mobilising support for change has application in both unfreezing and moving. Crystallising the vision reflects attributes of both moving and refreezing. No further refinements have

	case for change (iii) broadening and mobilising support for change, and (iv) crystallising the vision.	been undertaken as of the date of this paper.
Senge et al.	Consider change by viewing organisations more as biological organisms and accordingly considers reactions to changes within that biological context. In this context the systemic model focuses on the issues which need to be considered in initiating, sustaining and redesigning change.	Alignment with Lewin stems more from the consideration of forces and challenges that may impede progress which underpins the concept of the “... <i>dance of change</i> ...[which highlights] <i>the inevitable interplay between growth processes and limiting processes</i> .” (1999:10), implying correlation with Lewin’s force field analysis process. No further refinements have been undertaken as of the date of this paper.
Dunphy, Griffiths, & Benn	Identifies a six-phase process within ‘waves’ of sustainability. The first wave is identified through (1) opposition, and (2) ignorance. The second wave is identified through (3) risk (4) cost, and (5) competitive advantage. Finally the third wave is identified through (6) transformation. Within this construct they further suggest an eight-step process for incremental change and a ten-step process for transformational change	The ‘waves’ relate closely to the Three Step Model where in Step 1 opposition and ignorance is addressed during the course of unfreezing. Compliance, efficiency and strategic pro-activity is dealt with during the movement step, and finally, sustainability issues are addressed during the refreezing. No further refinements have been undertaken as of the date of this paper.

Table 6 – Analysis of Key Practice-Based Structural Organisational Change Models

POCM	Key Features	Connection to Lewin's Model
McKinsey	Identifies what are considered to be relevant 'hard' and 'soft' elements seen as interdependent factors that when considered in this manner, underpin an organisation's ability to achieve intended objectives. Hard elements include Strategy, Structure, and Systems whilst soft elements include Shared Values, Skills, Style, and Staff. Within each of these elements exists a range of questions which identify, through the application of a specified matrix, gaps which need to be addressed in order to achieve the desired outcome.	Whilst the connection with Lewin is less than obvious from the perspective of considering the elements and interdependent factors, appreciating the need to understand the current state before moving to subsequent positions is consistent with the refreezing and moving approach. No further refinements have been undertaken as of the date of this paper.
Prosci	ADKAR is the acronym for Awareness of the need for change, Desire to participate and support the change, Knowledge on how to change, Ability to implement required skills and behaviours, and Reinforcement to sustain the change.	The model maps up to 25 enablers and management activities that support the ADKAR elements and in this manner it is primarily used as a resistance management tool as well as an assessment process to help change management teams organise their work, which is coordinated through a change agent. When viewed in the light of diagnosing the root cause of resistance then focusing on communications and identifying the barrier points to change, it has strong connections to Lewin's force-field analysis. No further refinements have been undertaken as of the date of this paper.
Association of Change Management Professionals (ACMP)	Identifies a 'Standard for Change Management' (SFCM) as part of a formal accreditation process for change management professionals. It recognises change as a transitional process moving from an organisation's current state through to its future state, identifying the transitional, process that connects these. In the process of doing so it considers a wide range of 'Change Management Process Groups' that must be considered in movement from the current state, transitional state and through to the future state.	<p>Elements of the Change Management Process Groups have direct linkages with Lewin's change model. The SFCM identifies 5 such Process Groups which, as a procedural process, address the following:</p> <ul style="list-style-type: none"> • "5.1 - Evaluate change impact and organizational readiness • 5.2 - Formulate the change management strategy • 5.3 - Develop the change management plan • 5.4 - Execute the change management plan, and • 5.5 - Complete the change management plan". (ACMP, 2014) <p>Lewin's Unfreezing step links with 5.1 and the entry points of 5.2, whilst the Moving step continues 5.2 as well as incorporating 5.3, 5.4 and 5.5</p>

	embodies the Refreezing step.	
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Discussion

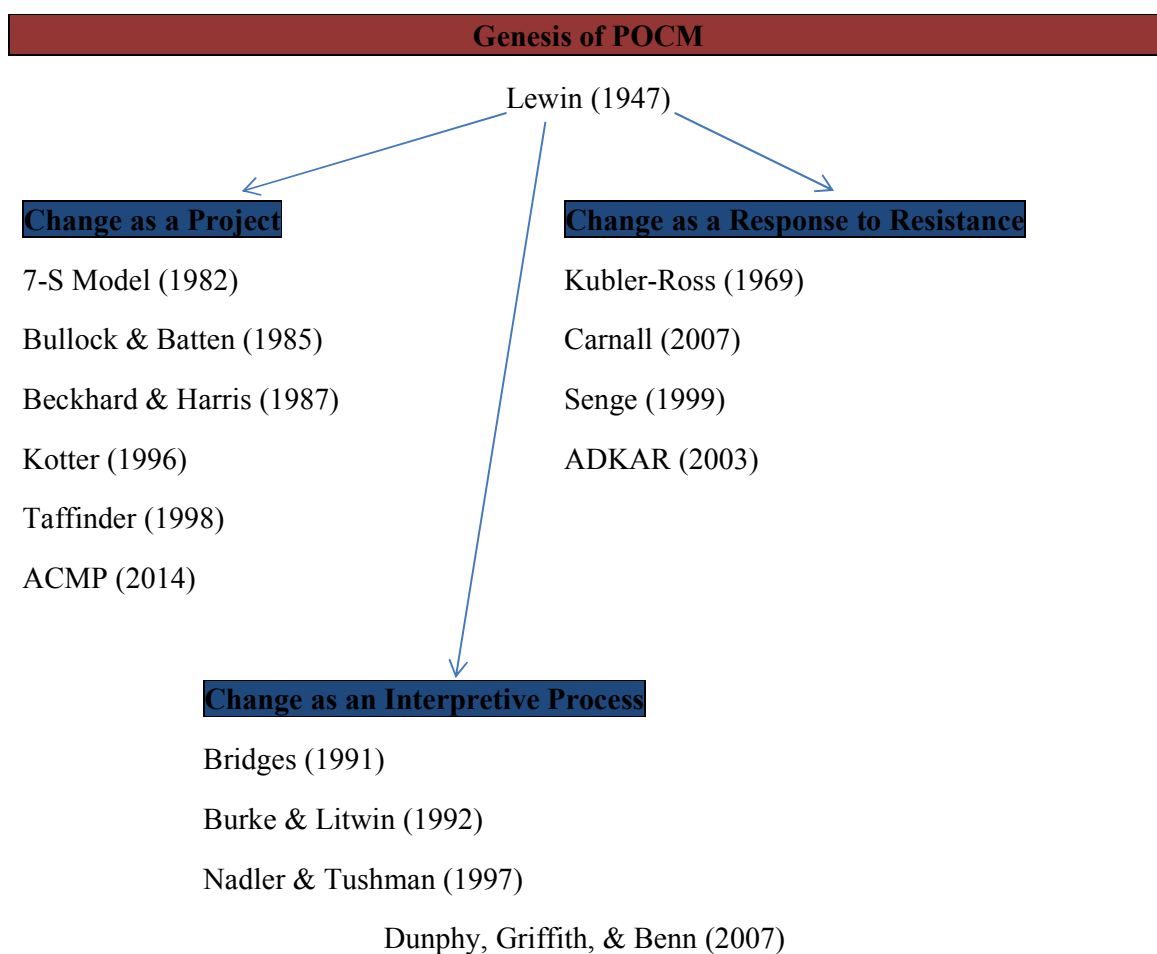
Lewin's writings on change were multi-faceted. His work in the area of change on minority problems in 1946 was predicated on the iterative processes of action research where the role of fact-finding in the planning process was clearly defined. *"Planning starts usually with something like a general idea. For one reason or another it seems desirable to reach a certain objective...The first step then is to examine the idea carefully in the light of the means available. Frequently more fact-finding about the situation is required."* (1946:37) highlights the relevance and importance of clarity regarding the stated objective, but also the situational context within which the objective is being framed. Emanating from this point is the derivation of the execution phase which, as he identifies for management purposes, requires additional fact-finding processes to be initiated. The iterative process entailed evaluation of the action, assessing initial learning outcomes, laying the foundations for further planning, and finally the remodelling of the plans themselves, in what can clearly be identified as a fluid, non-static process.

Lewin's 1947 work focused on the post-war imperative associated with *"...accelerating...the change of social sciences to a new developmental level."* (1947a:301), focusing on integration issues, changing group life, and new techniques for social research. One of these techniques, force field analysis, became evident in understanding the inhibitors and enhancers of change. Whilst his mathematical modelling of the impacts makes for interesting reading, it's the practical application in a change strategy that gives credence to its ongoing use. Identifying and prioritising those positive forces that drive change, and those negative forces that restrain change, have been identified by many in the change 'industry' as being situationally relevant.

Further application of group dynamics and resulting group decision-making processes supported the Lewin integrated approach to the management of change, which was also identified in his 1947 papers. Whilst he clearly identified the follies of managing through group decision-making, he did indicate that the “...*experiments with group decision are nevertheless sufficiently advanced to clarify some of the general problems of social change.*” (1947a:331), further suggesting that group decision in a planned social change utilising the three stage process of unfreezing, changing, and refreezing, had a general overall advantage over a more individualised process.

The derivation of POCM from Lewin’s original approach has evolved both in time as well as in focus, as depicted in Figure 2 below. The project approach recognises the need to drive solutions to the ongoing challenges of change, providing insights into the procedural and process aspects whilst maintaining operational capacity in the short term and expanding it in the long term. This approach reinforces the procedural aspects embedded within change programs, supported by structured, stepped activities. The resistance approach recognises the difficulties associated with change and focuses on the groundwork necessary to reduce its negative attributes. This approach recognises the need to minimise one of the key inhibitors of change, being the role that individuals play in the change process and the deleterious impact of resistance to change. The interpretive approach sees change impacted by situational factors that may affect the organisation and necessitate responses that address a wide array of organisational attributes. This approach recognises the variability of change and the important interplay between the organisation and the individual throughout the change process. Whilst many of these models breach each of the three approaches described in Figure 2, their groupings focus on their origins, and in this manner are not mutually exclusive descriptions.

Figure 2 – The Evolution of Planned Organisation Change Models



Commonalities across the spectrum of POCMs exist and the categorisation identified in Figure 2 is not aimed at creating clear delineation between approaches and in the process suggestion priority between them, when no such priority actually exists. Rather, categorisation aids in focusing attributes of different approaches and assisting internal and external change agents in adaptation and modification in order to deal with what may be situational factors evident within individual organisations. Such an approach recognises the interrelationship between situational content, organisational context, and change process (Armenakis & Bedeian, 1999; Pettigrew, Beer, & Nohria, 2000), the varying responses needed for different stages of an ongoing change program (Barnard & Stoll, 2010), and leading to a consideration by some that questions even the ability to effectively manage change (Balogun & Jenkins, 2003; Brewer, 1995).

The analysis presented in Tables 4 to 6 and summarised in Figure 2, may suggest a view of POCM that is more suggestive of the development of conceptual frameworks as distinct to definitive models that can drive successful change (Beer & Nohria, 2000). This becomes more evident when viewed in the context of the necessity for empirical evidence that can attest to the effectiveness of change through the use and application of differing theories and approaches (By, 2005).

The complexities associated with POCM regarding internal and external environmental triggers and considerations, the strategic and operational imperatives and forces, and the

politics and uncertainties associated with organisational structures and communications (Heilmann & Heilmann, 2011), point toward POCMs being viewed more as considerations from which individual organisational approaches to change are derived. In this manner a number of aspects to change become cornerstones of the process. These include the consideration of change as an architectural design and building approach (Kanter, 1983), limiting the one-size-fits-all methodology (John P. Kotter & Schlesinger, 2008), recognising the multiple-model approach of matching specific organisational circumstances with change management approaches that best fit the place and the time (Schaffer & McCreight, 2004; Smith & Graetz, 2011), highlighting the determining role of organisational contingency in POCM identification (Paton & McCalman, 2000), and considering the differing focuses of change efforts including activity-centred and results-driven programs (Schaffer & Thomson, 1992).

When assessing Lewin's three step model, a singular focus on the unfreezing, changing, refreezing process becomes too one-dimensional and limiting in its application and, for the reasons identified earlier, should be viewed in the more integrated context of his related work in action research, group dynamics and force field analysis, which were not ancillary to his change process, but well integrated and yet ignored in a narrower application by future contributors seeking a more readily defined approach in the pursuit of dealing with OCM. In the context of ongoing developments in the field of OCM research, a case can be made that Lewin provided a strong framework from which operationalising the mechanics of fostering change, relies on the broad contextual and situational attributes contained within each organisation. This approach is depicted in Figure 3 which suggests that each of the governance, structural and practice-based approaches to OCM can in fact be interpreted as

the operationalisation of Lewin and sees POCM in the context of the centrality of Lewin's model.

As suggested earlier and highlighted in Figure 3, the application of Lewin's work in action research, group dynamics and force field analysis, needs to be viewed as a fundamental component of his three step model, providing the basis for a more integrated and relational view of change.

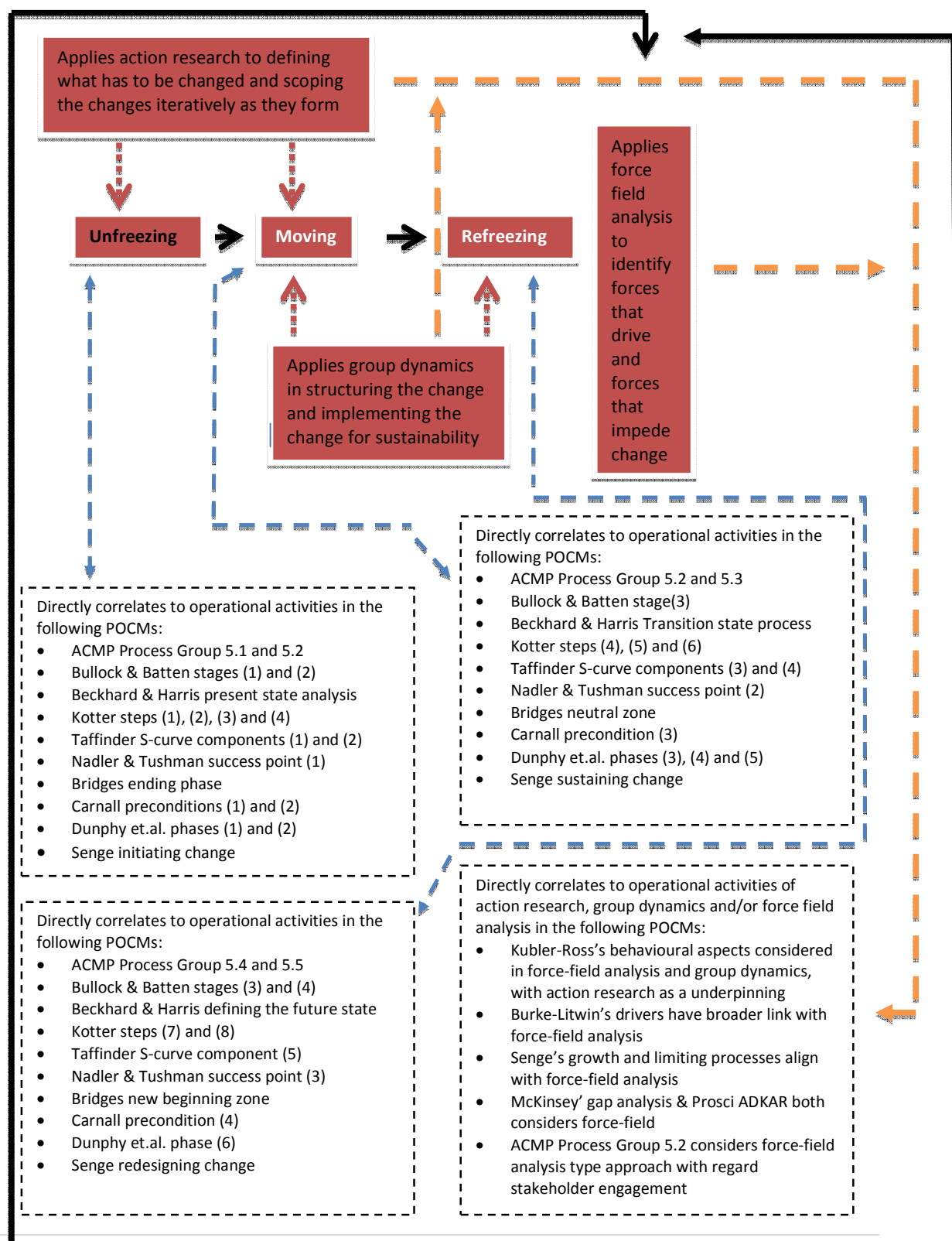
The action research approach applied by Lewin supports both the unfreezing as well as the moving components of his three-step model. The iterative approach of applying feedback loops at these points in the change process identifies a need to continuously assess the organisational circumstances, internally and externally, as well as the dynamic nature of these changes, whilst assessing impact and results. In this manner, the linear approach, being a commonly quoted characteristic of Lewin's model, is actually more dynamic than the criticism suggests, as constant feedback into the system causes ongoing refinements to both the unfreezing as well as the movement. Kubler-Ross's studies into emotional responses to grief have been directly linked to similar emotional responses to change. The action research approach works with these human responses to change and develops strategies and responses to deal with them during the unfreezing and moving aspects in Lewin's model.

The group dynamics approach applied by Lewin recognises the positioning of people within change processes, suggesting the interplay of individuals as decision-makers. Kubler-Ross's grief model provides insights into those elements of emotions that effect individuals during

such times, and focusing on individual's responses that impact their behaviours. An important link that presents itself here is the impact on group behaviours and group dynamics as a direct result of these individual responses.

The inclusion of force-field analysis by Lewin in identifying inhibitors and enhancers of change and dealing with these, provide linkages with Kubler-Ross, Burke-Litwin, Senge, McKinsey and ADKAR model. In the case of Kubler-Ross it is seen in the application of organisational considerations to the individual emotional responses of those impacted by the change. In the case of Burke-Litwin it is seen in the complex interactions that underpin the relationship between the external environment, organisational strategy, leadership and culture, to the resulting individual performances that change is so reliant upon. In the case of Senge, it is reflected in his non-formulaic approach which seeks to rebalance the forces of equilibrium within organisational systems, largely focusing on resistance. In the case of McKinsey, Prosci and the ACMP approach, a reliance on identifying organisational gaps that may impede achieving the change outcomes (McKinsey), responsiveness to responding to change enablers (Prosci), and a focus on stakeholder analysis (ACMP), further accentuates the force-field analysis identified by Lewin.

Figure 3 - The Operationalisation of Lewin's Change Model



Conclusion

This paper sought to position the contribution made by Lewin with regards planned organisational change management beyond current perceptions of linearity and connect the thread of many organisational change models in-use from his 1947 beginnings to the current period. Despite the voluminous research and material written regarding planned organisational change, Lewin's approach, when considered in its entirety, is as relevant now as it was during the time of his original writings and may not just be the platform upon which models have evolved, rather, his narrowly interpreted three step change model, reconceptualised in this paper, may in fact be as relevant now as it was then. This paper therefore considered the question of the extent to which we in fact are moving forward with an understanding of planned organisational change by better understanding and applying the past?

This exploration of the evolution of planned organisational change models since Lewin's three step model was first introduced in 1947 identifies the true integrated design and application of Lewin's change model and its direct linkages with widely applied models that have evolved since that time. In doing so it identifies that Lewin's approach operated at two levels. The first level represented a framework for change, recognising that in order to change from a current position to a future position, there was a need to first 'unfreeze' what currently exists, undertake the identified change, and reconstitute the changes by institutionalising them or 'refreezing'. The second level provided processes that informed this framework, namely action research, force-field analysis, and group dynamics, each of which were in-part

characterised by elements of iteration which, to some extent, rebuke the key criticism of linearity to the management of change.

In the process of identifying and analysing thirteen widely recognised planned organisational change models characterised as being governance, structural and practice-based, the paper identifies those that are considered to be project orientated, resistance orientated and interpretive in nature. In each case, evidence has been provided linking the framework elements of Lewin, as well as, where appropriate, the process elements of Lewin, furthering the concluding proposition that many of these models developed since Lewin are in fact process refinements which provide guidance on implementation of the substantive framework. Viewed in this manner, these models are not unique characterisations of change on their own account; rather they can be viewed as the ‘how to’ of an enduring framework – Lewin’s three step model. This presents opportunities for organisation change researchers to challenge their thinking with regard the ongoing search for model refinement, and for practitioners in the design and structure of planned organisational change models, by considering the context of future research into these and how such research, which must continue to lay the foundations for practice-based frameworks, can enable effective organisational change.

This paper analysed a number of planned organisational change models that were generally regarded by practitioners and academics as models-in-use. In doing so, this represented a recognised limitation of this research which could be addressed by undertaking a systematic literature review which could then further inform the conclusions drawn in this paper.

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Figure 1 – A More Accurate Depiction of Lewin's Change Model

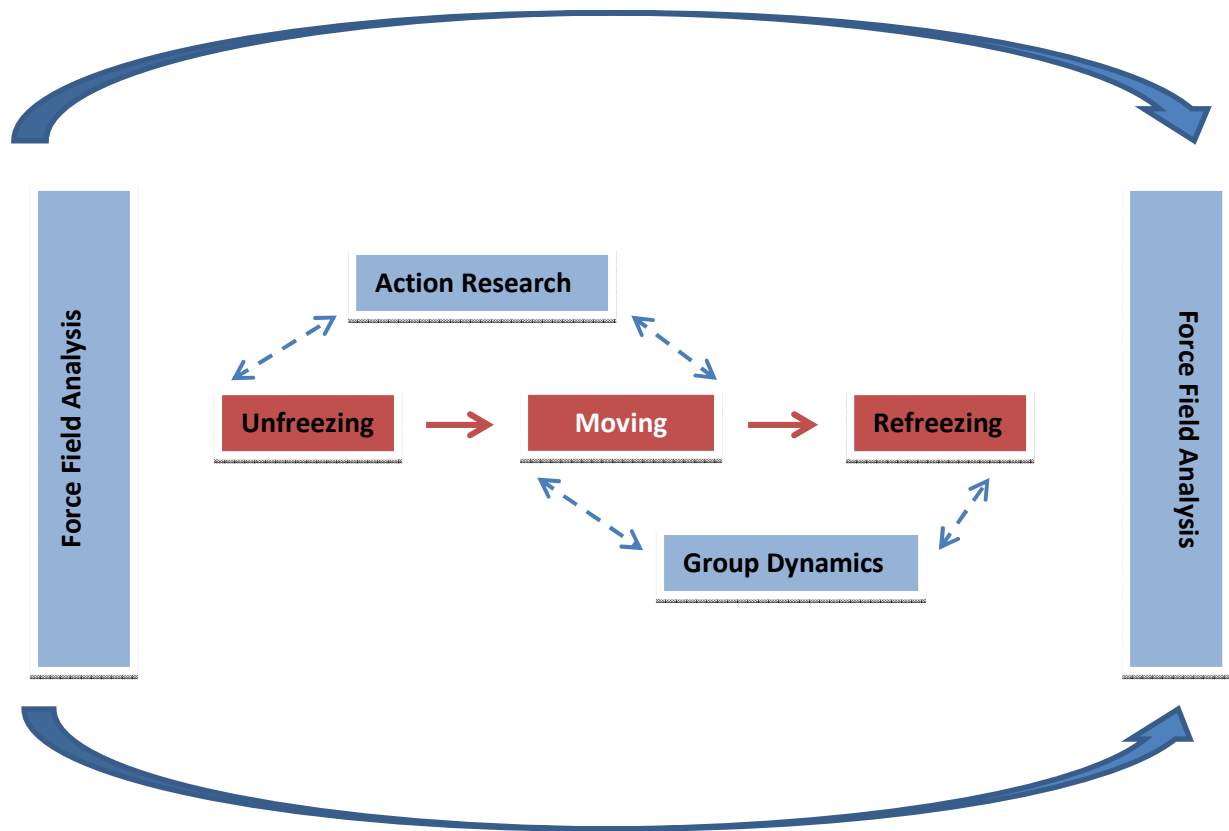


Figure 2 – The Evolution of Planned Organisation Change Models

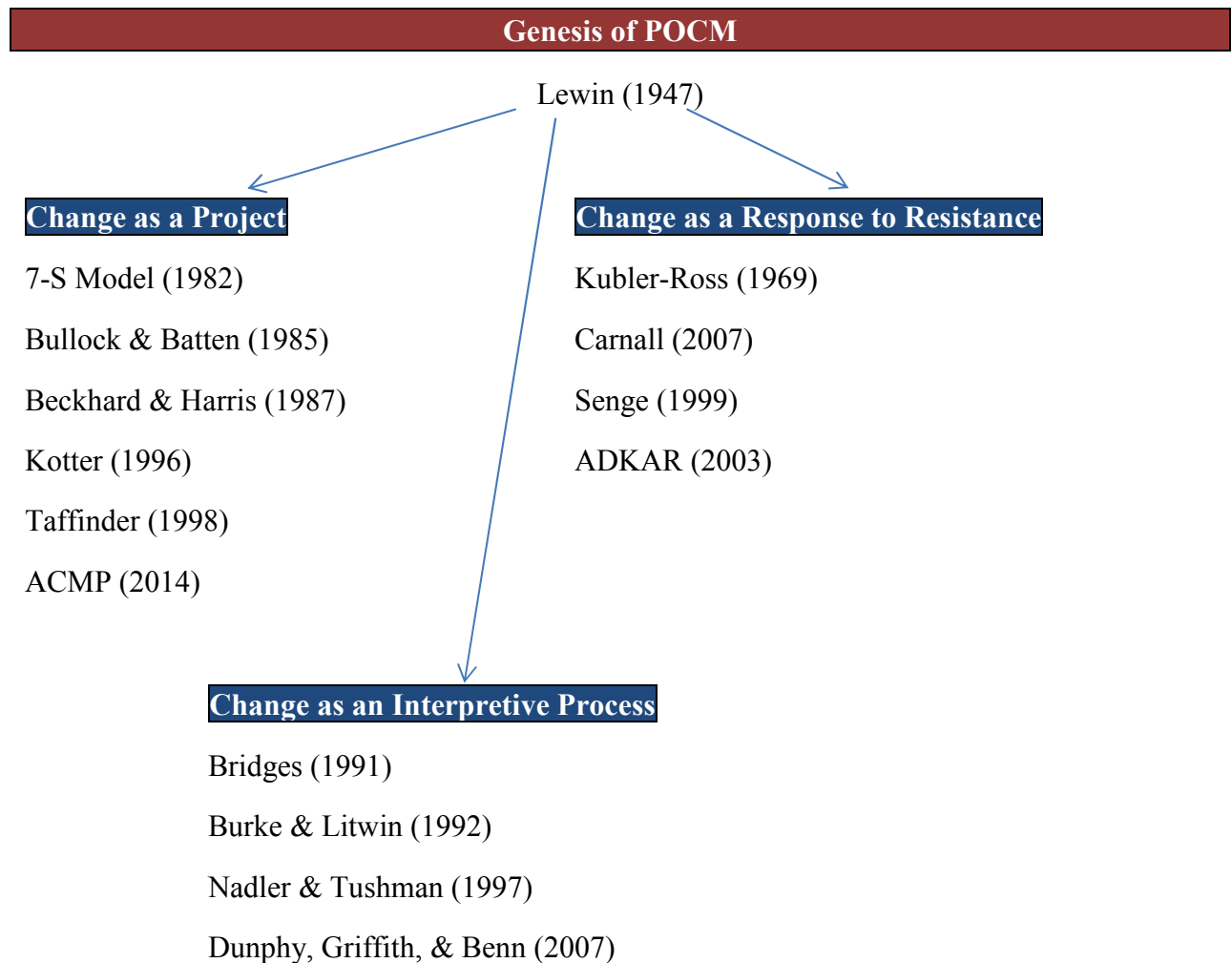


Figure 3 - The Operationalisation of Lewin's Change Model

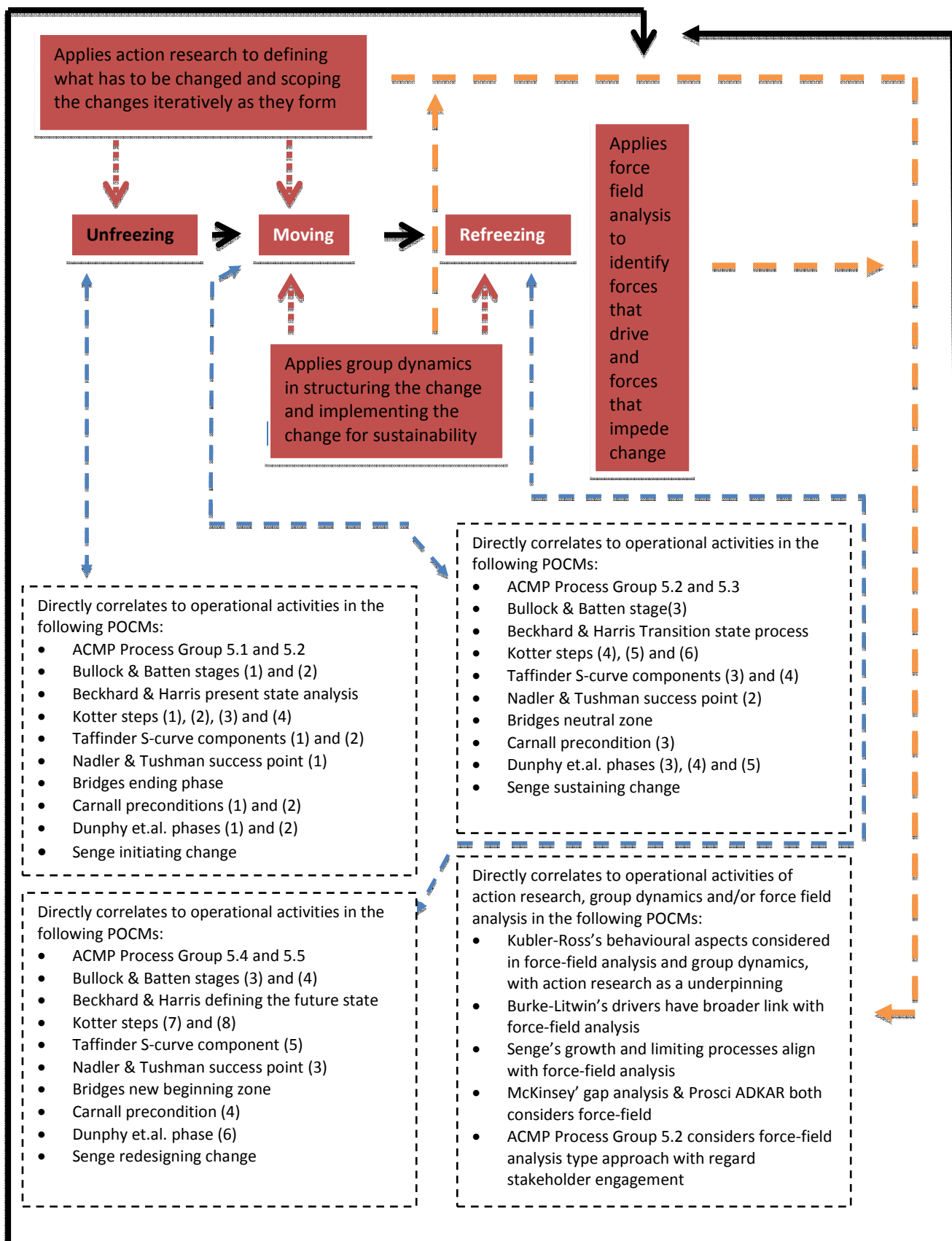


Table 1 – Key Governance Approach Researched-based Organisational Change Models

POCM	Authors	Defining Characteristics
Three Step Model	Lewin	Viewing change as a process of movement from the current stage to the end stage and underpinned by Force-Field Analysis, Action Research and Group Dynamics that support planned change(Lewin, 1947)
Phases of Planned Change	Bullock & Batten	Builds on a project management platform that sees change from a technical viewpoint, focusing on the four stages of exploring, planning, action, and integration(Bullock and Batten, 1985)
Change Formula	Beckhard & Harris	Formulaic approach that identified the elements of change and how these relate to each other to effect change, providing an operational framework for those involved in the change process by understanding a range of interdependent consideration points(Beckhard and Harris, 1987)
Eight Step Model	Kotter	Developed from research into 100 organisations undergoing change to determine lessons to be learned from them, converting these into a procedural approach to managing the process(Kotter, 1996)
Five Step Corporate Transformational Model	Taffinder	Somewhat similar approach to Kotter in the development of a procedural approach to transformational change resulting from an analysis of transformational changes in 30 multi-national companies (Taffinder, 1998)

Table 2 – Key Structural Approach Researched-based Organisational Change Models

POCM	Authors	Defining Characteristics
Change Curve	Kubler-Ross	Stems from her analysis of the five stages of grief recognising that people react emotionally to change in a similar way to the emotional reaction to grief, providing insights into possible organisational responses (Kubler-Ross, 1969)
Causal Model	Burke & Litwin	Considers the various drivers of change and ranks these, recognising external environmental factors as the most important followed by an additional eight factors which must be understood and dealt with in an integrated approach (Burke and Litwin, 1992)
Congruence Model	Nadler & Tushman	An ‘open-systems’ model that links organisational sub-systems with changes to the external environment that was meant to guide the thought processes of those involved in change rather than being a prescriptive approach (Nadler and Tushman, 1997)
Transitional Phase Model	Bridges	A phase model that has been applied to transformational style change that focuses attention on the end-game and moving beyond that from the current stage and in the process differentiating ‘planned change’ from ‘transition’ (Bridges, 1991)
Management of Transition Model	Carnall	Focuses on the key organisational management aspects of culture, politics, and management in the context of skills development (Carnall, 2007)
Systemic Model	Senge, Roberts, Ross, Roth, & Smith	A non-formulaic approach to understanding change, it focuses on the long-term sustainability issues and the renewal process itself which, at its base, considers notions of redesigning and rethinking change (Senge et al., 1999)
Sustainability Change Matrix	Dunphy, Griffiths, & Benn	Identifies a six phase process leading to organisational sustainability through change and focuses these as part of ‘Waves of Sustainability’ (Dunphy et al., 2007)

Table 3 – Key Practice-Based Organisational Change Models

POCM	Consulting Origin	Defining Characteristics
7-S Model	Peters & Waterman	Focused on assessing how well an organisation was positioned with a range of ‘soft’ and ‘hard’ skill attributes. Provided a dual focus of assessing organisation in current state as well as future state, providing the basis for better understanding the gaps that needed to be filled in order to achieve a desired outcome and change (Peters and Waterman, 1982)
ADKAR	Prosci Ltd.	Results orientated change management tool that maps a range of enablers of change to a list of management activities that when structured and implemented, respond to those enablers (Love and Spencer, 2003)

Table 4 – Analysis of Research-Based Governance Organisational Change Models

POCM	Key Features	Refinements by Author	Connection to Lewin's Model
Bullock & Batten	Aligned to a project management type approach. Applies a 4 stage process of (1) exploring the need for change and securing necessary resources (2) creation of detailed plans for change (3) actioning the plan including the development of feedback loops and (4) aligning the changes back into the organisation through developed policies and procedures		Exploration and Planning (1) & (2) are sub-sets of 'Unfreezing' as the latter must involve an in-depth understanding of current systems and processes which lead to an assessment of why change needs to take place and the resource issues that must be addressed, as well as the events and milestones that must be achieved from a project plan perspective. Actioning (3) equates to the 'Change' process itself whilst alignment (4) incorporates some of the activities associated with the institutionalisation processes of 'Refreezing'.
Kotter	A sequential eight-step process involving the formation of a guiding coalition, vision and strategy, communicating the vision, empowerment, generating short-term wins, consolidation and finally institutionalisation.		Establishing a sense of urgency (1) creating a guiding coalition (2) develop and communicate a clear shared vision (3) & (4), can be seen as components of the Unfreezing process considering Lewin's focus on " <i>open the shell of complacency</i> " (1947:330). Communicate (4) empowerment (5) and short-term wins (6) are positioned within the 'Change' process and evident in Lewin's focus on achieving " <i>group performance as the reaching of a different level</i> " (1947:330), whilst consolidating (7) and institutionalising (8) support the 'Refreezing' imperative as suggested in Lewin's commentary " <i>...that it does not suffice to define the objective of a planned change in group performance as the reaching of a different level. Permanency of the new level...should be included in the objective.</i> " (1947:330). In 2012 The Accelerate Program, based on two structures in one organisation designed to accelerate change and built on the original 8-step model, was developed by Kotter (Kotter, 2012)
Beckhard & Harris	Formulaic representation of change highlighting interdependencies where each component must be evident otherwise resistance will not be overcome. Represented		Mirrors Lewin's 3 Step Model, but places the emphasis on describing key states in the change process rather than detailed action points. These 'states' infer specific actions in order to move from one state to another. Introduces specifics with

	<p>by (A x B x D) > X where: A = dissatisfaction with status quo B = desirability of proposed change D = practicality of change X = cost of change</p> <p>The model is structured around an understanding of the present state and why change should occur, a transition state which represents the "...set of conditions and activities that the organization must go through to move from the present to the future." (1978:29), followed by the future state which reflects the destiny point that organisational leaders wish to attain.</p>		regards the role of leadership.No further refinements have been undertaken as of the date of this paper.
Taffinder	<p>A sequential eight-step 'action list' process derived from the key 'elements of human and organisational effort' of (1) awakening (2) conceiving the future (3) building the change agenda (4) delivering the big change (5) mastering the change.</p>		<p>The 'S-curve' has a corollary with Lewin with 'awakening' and 'conceiving the future' key components of unfreezing and '...<i>breaking open the shell of complacency</i>...' (1947:330). 'Building change' and 'delivering big change' forms the underlying elements of " ...<i>moving to the new level</i>..." (1947:330), whilst 'mastering the change' is closely linked to refreezing. Taffinder then moves into an enhanced action list which identifies a range of details actions that are seen as necessary in order to implement the process.No further refinements have been undertaken as of the date of this paper.</p>

Table 5 – Analysis of Structural Research-Based Organisational Change Models

POCM	Key Features	Connection to Lewin's Model
Kubler-Ross	Linked to earlier research regarding grieving and suggests that those experiencing change will react through shock, denial, frustration, depression, experiment, decision and finally integration. Understanding this from a change management perspective may predict responses and therefore enable appropriate interventions to be planned either before or during the change process.	Can be related to the ancillary aspects of Lewin's model, especially with regards the implications associated with force field analysis and group dynamics, especially when one considers the behavioural consideration of each of these. In this manner, morale and competence are impacted over the duration of the change process, in line with Lewin's discussions of personal impacts from changes to social habits. A common feature in both models is the focus on resistance. No further refinements have been undertaken as of the date of this paper.
Burke & Litwin	Highlights nine drivers of change in order of importance as (1) external environment (2) mission & strategy (3) leadership (4) culture (5) structure (6) work unit climate (7) task requirements and individual skills (8) individual needs and values, and (9) employee motivation	Understanding the drivers of change leads to an understanding of reactions to those drivers from a change agent's perspective. Whilst this model has no direct linkage to Lewin, the 'driver' approach can be viewed as informing specific actions that may be necessary in executing within each step, gaining clarity from an analysis of the forces that drive and inhibit change. No further refinements have been undertaken as of the date of this paper.
Nadler & Tushman	As an open systems model that focuses on the congruence of outputs associated with work, people, informal and formal organisational elements resulting directly from the interaction between the external and the internal environment	Within their open systems model, they identified key success points for change as (1) developing an understanding of the current state (2) articulating a clear vision of the future state, (3) guiding the organisation through a delicate transition period. These align closely with Lewin's model. No further refinements have been undertaken as of the date of this paper.
Bridges	Differentiates planned change from transition with the complexities of the latter being reflected in a three-phase process of ending, neutral zone and new beginning. In a similar approach to Taffinder, identifies specific action points that need to be considered for each of the phases.	Mirrors Lewin's Step Model but focuses more on how people feel during the change process. In this manner it provides a broad framework for the various communication elements during each of the phases. In 2004, whilst the model did not change, a heavier focus on transitional elements was identified (Bridges, 2004)
Carnall	Views change from a skills-based perspective suggesting that management must be able to (1) manage transitions (2) deal with culture, and (3) manage politics. In doing so the approach considers	Whilst the focus on skills within the organisation is predominant, the preconditions identified have a correlation with aspects of Lewin in that building awareness and building the case for change closely align with activities that form part of unfreezing, whilst mobilising support for change

	a multiple preconditions for change success focusing (i) building awareness (ii) building the case for change (iii) broadening and mobilising support for change, and (iv) crystallising the vision.	has application in both unfreezing and moving. Crystallising the vision reflects attributes of both moving and refreezing. No further refinements have been undertaken as of the date of this paper.
Senge et al.	Consider change by viewing organisations more as biological organisms and accordingly considers reactions to changes within that biological context. In this context the systemic model focuses on the issues which need to be considered in initiating, sustaining and redesigning change.	Alignment with Lewin stems more from the consideration of forces and challenges that may impede progress which underpins the concept of the “... <i>dance of change</i> ... [which highlights] <i>the inevitable interplay between growth processes and limiting processes</i> .” (1999:10), implying correlation with Lewin’s force field analysis process. No further refinements have been undertaken as of the date of this paper.
Dunphy, Griffiths, & Benn	Identifies a six-phase process within ‘waves’ of sustainability. The first wave is identified through (1) opposition, and (2) ignorance. The second wave is identified through (3) risk (4) cost, and (5) competitive advantage. Finally the third wave is identified through (6) transformation. Within this construct they further suggest an eight-step process for incremental change and a ten-step process for transformational change	The ‘waves’ relate closely to the Three Step Model where in Step 1 opposition and ignorance is addressed during the course of unfreezing. Compliance, efficiency and strategic pro-activity is dealt with during the movement step, and finally, sustainability issues are addressed during the refreezing. No further refinements have been undertaken as of the date of this paper.

Table 6 – Analysis of Key Practice-Based Structural Organisational Change Models

POCM	Key Features	Connection to Lewin's Model
McKinsey	Identifies what are considered to be relevant 'hard' and 'soft' elements seen as interdependent factors that when considered in this manner, underpin an organisation's ability to achieve intended objectives. Hard elements include Strategy, Structure, and Systems whilst soft elements include Shared Values, Skills, Style, and Staff. Within each of these elements exists a range of questions which identify, through the application of a specified matrix, gaps which need to be addressed in order to achieve the desired outcome.	Whilst the connection with Lewin is less than obvious from the perspective of considering the elements and interdependent factors, appreciating the need to understand the current state before moving to subsequent positions is consistent with the refreezing and moving approach. No further refinements have been undertaken as of the date of this paper.
Prosci	ADKAR is the acronym for Awareness of the need for change, Desire to participate and support the change, Knowledge on how to change, Ability to implement required skills and behaviours, and Reinforcement to sustain the change.	The model maps up to 25 enablers and management activities that support the ADKAR elements and in this manner it is primarily used as a resistance management tool as well as an assessment process to help change management teams organise their work, which is coordinated through a change agent. When viewed in the light of diagnosing the root cause of resistance then focusing on communications and identifying the barrier points to change, it has strong connections to Lewin's force-field analysis. No further refinements have been undertaken as of the date of this paper.
Association of Change Management Professionals (ACMP)	Identifies a 'Standard for Change Management' (SFCM) as part of a formal accreditation process for change management professionals. It recognises change as a transitional process moving from an organisation's current state through to its future state, identifying the transitional, process that connects these. In the process of doing so it considers a wide range of 'Change Management Process Groups' that must be considered in movement from the current state, transitional state and through to the future state.	Elements of the Change Management Process Groups have direct linkages with Lewin's change model. The SFCM identifies 5 such Process Groups which, as a procedural process, address the following: <ul style="list-style-type: none"> • "5.1 - Evaluate change impact and organizational readiness • 5.2 - Formulate the change management strategy • 5.3 - Develop the change management plan • 5.4 - Execute the change management plan, and • 5.5 - Complete the change management plan" . (ACMP, 2014) Lewin's Unfreezing step links with 5.1 and the entry points of 5.2, whilst the Moving step continues 5.2 as well as incorporating 5.3. 5.4 and 5.5 embodies the Refreezing step.

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