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COMPLEXITY OF CHANGE AND ITS RELATIONSHIP WITH THE LEVELS OF COOPERATION NEEDED DURING A CHANGE PROCESS
A VÁLTOZÁS TÍPUSAI ÉS AZ EGYÜTTMŰKÖDÉS SZINTJEI AZ ISMERT VÁLTOZÁSMENEDZSMENT-ELMÉLETEKBEN

Change, and the capacity for change is an organic and necessary part of the life of organisations, and this organisational phenomenon has been the topic of countless researches and publications. The decisive majority of change management approaches are basically functionalist and look for the tool(kit)s of managers to bring the change process to success. The focus is on managers (leaders); if they look at the employee perspective at all, they do so to identify clues for the leaders. They want to understand employee behaviour to upgrade the change management tools of managers so that the latter can achieve their goals as effectively as possible. This study follows a different approach: identifying what relationship, what type of cooperation/co-action is assumed or recommended for change processes by existing and well-known change management schools. This paper reviews the basic change types along two dimensions to identify the most popular change management theories and the change types they discuss. One fault line dividing the theories concerned into two major groups is whether they consider the relationship between change and the quasi-steady state typical of organisations to be discontinuous, incremental or continuous. Another fault line concerns control being exercised over the change process, i.e. the extent to which the initiators and/or leaders of the change can and/or want to assert their intents during the process. The nature of this paper is a narrative or integrative review, which is based on a more idiosyncratic engagement with the literature. That is, the author considered the mainstream approaches and theories as my starting basis. This paper comes to the conclusion that the more complex the changes a theory aspires to solve, the more central the partnership, cooperation and dialogue between management and employees are in the model. The deeper the changes it operates with, the more it affects the deepest cultural layers of organisations, and the more essential the dialogue component is for the model.

Keywords: **change management, change management theories, dialogue, partnership, cooperation**

A változás és a változásra való képesség szerves és szükségszerű jelenség lett a szervezetek midnennapjaiban, ennek megfelelően rengeteg kutatás és publikáció született a témában. A változásmenedzsment-elméletek többsége alapvetően funkcionalista megközelítésű, arra keresik a választ, hogy a változási folyamatban milyen eszköz(tár) vezet(i a vezetőt) sikerre. Fókuszukban a vezetők állnak; amennyiben munkavállalói perspektívából vizsgálódnak, annak konklúziói a vezetőknek nyújtanak támpontokat. Azért akarják megérteni a munkavállalókat, hogy a vezető minél sikeresebben érje el az általa kitűzött célokat. A tanulmány más megközelítést alkalmaz: azt keresi, hogy az ismert változásmenedzsment-elméletek milyen viszonyt, az együttműködés és együtt-cselekvés milyen fajtáját feltételezik vagy írják elő a változási folyamatokban. Ez a cikk az alapvető változáselméleteket két dimenzió mentén különbözteti meg. Egyrészt napjaink szervezeti változásmegközelítései között ott figyelhető meg törésvonal, hogy hogyan tekintenek a változás és kvázi-állandó állapot viszonyára: szekvenciális kapcsolatot feltételeznek közöttük: amikor időről-időre, epizodikusan, bizonyos szakaszokra kibillen a szervezet ebből a kvázi-egyensúlyi állapotból, és valamilyen változás folyamatába kerül, vagy azt állítják, hogy ma már a hatékonyan működő szervezetekben nem is létezik ez a kvázi-egyensúlyi állapot. A másik dimenzió, ami mentén különbség figyelhető meg az elméletek között, az a szándékolt-nem szándékolt dichotómia, vagyis hogy a szervezeti szereplők tudják-e tervezni, irányítani, menedzselni, tudatosan kontrollálni a változási folyamatot. A cikk alapvetően narrativ vagy integrativ szakirodalmi áttekintés, amelyben a mainstream megközelítéseket és elméleteket tekintette a szerző kiindulópontnak. A cikk arra a megállapításra jut, hogy a változásmenedzsment-elméletek minél bonyolultabb, komplexebb változásokban gondolkodnak, annál inkább beszélnek a szervezeti vezetők és alkalmazottak közötti érdemi, valós, kölcsönös együttműködésről. Minél mélyebben ható változásról beszél egy elmélet, minél inkább érinti a szervezeti kultúra mélyrétegeit, annál inkább foglal el központi helyet az adott változásmenedzsment-elméletben a dialógus.

Kulcsszavak: **változásmenedzsment, változásmenedzsment-elméletek, dialógus, partnerség, együttműködés**

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It has become almost self-evident by now that constant change is here to stay in the everyday life of organisations (Barnard & Stoll, 2010; Burnes & Jackson, 2011; Drucker, 1999); it is inevitably present in every organisation and every industry (By, 2005; Cummings & Worley, 2001). Change is driven by the need for adaptation to survive in the current turbulent business and economic climate (Bakacsi, 2005; Dobák, 1996; Robbins et al., 2010); the need for continuous growth as a primary business objective (Drucker, 1999; Karp, 2005) and an immanent feature of capitalism that is the operating medium of organisations (Zizek, 2014); and by the ever-present general business fashion trends. The trends include total quality management (TQM) from the seventies on, IT developments in the eighties, BPR in the nineties and efforts to alter and develop organisational culture after the millennium (Burnes, 2011). Today's overriding goal is continuous change, not as a source of gaining a competitive edge, but as the only guarantee of the survival of the organisation (Armenakis & Harris, 2009).

The above developments led to an explosive growth in the number of research, empirical and theoretical papers on change management in the past 40 years (Dobák, 1996; Gelei, 1996; Kerber & Buono, 2005). Therefore, mapping the theories and models of change management is an impossible mission. However, a closer look at the theories makes you realise that there is nothing new under the sun. Indeed, there is no novelty compared to the mainstream theories being taught at business schools (see Leppitt, 2006a, b). So I simplified things by considering the established models' general ideas, and assuming that any new model would correspond to one or a combination of these.

Although change and the capacity for change is an organic and necessary part of the life of organisations, and this organisational phenomenon has been the topic of countless researches and publications, according to a 2008 survey by McKinsey & Company, almost two-thirds[1] of the organisational change programmes do not achieve their intended goals (Beer & Nohria, 2000; Burnes, 2011; Burnes & Jackson, 2011; By, 2005;Sirkin, Keenan, & Jackson, 2005).

By (2005) and the authors he quotes offer several explanations for the above. In their opinion, the technical literature itself has contributed to low success rates with the contradictory and rather confusing theories and approaches it has conveyed. There are many superficial analyses, and with only a few exceptions, the empirical and theoretical findings and models applicable to organisational change and its management rely on assumptions that have not been tested by the authors (By, 2005) and so they may have been applied later on at the wrong place or time or in the wrong way (Kerber & Buono, 2005). The assumptions concerned refer to the nature of change (what can be regarded as change), the role of managers, key factors of change (identification of key factors like speed), the nature of the senior–subordinate relationship etc.

The assumptions of the various change and change management approaches are so diversified that their only common denominator is that *at the end of the change process something is done differently than before* (Robbins et al., 2010). As for the process of change, the most frequent distinctions are made along its two main dimensions: based on its *speed or tempo*, the change can be episodic (discontinuous) or continuous, and in terms of the underlying *intent* (or *control* exercised over change) intended or unintended.

This paper reviews the basic change types along these two dimensions to identify the most popular change management theories and the change types they discuss. The decisive majority of change management approaches are basically functionalist and look for the tool(kit)s of managers to bring the change process to success. The focus is on managers (leaders); if they look at the employee perspective at all, they do so to identify clues for the leaders. They want to understand employee behaviour to upgrade the change management tools of managers so that the latter can achieve their goals as effectively as possible. My study adopted a different approach: identifying what relationship, what type of cooperation/co-action is assumed or recommended for change processes by existing and well-known change management schools. Functionalist approaches are excessively managerialist. However, novel-type labour and organisational changes demand more than that: the employee perspective, and partnership must be given much more emphasis (Tsoukas, 2002). Interpretative, critical approaches have appeared on the side of theory, but the change management theories have not treated them with equal emphasis so far, and this is particularly true of the change management discourses in Central and Eastern Europe. Here, this article fills a gap.

The pace of change

The early change management theories agreed that organisations needed quasi-steady-state periods to function efficiently (By, 2005; Rieley & Clarkson, 2001). This does not mean a state without any change whatsoever: there is no living organism, whether an individual, a group, an organisation or any system composed of subsystems (Schein, 2002a, b), that would be completely unchanging, even at the level of its subsystems. Homeostasis is typical of every living organism and reflects the state of continuous adaptation to the changing environment (Schein, 2002a, b). By lack of change we mean a quasi-steady state where the integrity, the predicable operation of the given system (individual, group, organisation, etc.) is maintained, and that gives the system a sense of security, a certain stability and its identity (Schein, 1996).

Today's approaches to organisational change can be assigned to two major subsystems based on their view of the change–quasi-steady state relationship, i.e. whether they assume a sequential order of quasi-steady periods and *periods/episodes* of change, or categorically deny the occurrence of quasi-steady states in a well-functioning organisation today. Further points can be defined along the axis of episodic/discontinuous to continuous change; based on By (2005), I will consider the following change types: discontinuous, incremental, bumpy incremental, continuous and bumpy continuous.

The main characteristic of *discontinuous change* is that major internal problems or serious external constraints trigger significant and fast shifts, which are easy to separate from everyday operation at strategic, structural or cultural level or a combination of these three. The shifts/changes are then followed by longer periods of consolidation and peace. Changes of this type can also be conceived of as sudden, one-off, rare breaks with the past (Pettigrew et al., 2001), when the focus of management is directed at a major project or a well-definable object of change (Kotter, 2008).

Incremental change is continuous change that can be divided into well-definable periods in terms of time, scope and subject matter. Each unit of the organisation addresses a single problem, a single change at a time, but there is always something to deal with, to change. The reason for the change may include minor or major strategic shifts due to the continuous strategic revision process that affects the entire organisation and demands some, bigger or smaller, change on behalf of every organisational unit/subsystem.

The literature offers several definitions of *continuous change*. In terms of the above typology, By's interpretation of continuous change differs from the concept of incremental change in that this process is not a by-and-large uniform one affecting the entire organisation. By continuous change he means continuous adaptation, i.e. changes that can be interpreted at the level of the operational/organisational unit. Certain authors (By, 2005) therefore do not consider these two categories different and suggest merging the categories of continuous and incremental change (as interpreted by By). By,

however, argues that this would mean disregarding the extent, the scope, of the change, i.e. whether it takes place at the level of the organisation or a subsystem, whether it affects the strategy or some local aspect. As in the case of incremental change, By distinguishes between even and bumpy (continuous) change. This fine-tuning mirrors the volatile aspect of continuous change, i.e. the alternation of more and less intensive periods in the operational change processes.

Somewhat in contrast with the terminology of By, Pettigrew et al. (2001) mean by *continuous change* uninterrupted change unfolding and taking shape during the process itself: "a new pattern of organizing in the absence of explicit a priori intentions" (Pettigrew et al., 2001, p. 704). These two different concepts of continuous change foretell the distinction of change types along another typical dimension, that of intent. Note, however, that Pettigrew et al. assume an initial intent to change, and unintentionality refers to the specific content, the aim, of change.

Kotter (2008) also builds the definition of continuous change on its being continuous as opposed to a one-off major project, involving the continuous adaptation of such organisational elements as competencies or organisational culture.

Accordingly, *in what follows I will use the term "continuous change" to denote a process involving the entire organisation, the content of which unfolds/is specified during the process itself.*

Dichotomy of intended/unintended change

The intended/unintended dichotomy is based on whether the organisational actors can plan, direct, manage and deliberately control the change process.

Unintended change takes place in an unplanned way, not deliberately, without being coordinated and controlled at organisational level. That is, by unintended change I mean a change that just *happens* to the organisation (Cummings & Worley, 2001). The changes concerned can be minor or major organisational changes or even radical ones (e.g. crisis), or cases of permanent improvement based essentially on the trial-and-error method applied in everyday work that will occasionally spread to the whole organisation (Kerber & Buono, 2005). Such continuous everyday changes are a natural part of organisations (Wheatley, 2006), the results of "natural evolutionary changes" (Schein, 2002a, p. 34) that do not necessarily promote the enhancement of organisational efficiency (Schein, 2002a).

There are three main types of *intended change*. Kerber and Buono (2005) distinguish between directed, planned and guided processes of change. *Directed change* is initiated and directed from the uppermost hierarchic levels of the organisation. They depend on the authority of the managers, and on the degree of accommodation to/ acceptance of change by their subordinates. Consequently, the main task of the managers is persuasion, the treatment/ addressing of the emotional reactions of the members of the organisation.

Planned change may start at any hierarchic level and can be initiated by any actor of the organisation; the only requirement is the support of top management. The most widespread and popular change management theories concern planned processes of change. They serve as a map, a project management tool for the leaders of change. They emphasise that the primary function of change leaders is to identify and involve the organisational actors concerned and establish their commitment. The importance assigned to participation notwithstanding, the preservation of the results of the initiative and the results of change is a strategic task and responsibility; the need for change, its aim and vision and the feasibility of the process are decided at the uppermost strategic level.

Guided (facilitated) change takes place in the context of a turbulent business/economic/social environment with many simultaneous and overlapping changes occurring in the organisation; these changes emerge, unfold, transform established practices and operating models or test new ideas. Guided change strives to exploit the professional expertise and creativity of the members of the organisation or, to use a nicer expression, to grasp the opportunities inherent in them, and supports and encourages their independent initiatives. The changes concerned are organic parts of the life of the organisation; they basically take for granted the commitment of the members to the organisation and their contribution to its goals. This approach does not want to tell the actors of the organisation what they should do and why, but rather want to inspire them to grasp the opportunities of change, and design the activities.

The special, internal tension inherent in this type of change is due to the fact that change itself is intended, but its implementation is not. The process of change is minimally controlled; the goals are not set in advance, nor can they be defined in advance. The direction and the aims unfold during the process, and it is a question of the specific change management concept being applied as to whether it will take a final form (e.g. action research, Coghlan & Brannick, 2014) or not (e.g. learning organisation, Senge, 1990a, b, 1993).

The change management literature identifies several types of change. One fault line dividing the researches concerned into two major groups is whether they consider the relationship between change and the quasi-steady state typical of the organisations as being discontinuous, incremental or continuous. Another fault line concerns control being exercised over the change process, i.e. the extent to which the initiators and/or leaders of the change can and/or want to assert their intents during the process (Figure 1.).

Well-known change management theories by type of change

An excellent demonstration of the *discontinuous-guided* change management concept is provided by the change strategies developed in the seventies by co-authors *Zaltman & Duncan* (1977) based on their experience. The four strategies making up the model are designed to help the executives shift the behaviour of organisational stakeholders in favour of organisational change. That is, organisational change, its aim and content are determined by management, the leaders of change, and in that process – as is obvious from the telltale names of the strategies – employees are the negative actors to be managed somehow. The leader may choose one of four change management approaches, taking into account the change situation and its main characteristics. These so-called "situational characteristics" are the following: anticipated level of opposition, relationship of the organisational actors with (formal or informal) power to the change (do they support it, have they realised the need for it, etc.?), power of the initiators of change, commitment of stakeholders, degree of urgency/necessity of change for ensuring the adaptation of the organisation, and rate of risk of failure and the threat

Figure 1.

Change management theories by change and focus of change management
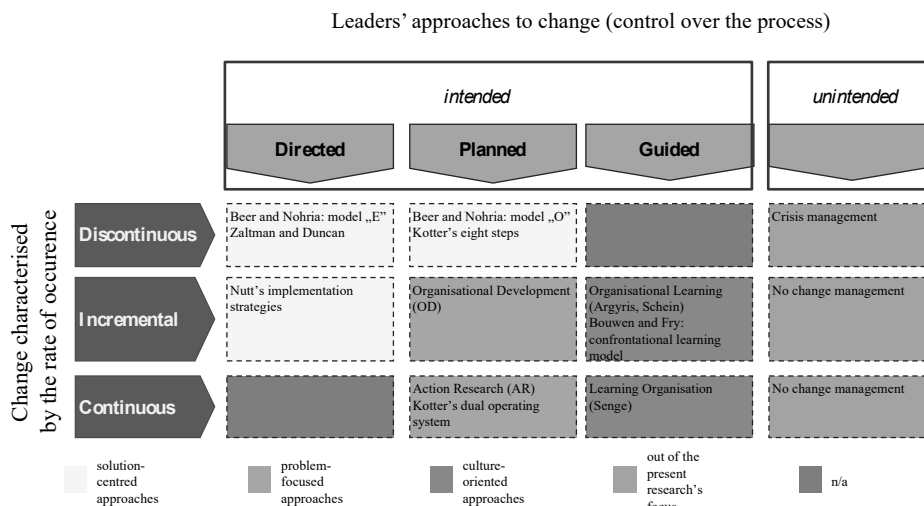
Source: author's figure

it represents for its future. The facilitative, re-educative, persuasive or power-based strategy matching the situation always has to be chosen accordingly.

As explained above, *incremental change* is composed of well-definable phases in terms of time, scope and subject matter, when the individual units of the organisation treat a single problem, a single change at a time. Continuous and periodic strategic supervision actually defines such phases of change for the organisation. But changes induced by innovation also result in such phases (Bouwen & Fry, 1991). These strategic changes, whether major shifts or minor fine-tuning efforts, affect the whole organisation and demand smaller or bigger changes on behalf of every unit or subsystem.

The change management typology matching *strategy implementation* is associated with the name of *Nutt* (1987). The main difference between the four implementation strategies (intervention, participation, persuasion and edict tactics) lies in how far Leader No. 1 involves others in strategy making, the setting of the strategic goals and expectations and the preparation of the strategic action plans, and who these "others" are.

The change management typology associated with innovation is hallmarked by the names of *Bouwen & Fry*. Their article (1991) describes mainly innovation strategies. The term "innovation" as they use it means "the development and implementation of new ideas by people who over time engage in transactions with others within an institutional order" (Bouwen & Fry, 1991, p. 37). That is, in their interpretation, innovation and change are one and the same thing. In the course of change, the (predominant) logic of the old routine is challenged by a new logic (that of change). The success of innovation depends on the quality of interaction between the two logics. In their research, the authors identified four core strategies for the meeting of the two logics. The first three models (power, sales, expert) correspond almost completely to the power/persuasive/re-educative strategies of Zaltman and Duncan on the one hand, and to Nutt's persuasion, intervention and edict strategies (Gelei, 2011) on the other. Only the fourth fails to fit. The confrontational/learning strategy mobilises cultural levels and offers a totally different qualitative level for the meeting of the two logics. The termination of the process is followed by a longer period of consolidation and rest, when the new or innovation logic of the process of change becomes the dominant logic.

Beer & Nohria (2000) distinguish two fundamental changes and change management approaches based essentially on two factors. One is change of type "E" focusing on the hard components of the organisation and the other is change of type "O" stressing the soft components. The distinction does not rely exclusively on the focal point of change: this dichotomy can also be detected in the style and process of change management. The change concept underlying change management of type "E" corresponds exactly to that of *guided and discontinuous* change and the one behind type "O" to *planned and discontinuous* change. The main difference between the two is that while type "E" approaches the change process top-down, type

"O" adopts what is essentially a participative approach. Forcing by persuasive and power tools is opposed to involvement, the intent of creating commitment.

Kotter's eight-step model (Kotter, 2006, 2007, 2008), probably the best-known change management model, is akin to the above type "O" model. Kotter designed his model that became most popular in a short time almost 20 years ago (Preface of the Editor of Harvard Business Review to Kotter's article, 2007). The steps or stages are arranged in a strict sequence, and failure may derive from missing one step or following the wrong order (Kotter, 2007). These steps make it clear that, in Kotter's opinion, the key factors of successful change management are motivation and commitment, a powerful coalition supporting change, vision and communication, and the institutionalisation of the results in the everyday life of the organisation. Later on, Kotter himself acknowledged that change management scenario and key factors had to be supplemented. One reason for that was that turbulence in the business/economic world had kept intensifying after he created his model (i.e. second half of the nineties) (Kotter, 2008, 2012). In the new era, instead of being scarce phenomena, strategic changes and major organisational changes in their wake became increasingly frequent, recurring more often than every few years. Kotter realised that his model in itself did not offer a suitable methodology for coping with such frequent changes; instead, flexible solutions had to be integrated in the organisational structure to permit continuous adaptation. This led to Kotter's so-called *double operating order theory*, which means a *continuous, planned change*.

Action research (abbr.: AR) also brings *continuous, planned change* to the life of the organisation. AR is a change process that has a twofold aim: to solve organisational problems and to contribute to scientific knowledge about organisations (Grasselli, 2009). From the perspective of science and academia, the main thesis of AR is the following: "If you want truly to understand something, try to change it" (Schein, 1996, p. 64). In this context, change is but a "pretext", an ideal medium. In addition to the enrichment of scientific development, of scientific-level knowledge, AR explicitly wants to contribute to solving real problems.

Looking at AR from the perspective of the manner of contribution to solving real problems, i.e. from that of practice (change management), it is only slightly different from organisational development. Coghlan & Brannick (2014), for example, identify organisational development (OD) as an AR implementation option. Bakacsi, on the other hand, qualifies action research as the "dominant process model" of organisational development (Bakacsi, 2005, p. 75.). The basic literature on organisational behaviour, however, treats the two separately (see Cummings & Worley, 2001; Robbins et al., 2010).

Besides the explicit aim of contributing to scientific knowledge, the other difference between action research and organisational development is that action research undergoes dynamic development during the process itself (Coghlan & Brannick, 2014) and therefore treats

the iterative quality of changes, i.e. one change leading to another, *much more deliberately* than OD. Action in one process generates another action, i.e. the next step of the change process (Grasselli, 2009). That is, action research tends to bring continuous change and organisational research incremental change in the life of organisations.

The most complex change management approaches do not define themselves as change management schools. They consider change and learning to be inseparable twin concepts. In their opinion, change is an immanent part of the life of organisations in the 21st century, and organisational learning is the organisational competency that ensures long-time survival. There are several *organisational learning* approaches (see the typology of Edmonson and Moingeon in Edmonson & Moingeon, 1998), but I was concerned primarily with the theories to which this learning/change parallel could be applied (the best-known ones being those of Edgar Schein and Chris Argyris). That school differs from the others in that research focuses expressly on the individual, and instead of simply urging a change of (individual or organisational) behaviour, it considers the alteration of assumptions and the ways of thinking underlying behaviour the keys to success. The common denominator of these theories is the assumption that real change in a human system will also manifest itself in the altered behaviour of the individual. A change of behaviour, in turn, requires a cognitive change: the individual perceives, understands, sees and interprets the world in a new way, i.e. the (human) system changes (Watzlavik et al., 1974), and this is also reflected and shown by the change of behaviour (that is, merely a symptom, a consequence). This phenomenon is called "second-order change" (Watzlavik et al., 1974; Palmer et al., 2009) or "double-loop learning" (Argyris & Schön, 1978).

Organisational learning is, in this sense, "an organisational self-knowledge process in which the organisation acquires growing awareness of its situation, objectives and operation – by reflecting on the accumulated collective experience, and challenging certain things regarded as given beforehand – and can therefore operate with growing efficiency and effectiveness" (Gelei, 2002, p. 6). Given the nature of the process, it can only be a *guided, facilitated* procedure. And it may happen in certain organisations that self-knowledge acquisition becomes a permanent process, an integral part of everyday life. If so, we speak of a *continuous state* of change, i.e. operation as a *learning organisation* (Senge 1990a, b, 2006; Senge & Kofman, 1993).

Levels of cooperation in change management theories

As mentioned above, the decisive majority of change management theories are functionalist, whereas the constructivist approach implies a radically different paradigm (Blaikie, 2007). *To use the functionalist terminology, what relationship, what type of cooperation and co-action they assumed and prescribed for the processes of change.* Or, to ask the same question from a managerial perspective (of course, there are many presuppositions inherent in this wording): *What level of employee involvement do the known change management theories consider ideal (the pledge of success)?*

The early (and the best-known) change management theories focus on employee resistance (resistance coming from the members of the organisation). Change means an alteration of the status quo, and resistance is bound to appear (Bouwen & Fry, 1991; Nutt, 1987; Zaltman & Duncan, 1977). The inherent assumption is that the employee is not necessarily a cooperating partner; in this approach, the employee is not part of the "we" and should therefore be forced, manipulated, persuaded, maybe educated, but at the very least assisted (Nutt, 1987; Zaltman & Duncan, 1977). Or perhaps be encouraged, motivated, made committed (Beer & Nohria, 2000; Kotter, 2006, 2007, 2008), and for this reason be involved in various phases of the process.

Obviously, the conceptions that consider the employee if not an adversary, some kinds of outsider are quite remote from the one in which managers and employees shape organisational change together and change develops in the wake of their cooperation. In these theories, the employee is the necessary evil in the process whereby the manager tries to realise her/his goals. However, the more participatory approaches take something for granted: the necessity of change must be declared at management level and communicated *top-down*, and those who are "down" must be involved as a next step. Consequently, even if they do not regard employees as "instruments", they do not consider them equal partners either.

Based on Robbins et al. (2010), the theories of change management can also be classified according to their point of departure, i.e. what they assume (take for granted). The choice of focal point determines the role given by management to employees in the process of change.

The *solution-centred schools* regard the *problem and consequently the aim of change as given (defined by management or an external expert), and they provide solutions, i.e. tactics, strategies and aids, for that problem, i.e. for the effective management of the specific change concerned.* The *problem-focused* approaches assume that the solution, the steps to be taken, is determined by the nature of the problem. They step back and consider problem identification – with the active contribution of employees – the first objective. The *culture-oriented* change management schools see change as a continuous process of collective self-reflection, where the success of change depends on the depth of the effort and its collective nature.

Solution-centred change management schools

The solution-centred change management schools (e.g. Beer & Nohria, 2000; Bouwen & Fry, 1991; Kotter, 2006, 2007, 2008; Nutt, 1987; Zaltman & Duncan, 1977) *declare that the aims and directions (the problem to be solved) are set by the manager(s), but to do that one also has to address the fact that the organisation also includes employees.* The suggested ways and means of "dealing with them" differ by school.

Zaltman & Duncan (1977) openly speak of manipulation, forcing by power tools, or, in a softer version, of awareness raising and facilitation. The difference between the four implementation strategies defined by Nutt (1987) lies in the extent to which the top executive involves others in strategy making, in setting the strategic goals and preparing the action plans, and who these "others" are (external experts, key stakeholders and elected committees are the only groups mentioned at all).

The first three of the four so-called "innovation models" defined by Bouwen & Fry (1991) are very similar to the typologies of Zaltman and Duncan and of Nutt. The power, sales, expert and confrontational-learning strategies in the theory of Bouwen and Fry refer to the clash between the dominant logic determining the past and the new logic of innovation/change in the context of organisational innovation, i.e. organisational change. The authors use the term "dialogue" to denote the meeting of the two logics, their interaction, but it seems more appropriate to call it "negotiation". The difference between the four innovation models lies in how the various reality interpretations, logics or the "various organisational actors as owners of the different logics" (Gelei, 2011, p. 148) negotiate with one another.

The first three strategies give one-sided control to management (typically also responsible for defining the strategy) in introducing the change, the new logic. Control is exercised over the discourse of the parties and the object of the change. In the power strategy, the stronger party, typically management, one-sidedly forces its own "reality definition and action logic onto the other party" (Gelei, 2011, p. 149). The sales strategy applies less force and a "smooth approach" (Bouwen & Fry, 1991, p. 42), and the expert strategy relies on cognitive persuasion (Bouwen & Fry, 1991). Only the fourth, the confrontational-learning strategy differs from the typologies of Zaltman and Duncan and Nutt in that the meeting of the dominant (old) and change (new) logic entails "their sincere dialogue without taboos and distortions, based on equal participation" (Gelei, 2011, p. 150).

Beer & Nohria (2000) see the key to successful change in the sequential alternation of changes of types "E" and "O", stressing that type "E" should be the first, since that is what focuses on the hard elements of the organisation in what is a *top-down* approach. Employee participation can only come later, after the alteration of the hard elements considered the most important by management. It goes without saying that the direction and aim of the change are defined by the manager(s).

Although in Kotter's graphic example (the case of the penguins, Kotter, 2007) the necessity of change is recognised by someone who is not in management, his role ends and control is taken over by the latter once they are convinced of the necessity. Management must generate a feeling of urgency in employees to ensure motivation. They have to inform them of the market, the rivals, market competition and financial performance, the expected trends, and all this has to be communicated in a clear way "to make the status quo seem more dangerous than launching into the unknown" (Kotter, 2007, p. 98). Besides using rational arguments, it is important to impact on "the non-analytical side of the brain" (Kotter, 2008, p. 35) of employees, i.e. the way they *feel*. This "impacting" closely resembles the concept of manipulation that Zaltman and Duncan had treated openly.

Every step proposed by Kotter (generating a sense of urgency, setting up a steering group, development of a vision) is a management task. Although he speaks of setting up a coalition to steer the process (to direct the changes in cooperation with the manager), a key criterion of the coalition is that its members must agree with the actual situation of the organisation, the challenges, opportunities, and the causes and means of any change (Bakacsi, 2004; Kotter, 1999, 2007, 2008) as interpreted by management. Thus Kotter's model may seem highly participative, but cooperation with a team selected by the manager and nodding to the manager's goals and requirements is not real cooperation: they do cooperate with the manager unilaterally. The cooperation is certainly not a reciprocal process.

The problem-focused change management schools

The problem-focused change management approaches, as compared to the previous schools, take one more step back and do not consider it evident that a manager(s) sees clearly what needs to be changed in the organisation to improve its effectiveness. *Taking a step back* means in this case a review, a diagnosis of the organisation to find a *common (collective) answer to the questions: Where are we now? What is the problem? How could things be improved?* These questions bring to the surface phenomena that are really relevant to *the whole organisation (not only the manager(s)), and explore the real and jointly interpreted problems.*

Problem-oriented change management approaches make explicit their humanistic-democratic values based on which they view organisations, change processes and co-action by the members of the organisation. These values are *respect of people*, *trust and support*, *sharing power*, *confrontation* and *participation* (Robbins et al., 2010).

However, the most important value is *cooperation* based on the above, which refers to relationships among the members of the organisation, as well as to the connection of external experts to the organisation (Coghlan & Brannick, 2014; Gelei, 2002; Robbins et al., 2010).

In the *organisational development* (OD) approach, the basis of cooperation, of the relationships within the organisation and between advisors and members of the organisation, is the so-called *democratic dialogue* (Coghlan & Brannick, 2014). The qualifier *democratic* stands for the fundamental values described above. And *dialogue* in this case means an honest and open dialogue on problems, difficulties or even strengths, positive features during which a common understanding is reached. That dialogue is more important in the process than anything else, as it is "through conversation that things start to change" (Robbins et al., 2010, p. 529).

A characteristic of *action research* (AR) similar to organisational development, essentially determining the fundaments of the process, is *collaborative democratic partnership* (Coghlan & Brannick, 2014), which exceeds the democratic dialogue characterising organisational development in that it builds even more powerfully on involving the members concerned by organisational change in *each and every* step of the process. So in organisational development, the decision is *always* with the top managers of the organisation, including deciding who, when, how and to which members the organisation should provide feedback, and what specific order should be placed on the basis of the diagnosis, and what action, and what steps should follow the diagnosis. In contrast to the above, in action research, partnership cuts across the entire process, thereby rendering all decisions even more democratic and resulting in co-decisions (Bakacsi, 2005; Robbins et al., 2010) with all persons concerned in each of the topics listed above. The person in charge of this *cooperation is the action researcher (advisor). This is an important qualitative feature of the process, as opposed to organisational development where the client, the highest-ranking officer appointed to manage the process, determines the extent and the quality of involvement and cooperation.*

The third example of a problem-focused change management approach after OD and AR is *Kotter's dual operating system model* (Kotter, 2012). Kotter claims that a second operating system is the structural element that ensures that the organisation can respond to changes around it at the necessary speed. In its focus is the ongoing monitoring of the (business, industrial) environment and the organisation and the correlations and connections between the two, and it keeps analysing and evaluating these, and translates them into *strategies* and *strategic actions*. The word "second" means that it *supplements* the organisation's traditional (hierarchic) operating system, and that makes the organisation's operation twofold or dual. In terms of its nature, the supplementary or second structure is *networked*, which applies to its operation and its connection to the hierarchic organisation structure; its members represent all levels of the organisation: employees "arrive" in the strategic network from all levels, from the topmost to the lowest. Due to its networked nature and strategic focus, Kotter calls this complementary structure a *strategic network* (Figure 2.).

Figure 2.

The relationship of conventional hierarchy to the strategic network
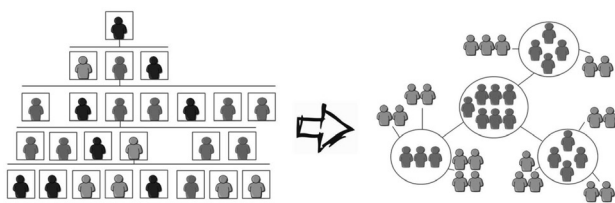
Source: Kotter (2012, p. 49)

So, what we are discussing is a partly modified version, coded in organisational structure, of Kotter's eight-step model. The cardinal points of the previous model (voluntarism, steering coalition, group jobs, leadership instead of management, vision, shared objectives, continuous communication, etc.) are transparent as basic principles here too, but the model guarantees through a structural solution that *each* level of the hierarchy, groups of employees much larger than in the previous model, should contribute to defining and jointly interpreting the objectives, and the direction and triggers of the change. As a matter of fact, this is now about an ongoing, institutionalised process of joint thinking – and, *at a certain level*, joint decision-making (dialogue) – involving each group of employees. Kotter, however, fails to describe what he means by "*certain level*" in any more detail, thus implementation and execution remain strongly organisation-dependent, and even more manager-dependent.

Culture-oriented change management schools

In Robbins et al.'s (2010) typology, the third type of change management school is that of the so-called culture-oriented approaches of the change management. These approaches do not define themselves as change management schools, a fact explained by the way they see change. In their view, real change concerns two levels: the cognitive and the behavioural level. There is no change as long as there is only cognitive recognition, but there is no change either if behaviour changes, but the adjacent guiding principles, the mental models (Argyris, 1977, 1991, 1994; Argyris & Schön, 1978; Senge, 1990a, b, 2006) and, at a cultural level, the deep layers of culture (Schein, 1981, 1993, 2002b) or the dominant logic (Bouwen & Fry, 1991) remain intact.

(Real) change for them is identical to second-order change (Palmer et al., 2009; Watzlavik et al., 1974) or to double-loop learning (Argyris, 1977, 1991, 1994), to be realised at both organisational and individual level. At organisational level, *organisational learning* must be made part of the culture, and this is the basis of the learning organisation concept (Senge, 1990a, b, 2006). While elaborating the concepts, the best experts on the theory have identified broader, complex, individual, personality-related, cultural and social issues, which must be brought down before these lofty ideas can materialise.

The fathers of the *organisational change*[2] trend (Edgar Schein, Chris Argyris) analysed and considered one by one chiefly the individual and organisational cultural hindering factors that block these genuine (i.e. both cognitive and behavioural) change processes. Their suggestions to overcome the obstacles may be viewed as a type of change management concept given the fact that they *define actions for organisations wishing to learn, develop and change.* The Figure 3. is a summary of the adequate responses (ultimately the change management actions) to be given.

According to *Edgar Schein*, the task is to bring to the surface the deep-lying, tacit routines, assumptions and beliefs discussed above, i.e. *cultural self-understanding*

Summary of the culture-oriented change management schools

	Adjacent hypothesis: the main obstacles of organisational change	What to focus on when bringing down factors that hinder learning?	What is a neccessary condition to organisational learning?
Edgar **SCHEIN**	The *shared tacit presumptions* embedded deep into the organisational culture, and the inconsistency of these.	On essential, shared presumptions, beliefs and values.	Dialogue: identifying shared presumptions jointly.
Chris **ARGYRIS**	*Interactions* between the organisation's members , the tacit principles (so-called theories-in-use), self-defence strategies, a lack of interpersonal competences.	On interpersonal interactions, and their development must be first focused on.	Indivisual and joint reflections (dialogue): valid information, free and well-founded choice.
Rene **BOUWEN** and Ronald **FRY**	The quality of *interactions* between the organisation's members (one-sided control, lack of dialogue).	On the quality of interactions between dominant logic and the new/change logic (open confrontation, equality, consensus, valid and shared information).	Dialogue: creation of shared interpretations.

Source: Based on Pulinka (2007, p. 41) with modifications

(Edmonson, 1996; Gelei, 2002; Schein, 1981). The precondition to self-understanding is *dialogue with each other*, within subcultures and also with groups that have a different culture (Schein, 1993). Schein regards this process of dialogue as "the true artistry of change management" (Schein, 1996, p. 61).

Chris Argyris assumes that "organizational learning is a process of detecting and correcting error" (Argyris, 1977, p. 116). He investigated during his research and advisory projects what organisational and individual hindrances there are in this process. Argyris recommends primarily the *development of interpersonal competencies* to bring down the obstacles to learning. To achieve that, the individual must first face the shock of realising how they actually work, and what tacit assumptions hide behind their actions. This means *self-reflection and self-understanding*. That must be followed by devising their new operating principles (Argyris, 1977). That is, the review of the principles adhered to is also a double-loop learning process, and the process of reflection must be established for the long term *on both individual and organisational levels*. That institutionalised reflection is already about the operation of the learning organisation. Argyris does not submerge deeply in analysing this operation; instead, his writings and his work (McLain-Smith, 2013; Smith, 2001) describe the road leading there, and how to overome the obstacles encountered on your way.

The theory of *Bouwen & Fry* (1991) based upon case studies relates to the literature of organisational change much more explicitly than that of the above two authors. The co-authors examine organisational innovation processes and come to the conclusion that real innovation and change can only happen in an organisation if the representatives of the old (dominant) logic conduct a *dialogue* of essence with the representatives of the new logic bringing the change, and they create the new operating logic in the course of their cooperation.

Logic in the present case refers to the dominant mindset, the *paradigm of action* (Gelei, 2011) that determines the way in which organisational actors view the environment, the relationship of the organisation with its environment, the necessary and adequate steps, objectives, and the corresponding internal workings and behaviours.

Bouwen and Fry claim that organisational changes are about the entry on the scene of a new logic that challenges the *raison d'être* (correctness) of the old (dominant) logic. The resulting level of learning depends on the quality of the interaction forming between the two logics: "compliance and passive followship, imitation and adoption, cognitive learning through insight, or communication and orientation on valid data" (Bouwen & Fry, 1991, p. 42). That is exactly why Bouwen and Fry emphasise that the innovation thus created (change) cannot become established in the organisation in the long term, because it fails to rest on the universal, common understanding, genuine learning, and cognitive and behavioural changes of all members of the organisation (Bouwen et al., 1992). Only the *confrontational-learning strategy* brings about genuine organisational change and learning, and dialogue, a high-quality interaction between the two logics, is the process of that strategy (Bouwen & Fry, 1991). Similarly to almost all of the writings of Argyris, Bouwen and Fry also place great emphasis on the internal tensions in the dialogue, and the fact that it is a time-consuming and tiring process.

Tsoukas' (2002) observation whereby a main feature of post-bureaucratic, postmodern organisations is that employees tend to bring much more of themselves "into" these organisations is relevant at this point. They no longer stand for just knowledge or physical strength at the workplace; their emotional-psychological presence has become much more powerful. This has two consequences: they are less and less authority driven, and are meanwhile increasingly internally guided. And simultaneously, "to

the extent they are more psychologically present at work, they expose more of themselves to others; hence, they are more vulnerable" (Tsoukas, 2002, p. 15). Thus it is a task for both the scientific environment and for daily practice to render organisations as safe as possible even from that point of view. Make them places where we *can* show ourselves, and where it is *worthwhile* for us to do so. This line of thought connects closely to the next change management school, the learning organisation concept.

Another well-known (and rather popular) school of culture-oriented change management is the *learning organisation model*. Peter M. Senge, credited for being the father of the learning organisation concept, made a list – much like Argyris and Schein – of the barriers hindering individual and organisational development and learning. Senge, however, analyses these obstacles within a broader social-cultural framework. He identifies several social-cultural dysfunctions (e.g. management is identical to control, diversity is labelled as a problem, excessive competition, lack of trust, etc.), and attributes extra importance to three factors as the major obstacles to change: fragmentation, competition focus and the problem of reactivity (Senge & Kofman, 1993; Senge, 1990a, b, 1993).

Senge sees the solution of the above problems in the creation of the learning organisation, because we need a medium that offers a possibility for changing our way of thinking, where the medium itself thinks differently and is characterised by a changed mode of operation, a changed *culture*.

The most important feature of the learning organisation is that it is in *constant change since it is characterised by learning continuously*. "The organisation has the ability of continuous learning and renewal. Qualities it must have include organisational self-diagnosis (self-understanding) and (lasting) operational development based on the same: exploration, awareness raising and deliberate alteration concerning the theories we adhere to, our ways of (individual and organisational) problem solving, our mistakes (!), deeper system dynamics, our mechanisms for creating a shared vision, our communication patterns, mental maps, our personal objectives, hidden cultural assumptions and modes of operation" (Gelei, 2011, pp. 52–53).

That operation is not easy, and it takes a great deal of time and energy to create. In his book, Senge established the fundaments indispensable for building a proactive organisation. His five principles are as follows: personal mastery, mental models, shared vision, collective learning and dialogue, and systems thinking (Senge, 2006).

The basic concept is built on the paradox that organisational learning is impossible without the individuals who constitute the organisation, but it is more than the sum of individual learning. It is not enough for the individual to learn; first, the others are also a necessary ingredient, and second, in a learning organisation learning must be realised at a community level. There are "three core learning capabilities: fostering aspiration, developing reflective conversation and understanding complexity"

(Senge, 1990a, p. x). All of these may be interpreted at both an individual and a community level.

Senge, then, sees the above five principles as the precondition to be a learning organisation. The point of existing as such is nothing other than leaving behind old ways of thinking and learning how to be open to one another, and how to make efforts to ensure that we increasingly understand how we work as individuals and as a community, as an organisation guided by shared objectives and directions, working together to achieve these objectives. *A self-understanding dialogue that is to reach a shared conclusion is likewise an inseparable part of this existence.* In expressing his thoughts, he talks about nothing more than the theories of organisational learning, and he keeps referring to the works of Argyris and Schein (Senge, 1990a, 2006). His approach, however, is different: he starts out from the social and organisational aspect, and from that point he gets all the way to the individual.

Taking the change management perspective to interpret the above theories, two things need highlighting: lack of control and voluntarism. Double-loop learning, defined as "change" in the theories, concerns deep layers at both individual and organisational level; therefore, the process of learning/changing is impossible to map in advance. These deep layers are tacit in the first place, hard to access, and of course even more difficult to challenge, and change. The process of change is thus subject to a minimum rate of control; objectives *are* not and *cannot* be specified in advance. The direction, the objective, is formed in the course of the process, during the collective action, the *co-actions*.

The other important, immanent feature of these theories is that organisational and individual learning are closely interrelated: there is no organisational learning without learning by the people constituting the organisation. And learning – both at individual and organisational level – concerns the deep-lying principles that determine our acts and decisions (cognitive schemes/mental models/cultural deep layers). In bringing these to the surface, examining and challenging them cannot happen "from the outside", by force, by order, only on a voluntary basis, by looking ourselves honestly in the face. In other words, the learning process is a *voluntary* self-reflecting process, and at an organisational level it is a voluntary common act, that cannot be enforced or prescribed at either level. But it also means that it cannot happen without organisational members. Involving colleagues and treating them as partners is therefore a necessary, indispensable element of these models and theories.

In sum, we may say that the early change management theories did not regard staff members as cooperating partners; instead, they saw the main task of change management in handling their predictable opposition/ resistance (by manipulation, communication, pretended or controlled involvement, motivation, incentives). *Problem-focused schools make cooperation the key to change management, and dialogue is already a central element in these approaches. And culture-oriented theories label dialogue the key to change management. Partnership,*

cooperation and co-action are critical parts of these change management schools.

Another interesting observation belongs here. If one considers change management schools in the light of the type of change they want to address, one cannot fail to notice that the more complex the change they contemplate, the more they talk about dialogue and substantial, genuine and mutual (!) cooperation among the members of the organisation. The more an organisation regards change as an organic part of its daily operation, the more important partnership, cooperation and dialogue will become.

Contemporary organisational changes thus make dialogue increasingly unavoidable. This concept should deliberately be integrated in the change management theories. What is dialogue? What are the necessary and sufficient conditions of labelling an organisational relation dialogic, an organisational situation a dialogue? What do other disciplines, anthropology, sociology, philosophy, etc., say about the dialogue? This is one of the subsequent steps to be taken by management science for the sake of a better understanding of organisational change processes and the specification of more efficient change management tools.

Notes

[1] The error rates quoted there refer to general organisational change programmes. For change-of-culture programmes the corresponding rate is 90% (Burnes, 2011).

[2] Organisational learning has several trends (Edmonson & Moingeon, 1998); the ones that are relevant from a change management point of view are those that regard and interpret organisational learning as a process of change.

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