

PLANNED ORGANIZATIONAL CHANGE MODELS: REVIEW AND SYNTHESIS

NEBOJŠA JANIĆIJEVIĆ

University of Belgrade, Faculty of Economics
E-mail: jnebojsa@eunet.rs

Abstract - In the contemporary, turbulent business environment, organizations are compelled to undergo frequent and increasingly radical changes. Organizational changes are inherently uncertain and consume organizational resources, necessitating their efficient implementation. Models of planned organizational change represent a set of activities that must be carried out in a specific sequence to ensure that planned changes are executed effectively. A review of the most frequently cited models of planned organizational change in the literature reveals significant overlaps among them, allowing for their synthesis. This paper synthesizes 10 models of planned organizational change, resulting in the identification of 11 activities that most commonly appear—albeit in various forms—across the analyzed models, generally following a similar sequence.

Keywords - Organization, Change Model, Planned Organizational Changes, Analysis, Synthesis

I. INTRODUCTION

Operating in circumstances of globalization, technological development, political changes, and unforeseen disruptive events such as pandemics and wars, modern companies are forced to undergo frequent organizational changes. However, organizational changes are expensive, risky, and related to many negative consequences for the organization and its members. Therefore, company management strives to conduct them quickly and efficiently and approaches them systematically and deliberately.

Planned organizational changes are a set of deliberate activities undertaken by the company's management to move the organization from its present state to a desired future state [1]. Planned organizational changes are very complex and involve many activities and participants, and they occur in constantly changing conditions, so their success is highly questionable. According to some studies, only one-third of the planned organizational changes projects are successful [2]. The science of organizational change is in the pre-paradigmatic phase of development [3] and contains a large number of epistemologically and ontologically different theories, concepts, and models. Theories and concepts aim to reveal the nature of organizational change and mainly try to answer three basic questions: why, what and how? This identifies three key components of planned organizational change, respectively: change goal, change content, and change process. Models of organizational change are practical guidelines for managing planned organizational changes. Here, planned organizational change is understood as moving the organization from a present state to a desired future state through deliberate, planned management actions.

A model of planned organizational changes is a set of prescriptions that must be taken into consideration in

order for management to be able to successfully initiate, lead, and implement organizational changes. There are two key issues: which actions need to be taken and in which order. Plenty of planned organizational change models can be found in the literature, most of them without empirical support. Authors of planned organizational change models are usually university researchers (professors), consultants, or a combination of both. Models of planned organizational changes are based on organizational change theories, but they are also founded on personal experience of authors, especially if they are consultants.

Even a cursory review of numerous models of planned organizational change in the literature shows that they converge, and also that there is a high degree of overlapping between them – the same or similar activities appear in most models, and also, they tend to appear in a similar order. One of the reasons for this is that all models of planned organizational change are based on the seminal work of Kurt Lewin [4] and his three-phase model (unfreezing-move-refreezing). All subsequent models have further developed Lewin's initial model.

Such a state calls for synthesis: identifying what type of activities take place in planned organizational changes and the order in which they take place that are common to most models. The aim of this research is to identify common activities and interventions of planned organizational changes.

II THE REVIEW OF LITERATURE

The first step in identifying common activities and interventions of planned organizational change is selecting among models of planned organizational change that will be analyzed and compared. The choice of the models of planned organizational change, which will be included in the analysis and

synthesis, was made based on a review done by Stouten, Rousseau and De Cremer [1]. They based their choice on the number of citations in WoS (from 401 to 23,300), Google web hits (from 60,300 to 4,800,000) and their conversations with managers and consultants. The Stouten and associates' selection contained 7 planned organizational changes models: Lewin's Three-Phase Model [4], Beer et al.'s Six Step Model [5], Kotter's Eight Step Model [6], Judson's Five Stage Model [7], Kanter et al.'s Ten Commandments Model [8], Cooperrider and Srivastva's Appreciative Inquiry [9], Hiatt's ADKAR model [10]. Based on some other reliable reviews of the models of planned organizational change [11], [12], [13], as well as on the author's own insights [14], four more models were added to the analysis: the model that Stouten and associates made themselves, Nadler's 12 steps model [15], Pendlebury, Grouard, Meston's 10 key factors model [16], and USAID best practice in change management model [17].

The analysis and synthesis of models of planned organizational change included just 10 models, because Lewin's three-phase model was excluded, since it is the source model of all other models: Appreciative inquiry [9], Beer's six step model [5], Judson's five stage model [7], Kanter, Stein, Jick's 10 commandments model [8], Kotter's eight step model [6], Nadler's 12 step model [15], ADKAR model (2006), Pendlebury, Grouard, Meston's 10 key factors model [16], USAID model [17], Stouten, Rousseau, De Cremer's model [1].

Appreciative inquiry model contains four steps in the following order [9]: 1. Discovery: comprises thinking about what functions well in the current organization and what factors contribute to this success. This step identifies the best of "what is" currently working well within the organization; 2. Dream: encourages employees to think about their "ideal" new features that would make the organization even better. This step involves imagining a positive future of "what might be"; 3. Design: reaches a shared vision or value that the team or participants see as having real, positive potential. This step determines "what should be", that is, how to achieve the envisioned future; 4. Destiny: involves creating change plans to enable these "dreams" and taking action to execute them. This step captures "what will be", that is, what we will do to achieve our vision and make our dreams a reality.

Beer's six step model [5] assumes the following steps in planned organizational change: 1. An accurate diagnosis of the problem situation, which in turn helps mobilize commitment to the change; 2. A vision of change should then be developed; 3. Consensus in support of this new vision needs to be established, a step involving communicating the vision to stakeholders. 4. The change should now be

implemented and spread throughout the organization through the involvement of stakeholders; 5. The change should then be institutionalized, that is, integrated with formal structures and systems. 6. The change should be monitored and adjusted as needed. Judson's five stage model [7] consists of the following five steps in the change process: 1. Analyzing and planning the change; 2. Communicating about the change; 3. Gaining acceptance for the required changes particularly in behavior; 4. Making the initial transition from the status quo to the new situation; 5. Consolidating the new conditions and continuing to follow-up to institutionalize the change.

Kanter, Stein, Jick's ten commandments for effective change management are [8]: 1. Analyze the organization's need for change; 2. Create a shared vision; 3. Separate from the past; 4. Create a sense of urgency; 5. Support a strong leadership role; 6. Line up political sponsorship; 7. Craft an implementation plan; 8. Develop enabling structures; 9. Communicate and involve people; 10. Reinforce and institutionalize the change.

Kotter's eight step model [6] includes the following steps of planned organizational changes: 1. Establishing a sense of urgency; 2. Forming a guiding coalition; 3. Developing the change vision; 4. Communicating this vision to employees; 5. The coalition (and employees) is involved in the change process by developing change plans; 6. Creating short-term wins to reinforce the change implementation; 7. Consolidation stage which strengthens and continues the change by making additional changes; 8. Institutionalizing the change by integrating it with the organization's structures and systems.

Nadler's 12 steps model [15] contains the following elements: 1. Get the support of key power groups; 2. Get leaders to model change behavior; 3. Use symbols and language; 4. Define areas of stability; 5. Surface dissatisfaction with the present conditions; 6. Promote participation in change; 7. Reward behavior that support change; 8. Disengage from the old; 9. Develop and clearly communicate an image of the future; 10. Use multiple leverage points; 11. Develop transition management arrangements; 12. Create feedback. Pendlebury, Grouard, Meston 10 factors model [16] includes the following factors: 1. Define the vision; 2. Mobilize people; 3. Catalyze energy; 4. Steer changes; 5. Deliver results; 6. Obtain participation; 7. Handle emotions; 8. Handle power; 9. Train and coach; 10. Actively communicate.

Hiatt's ADKAR model [10] assumes the following change phases: 1. Awareness of the need for change – the reasons for the change are described; 2. Desire and willingness to support and participate in the change – a decision is made to support these changes, which are

achieved only if they are understood as necessary; 3. Knowledge of how to change –knowledge is formed about how exactly it is necessary to conduct the change and what should be changed, and also contains the knowledge and skills necessary for conducting the changes ; 4. Ability to implement change –ensuring that the organization is ready and prepared for the change, and has robust plans in place for any issues, testing and preparation are key to this stage; 5. Reinforce change –monitoring the change process, resolving any major issues, and supporting the business to fully embed the change into the day-to-day operations.

Change model developed by USAID [17] consist of 7 steps: 1. Establish a vision – the vision should be clear, simple, and relevant; 2. Involve senior leadership – leaders must be committed and involved in the change process, 3. Develop a change management plan – the plan should be detailed and specific; 4. Engage stakeholders – their involvement is crucial and it creates a sense of ownership; 5. Communication at all levels – this is one of the most important steps in successful change management process; 6. Create infrastructure to support adoption – this involves organizational structure, and its policies, procedures and systems; 7. Measure progress – it needs to be built in the planning process, since this helps to institutionalize the change and reiterate its purpose.

Finally, Stouten with his associates summarized many of these change models and came up with their own model[1], which consists of the following steps: 1. Assess the opportunity or problem motivating the change; 2. Select and support a guiding change coalition; 3. Formulate a clear compelling vision of the change; 4. Communicate the vision; 5. Mobilize energy for change; 6. Empower others to act; 7. Develop and promote change-related knowledge and ability; 8. Identify short-term wins and use as reinforcement of change progress; 9. Monitor and strengthen the change process over time; 10. Institutionalize change in company culture, practices, and management succession.

III SYNTHESIS OF PLANNED ORGANIZATIONAL CHANGE MODELS

The analysis of the previously discussed planned organizational change models resulted in 11 essentially different activities that are common to most models and through which the analyzed models overlap. These activities provide a synthesized set of recommendations for management from various models, outlining the activities necessary for effectively implementing organizational changes. These activities can be classified into Lewin's three phases of planned organizational change[4]. The sequence of activities is tentative since the activities themselves vary across models, and because several

activities can take place simultaneously. In the remaining part of the text, the activities of managing planned organizational change that appear in most models of planned organizational change will be named and presented in more detail. For each activity, the steps from the analyzed models of planned organizational change that relate to that particular activity will be listed.

The first step in most models of planned organizational change is raising awareness of change necessity. This activity is very important for breaking inertia and creating conditions for the beginning of the change process. In the analyzed models of planned organizational changes, this activity is described as: separation from the past [8], establishing a sense of urgency [6], surface dissatisfaction with the present conditions, and disengage from the old [15].

Evaluating the present state is the second activity in most models of planned organizational changes and it assumes: discovery[9], diagnosis [5], analysis [8], awareness [10], assessing the opportunity or problem [1].

Shaping the future state is the activity that appears in the most planned organizational change models, but under different names: dream [9], developing the change vision [5], creation of the shared vision [8], developing the change vision [6], desire [10], establish a vision [17], formulate a clear compelling vision [1].

Communicating the vision, but also the need for change, as well as the flow of the change process, is a very important element of most models of planned organizational change. This activity refers to: communicating the vision to stakeholders [5], communicating about changes [7], change communication [8], communicate an image of the future [15], actively communicate [16], communication at all levels [17], communicate the vision [1].

Motivating and energizing people is a necessary condition for the success of planned organizational changes because only motivated and energized people can implement changes. In this way, resistance to change is being prevented. This also involves handling employees' emotions. In the analyzed models, it appears as: mobilize commitment to the change [5], gaining acceptance for the required changes [7], promote participation in change [15], mobilize people, handle emotions, catalyze energy [16], engage stakeholders [17], mobilize energy for change, empower others to act [1].

Managing power structure is an activity in which management must secure the support of powerful individuals and groups. This activity is recognized in many planned organizational change models as: political sponsorship [8], forming a guiding coalition

[6], get the support of key power groups [15], handling power [16], select and support a guiding change coalition [1].

Building capabilities for change is a necessary precondition for subsequent successful implementation of changes. This step is recognized in the analyzed models of planned organizational change as: reward behaviors that support change [15], train and coach [16], building the knowledge and skills necessary for changes [10], develop and promote change-related knowledge and ability [1].

Planning and organizing changes include building structures and adopting plans for implementing changes: design [9], development of an implementation plan, enabling structures [8], developing change plan [6], ability to implement change [10], develop a change management plan, create infrastructure to support adoption [17].

Implementation of changes is critical activity in the process of managing changes and usually consists of two sub-activities: initial changes and consolidation. Planned organizational change models recognize this activity as: destiny [9], implementation of changes [5], making the initial transition and consolidating the new conditions [7], short-term wins and consolidation of changes [6], delivery results [16], identify short-term wins and use as reinforcement of change progress [1].

Institutionalization of changes aims at stabilizing changes or refreezing in Lewin's terms. This step is recognized as: institutionalization [5], [7], reinforcement and institutionalization [8], institutionalization of the change by integrating it with the organization's structures and systems [6], institutionalize change [1], reinforcement [10]. Monitoring the changes is the final step in managing organizational changes. It is mentioned in the analyzed models of planned organizational change as: the change should be monitored [5], follow-up [7], measure progress [17], monitor and strengthen the change process [1].

The eleven identified activities of planned organizational change can be integrated into Lewin's three-phase model [4], which is, as already mentioned, the starting model for all subsequent models.

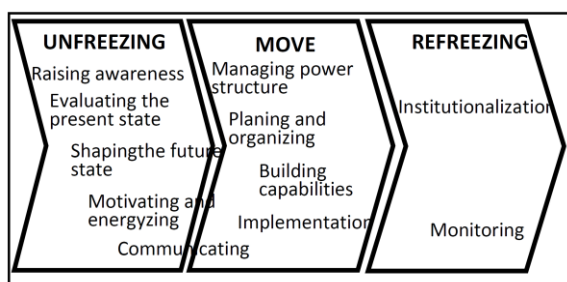


Figure 1. Synthesis of models of planned organizational change in the frame of Lewin's three-phase model

IV. CONCLUSION

Planned organizational changes are an area of management that explores conscious, planned changes implemented within organizations. The results of these studies are theoretical knowledge as well as practical models that show how to implement planned organizational changes. So far, a large number of models of planned organizational change have been identified. All of them are based on the basic three-phase Lewin's model. The key elements of all models of planned organizational change are activities, steps, or phases that they contain, as well as the sequence in which they occur. The overview of the most cited models presented in this paper indicates numerous similarities and overlapping between these models, both in terms of the activities they contain and the sequence in which they occur. This requires, but also enables, the synthesis of planned organizational change models, which is done in this paper. The result of the synthesis of planned organizational change models is a set of 11 activities that need to be carried out by management in order for planned organizational changes to be effectively implemented, and these activities appear in all or nearly all models. The names of the activities were formulated by the author and are listed according to the sequence that most commonly appears in the models: 1. Raising awareness of change necessity; 2. Evaluating the present state; 3. Shaping the future state; 4. Communicating; 5. Motivating and energizing people; 6. Managing power structure; 7. Building capabilities for change; 8. Planning and organizing changes; 9. Implementation of changes; 10. Institutionalization of changes; 11. Monitoring the changes.

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