

Change Theories: A Very Brief Overview

Kotter's 8-Step Process for Leading Change

Curious why 70% of organisations fail to execute their strategies and only 5% meet themⁱ, in 1972 Harvard Business School Professor Dr Kotter researched more than 100 companies undergoing transformation. The answer? A failure to apply a consistent, holistic approach to change. Kotter identified why change fails and the eight step-solution to success:

1. Too much complacency > CREATE a sense of urgency
2. No sustainable coalition > BUILD the guiding coalition
3. No understanding of a need for a vision > FORM a change vision
4. Failure to communicate vision > ENLIST a volunteer army
5. Allowing obstacles to hinder vision > ENABLE action by removing barriers
6. Not planning for short-term wins > GENERATE short-term wins
7. Declaring a victory too soon > SUSTAIN acceleration
8. Failure to consolidate change in the culture > INSTITUTE change

More recently, Kotter International enhanced the eight-step process in *Accelerate*ⁱⁱ (2014) to adapt the principles to our faster, ever-changing business world and our increasing need to keep up (see Fig.1)

<i>Leading Changes's 8-Step Process (1996)</i>	<i>Accelerate's 8-Step Process (2014)</i>
Respond to or affect episodic change in rigid, finite, and sequential ways	Run the steps concurrently and continuously
Drive change with a small, powerful core group	Form a large volunteer army from up, down and across the organization to serve as the change engine
Function within a traditional hierarchy	Function in a network flexibly and agilely outside, but in conjunction with, a traditional hierarchy
Focus on doing one new thing very well in a linear fashion over time	Constantly seek opportunities, identify initiatives to capitalize on them, and complete them quickly

Fig. 1. *Accelerate's* guiding principles show adaption to a faster, more fluid world. ⁱⁱⁱ

Further reading

Accelerate (XLR8) by John P Kotter (Harvard Business Review Publishing, April 2014)

Download the free e-book *8 Steps to Accelerate Change in 2015*:

<http://www.kotterinternational.com/resources/landing-page/8-steps-to-accelerate-change-in-2015/>

Logic modelling

A logic model can be used to support activities such as planning, management, communication, consensus-building and fundraising.

A logic model can be described as a graphic, a road map, a framework for action, a causal chain, a blueprint for change – essentially, a good logic model will present a picture of how your initiative is supposed to work and make an explicit, often visual, statement of the activities that will bring about change and expected results. A logic model can be used to evaluate a programme, initiative, project or an organisation’s complete work.

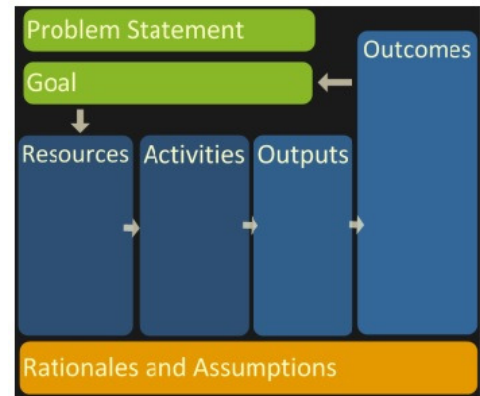


Fig.2. Typical components of a logic model^{iv}

The logic model’s underlying purpose is to assess the “if-then” causal relationships between components: “if resources are available to the program, **then** programme activities can be implemented; if programme activities are implemented successfully, **then** certain outputs and outcomes can be expected.”



Fig. 3 The casual links in a logic model^v

Further reading

A DIY guide to logic modelling from US non-profit Innovation Network:

http://www.innonet.org/client_docs/File/logic_model_workbook.pdf

Further planning and evaluation tools from Innovation Network: www.innonet.org

A logic model from Harvard that uses a family/school partnership program:

<http://www.hfrp.org/publications-resources/browse-our-publications/learning-from-logic-models-an-example-of-a-family-school-partnership-program>

See the Museums Association’s logic model template for their Effective Collections programme:

<http://www.museumsassociation.org/download?id=715047>

The National Museums of Scotland used a logic model for their Old Tools New Uses project, whose long-term outcomes were to achieve culture change across the Scottish/UK museum sector:

<http://www.museumsassociation.org/download?id=715048>

See how Slough Museum used the Museums Association logic model template for their Effective Collections project: <http://www.museumsassociation.org/download?id=715049>

Kurt Lewin: Three-stage model and Force Field Analysis

Kurt Lewin (1890-1947) considered the founder of social psychology, identified three stages to necessitate change with the analogy of the organisation as a block of ice – **unfreeze** (preparing for change, overcoming inertia and dismantling the existing mind-set); **change** (implementation, confusion, transition); and **refreeze** (institutionalising change and making it permanent).^{vi}

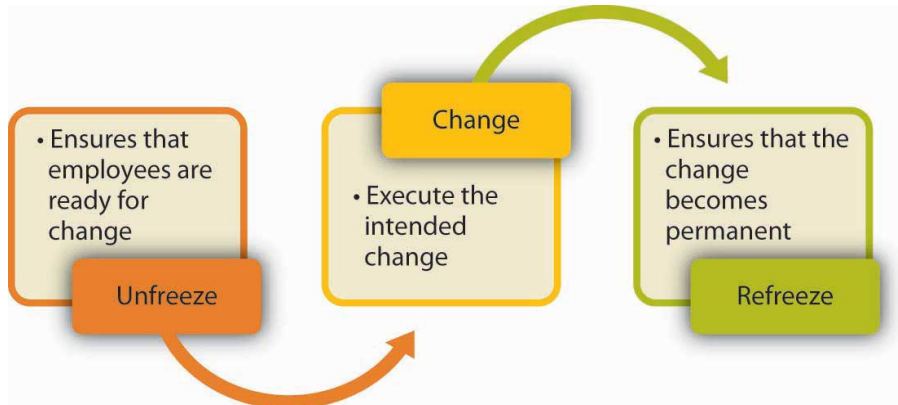


Fig. 4 Lewin's three-stage model of change.^{vii}

Lewin's critics point out that education and change could become limited within its tight framework and that it is perhaps more suitable for smaller, short-term goals, rather than large, fundamental shifts within an organisation.

Lewin's Force Field Analysis proposed that: "An issue is held in balance by the interaction of two opposing sets of forces – those seeking to promote change (driving forces) and those attempting to maintain the status quo (restraining forces)". For change to occur, Lewin maintained, this balance must be disturbed – either by increasing the driving, positive forces for change or by reducing restraining forces.

Many organisations complete a force field analysis to identify influences and situations that work for and against the desired change and use it as a practical change model.

Further reading

For Lewin's three-phase model of change applied to the museum sector go to Richard Sandell's paper "Social inclusion, the museum and the dynamics of sectoral change":

<http://www2.le.ac.uk/departments/museumstudies/museumsociety/documents/volumes/mands4.pdf>

Force Field Analysis as a decision-making technique with a downloadable worksheet:

www.mindtools.com/rs/ForceField

Appreciative Inquiry

A post-Lewin theory of organisational change, Appreciative Inquiry (AI) was born of a seminal 1987 article by David Cooperrider and Suresh Srivastva and further developed by colleagues at Case Western Reserve University from 1980-1986. They argued that 'problem-solving' as a tool for social innovation was unhelpful and possibly counterproductive. Organisations, they said, tend to move towards their line of inquiry – if the organisation focuses on problems, then these problems might grow. In the same way, groups that study aspirations, best practices and successful collaborations usually flourish. AI therefore deliberately asks positive questions to inspire positive action.

The Problem-Solving Approach	The Appreciative Inquiry Approach
There is some ideal way for things to be.	The way things are are socially constructed by our system and can be changed
If a situation is not as we would like it to be, then it is a "problem" to be solved.	In any situation, we can find the seeds of excellence to build on.
The way to solve a problem is to break it into parts and analyse it.	We build excellence by seeking out examples and sharing stories of exceptional performance throughout our system.
If we find a broken part and fix it, the whole will be fixed.	As we create images of excellence, our system will move toward that image.

Fig. 5 The comparison between traditional problem-solving approach and AI approach. ^{viii}

AI's framework for change or development, the 5-D cycle can be viewed as:

1. **Definition** Choose the focus of inquiry and reframe affirmatively
2. **Discovery** Assess the organisation's strengths, capabilities, resources and assets – its 'positive core'
3. **Dream** Explore hopes and dreams of the ideal organisation – creative images and positivity statements
4. **Design** Constructing in detail the vision explored in the dream phase
5. **Destiny** Organisational commitments and innovative paths forward

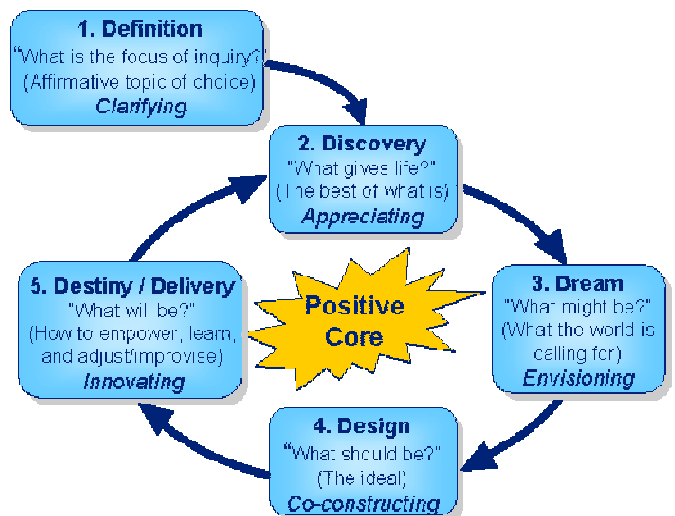


Fig. 6 The 5-D cycle of AI ^{ix}

Further reading

Appreciative Inquiry: A Positive Revolution in Change by David L. Cooperrider and Diana Whitney (Berrett-Koehler, 2005)

Kübler-Ross Change Curve

Elisabeth Kübler-Ross was a Swiss psychiatrist who studied the various stages of emotions experienced by a person approaching death^x. The principles behind her five stages of grief have been successfully applied by businesses and organisations to cases and situations relating to change. There may be a brilliant, transformative revision of an organisation's systems and policies, but without understanding how employees deal with and face change (that can be traumatic, frightening and involve a loss of prestige/power), organisational change can be blocked. Understanding employee emotion and reaction to change can enable organisations to support their workforce and move towards success.

Here are Kübler-Ross's five stages of grief and their business world application^{xi}. The stages are not always experienced in this order; some employees may become 'stuck' at one of the stages; and not everyone experiences all of these stages of emotion but at least two are usually present:

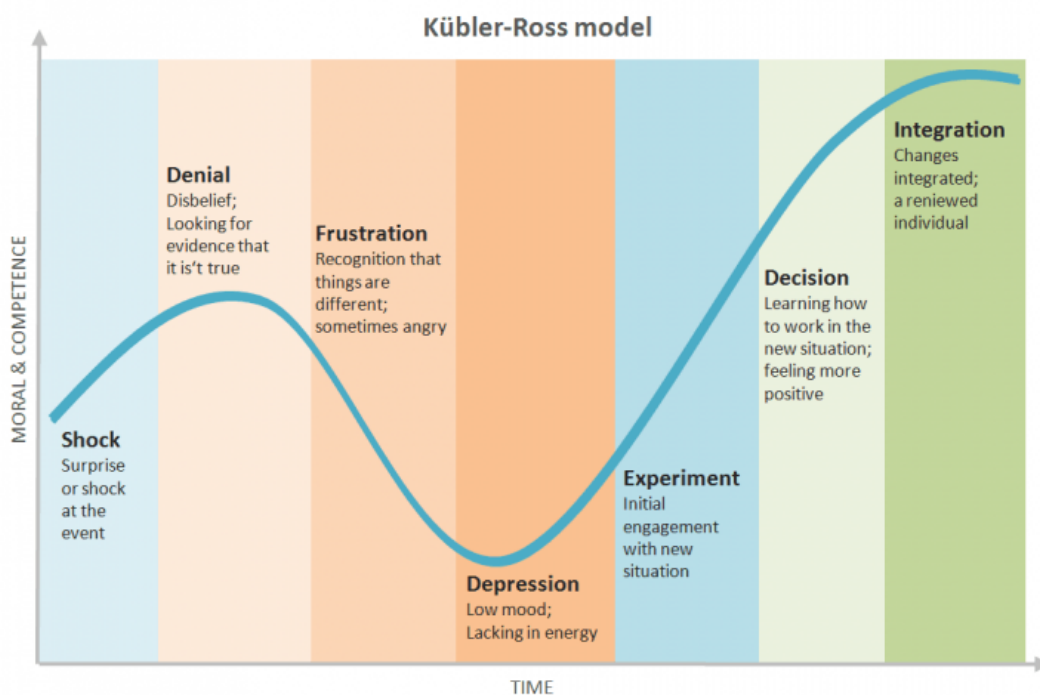


Fig 8. The Kübler-Ross model of change: ^{xii}

- **Denial** > Employee in shock, unable to process change, good communication by organisation essential in answering employee questions and helping them to understand the reason for change.
- **Anger** > Reality becomes clear, employee may feel anger, resentment and fear of being out of comfort zone. Organisations need to manage these emotions with careful planning.
- **Bargaining** > Employee understands change and realises they have to adapt; may only choose to learn what they deem important rather than entire training package. Employer should not rush learning or expect 100% productivity.
- **Depression** > Employees realise there is no way out of change process. Low morale and energy. Employer would do well to make training as exciting as possible.
- **Acceptance** > This is the goal employers hold out for. Employee embracing change, looking for new opportunities and building new hopes. Productivity and profits begin to improve.

Further reading: https://www.mindtools.com/pages/article/newPPM_96.htm

Soft Systems Methodology

Soft Systems Methodology (SSM) was developed by Peter Checkland and colleagues at the University of Lancaster in the 1970s and 1980s to deal with the complexity of management problems. It has been successfully applied in large and small organisations, from multi-national corporations and public bodies to schools and museums.

In any situation where 'what to do' is unclear and problematic, SSM can provide a logical, structured approach – it treats 'what to do' as well as 'how to do it' as part of the problem-situation. In this way it differs from other approaches where there already exists a defined need or objective.

SSM is basically a modelling approach. It compares pure models of purposeful activity with perceptions of what is actually happening in a real-world problem situation. The purpose of the comparison is to show the options for change, by providing a structure for debate about possible changes defined by the difference between the models and real-world activities.

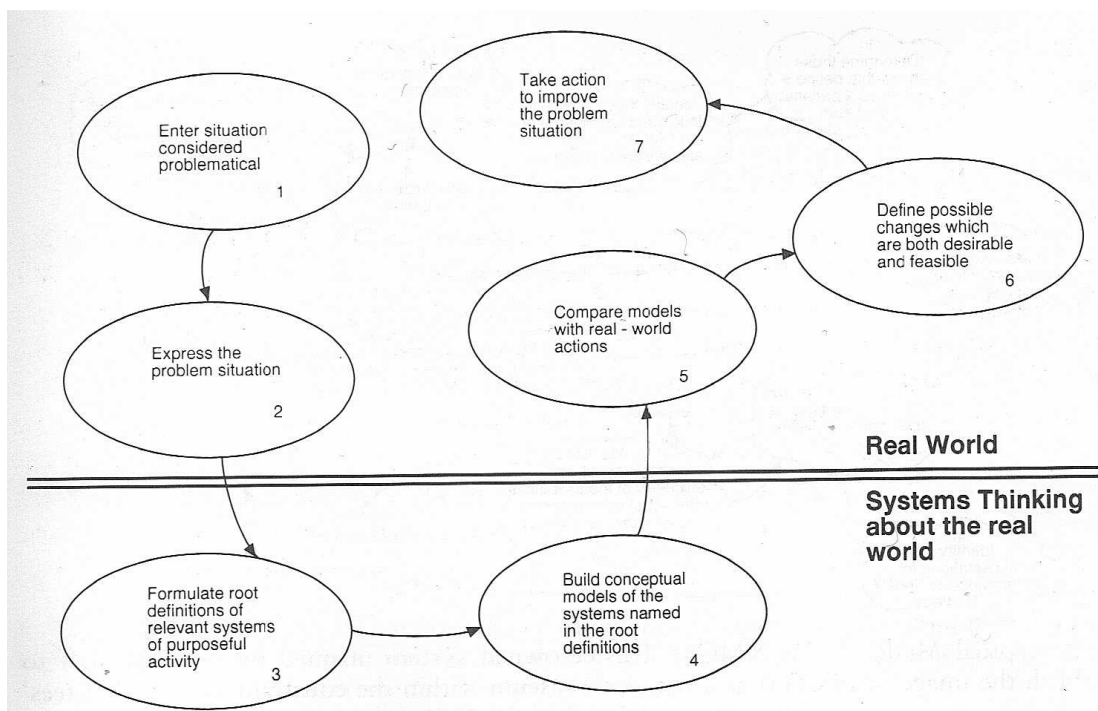


Fig.7: The learning cycle of SSMⁱⁱⁱ

Museums are a classic example of organisations in which objectives are not immediately clear and where there are multiple, and possibly contradictory, user perceptions. SSM is a useful tool in such situations, particularly since it relies on the direct involvement of the people concerned in any problem-situation in a debate about feasible and desirable changes.

Further reading

Piotr Bienkowski. "Soft Systems in Museums: A Case Study of Exhibition Planning and Implementation Processes." Pp. 233-50 in *Museum Management and Curatorship* 13 (1994)

Systems Thinking, Systems Practice by Peter Checkland (John Wiley and Sons, 1981)

Systems: Concepts, Methodologies, and Applications by Brian Wilson (John Wiley and Sons, 1984)

Pettigrew and Whipp

Pettigrew and Whipp's 1991 report *Managing for Competitive Success*^{xiv} distinguishes between three dimensions of strategic change:

CONTENT	objectives, purpose and goals of the strategy	WHAT?
PROCESS	the implementation of the strategy	HOW?
CONTEXT	the internal, e.g., management decisions, and external environment, e.g. competition, in which the strategy operates	WHERE?

In addition, the authors identified five key interrelated factors that make up successful strategic change:^{xv}

- **Environmental assessment** > Using open-learning systems to continuously monitor the organisation's internal and external environment.
- **Human resources as assets and liabilities** > Employees should have awareness that they are valuable and should play a central part in change.
- **Linking strategic and operational change** > Intentions are implemented through time. Bundling of operational activities is powerful and can lead to new strategic changes.
- **Leading change** > Move the organisation forward; create the right climate for change; co-ordinating activities; steering. Set the agenda not only for the direction of the change, but also for the right vision and values.
- **Overall coherence** > Pulling the other four factors together – the change strategy should be consistent (clear goals), consonant (with its environment), be feasible and give a competitive edge.

Further reading

Managing Change for Competitive Success (ESRC Competitiveness) by Andrew Pettigrew and Richard Whipp. (Blackwell Publishers, 1991).

The Burke-Litwin Causal Model

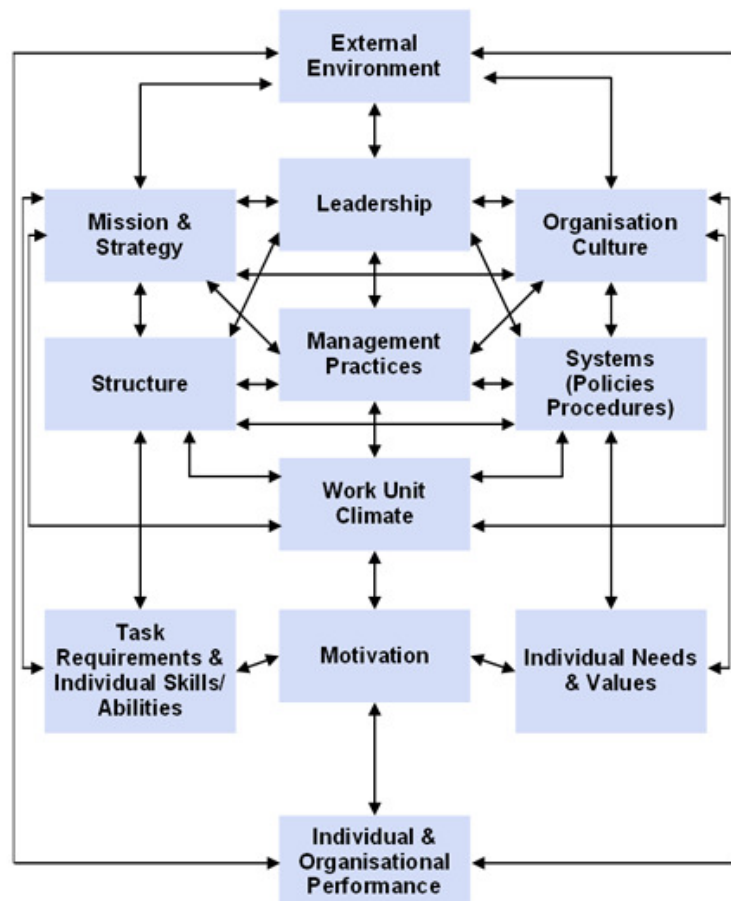
The external environment is the main factor in change according to the Burke-Litwin model. In their 1992 paper, “A Causal Model of Organisation Performance and Change”,^{xvi} Burke and Litwin suggested that all drivers of change are integrated, and so a change in one area would mean a change in another. The authors were interested in how organisations work during the chaos of change, and concluded that transformative change happens in response to the external environment, which has a direct impact upon the mission, strategy, leadership and culture of the organisation.^{xvii}

The changing external environment has a direct impact on an organisation’s core values of:

- Mission
- Strategy
- Leadership
- Culture

Elements of an organisation that are more easily changed but have less impact are:

- Structure
- Systems
- Work climate
- Management practices
- Individual skills



ig 7. The Burke-Litwin change model with the most important to least important drivers of change ranked from the top down.^{xviii}

Ultimately, the effectiveness of change can be measured by its effect on performance. A better understanding of the dynamics of change will result in better change management.^{xix}

Further reading

A look at the Burke-Lewin model from Exeter University:

http://www.exeter.ac.uk/media/universityofexeter/humanresources/documents/learningdevelopment/understanding_drivers_for_change.pdf

Theory of Change

It may sound like the definitive answer to managing change but, in fact, the Theory of Change (TOC) is simply another approach. It can be summed up as “the product of a series of critical-thinking exercises that provides a comprehensive picture of the early- and intermediate-term changes in a given community that are needed to reach a long-term goal articulated by the community.”^{xx} A TOC can be a very useful tool to identify what steps need to be taken to achieve a long-term goal, articulate the goal clearly, assess the time and resources available and document it systematically.

Once the TOC process has been used to identify a desired outcome, “a logic model can be used to explain how that outcome will be produced. The TOC summarises work at a strategic level, while a logic model would be used to illustrate the tactical, or programme-level, understanding of the change process.”^{xxi}

The steps to creating a theory of change: ^{xxii}

1. Identify a long-term goal.
2. Conduct “backwards mapping” to identify the preconditions necessary to achieve that goal.
3. Identify the interventions that your initiative will perform to create these preconditions.
4. Develop indicators for each precondition that will be used to assess the performance of the interventions.
5. Write a narrative that can be used to summarize the various moving parts in your theory.

Further reading

TOC tools and training materials are available on the Theory of Change website, a joint venture between the Roundtable and ActKnowledge: www.theoryofchange.org

The ADKAR Model

A goal-orientated change management tool developed for business by US research centre Prosci, the ADKAR model focuses on preparing, supporting and equipping employees to handle change. It identifies five essential ingredients for change to occur:

Awareness > The building block that helps one understand why change is important and needed.

Desire > The desire to be a part of change and support it.

Knowledge > The desire is incomplete without knowing how change can be brought about.

Ability > Even having the desire to change and the knowledge to bring about this change, things can be in vain if the individual does not have the ability to grow with it.

Reinforcement > This building block is important to sustain the change.^{xxiii}

Further reading

The official website of the ADKAR change management theory and its practical applications:

<https://www.prosci.com/adkar/adkar-model>

Download e-book: <https://www.prosci.com/adkar/adkar-model>

Special thanks to Victoria Hollow, whose unpublished paper below inspired this guide:
Hollows, Victoria L.C. 2012. "Trust in the Museum: Aligning the Organisation's Ethical Values Internally and Externally." Unpublished: University of Leicester School of Museum Studies.

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^{ix} Susan Donnan. 2005. "What is Appreciative Inquiry?" www.metavolution.com.
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^x Kübler-Ross, Elisabeth. 1969. *On Death and Dying*. New York: Macmillan.

^{xi} Cleverism. "Understanding the Kubler-Ross Change Curve." www.cleverism.com
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^{xii} Cleverism. "Understanding the Kubler-Ross Change Curve." www.cleverism.com
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REFERENCE EXPLANATION

Book example:

Author(s) Publication date Title Place of publication Publisher

Kotter, John P. 1996. *Leading Change*. Boston: Harvard Business School Press.

Journal example:

Author(s) Publication date Article title Journal title

Anderson, Andrea. 2005. "An Introduction to Theory of Change". *The Evaluation Exchange*.

Publisher Volume and issue number

Harvard Family Research Project. Vol 11, No 2.

Online article example:

Author or website owner Page title Website title

The Center for the Theory of Change. "What is Theory of Change?". www.theoryofchange.org

Web address Date website visited

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