READER "TOPIC 4"

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READER

CHANGE MANAGEMENT

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1 THE IMPORTANCE OF CHANGE MANAGEMENT

Change management is a structured approach to transition individuals, teams, and organisations from their current state to a desired future state. It involves planning, communicating, and implementing changes while minimising disruptions and maximising the stakeholder's buy-in. The process typically includes assessing the need for change, developing a clear strategy, communicating the rationale and benefits of the change, providing training and support, and continually evaluating and adapting the approach to ensure successful adoption. Effective change management ensures smoother transitions, reduces resistance, and enhances the likelihood of achieving desired outcomes. It might seem that change management is a one-time effort, but rather is a continuous process in which every attained success eventually becomes outdated.

Empowering women to strive for leadership will affect a company's culture, structure, and people within. Guidance professionals can impact these changes and whether their effects are positive or negative for everyone involved. Therefore, knowing about the fundamentals of change management is an important asset when providing guidance for (soon-to-be) female leaders. The following material describes phases of change and how to operate them, as well as reactions towards change and how to handle those.

2 PHASES OF CHANGE

Many theories and models provide a structure for the phases of change. Among the most prominent are the *three phases of change* by Kurt Lewin, the *eight-stage process* by John Kotter and an *integrative model* by Dietmar Vahs. All approaches have disparities and overlaps, and thereby also set a focus on the perspective from which they view change. Lewin provides a straightforward approach with three phases of change in which he predominantly describes the psychological level of impact. The integrative model by Vahs underpins these psychological aspects with the factual development of change phases from an organisational point of view. Kotter, however, focuses very much on the operational level of how to implement change effectively as a change facilitator. These three theories will be explained in the following passages.





2.1 Lewin's three phases of change

Lewin's model (Lewin 1947) emphasises that change is not a one-time event but a process that involves preparing for change (unfreezing), implementing change (transition), and ensuring the change becomes a lasting part of the organisation (refreezing). His primary focus lies on decreasing resistance and emphasising the necessity for changing the status quo. Concretely, the phases are about:

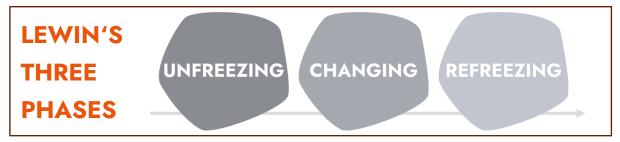


Figure 1: Kurt Lewin's three phases of change. (Lewin 1947)

- 1. Unfreezing: The initial unfreeze Phase involves preparing individuals and the organisation for the upcoming changes by breaking down existing mindsets, behaviours, and processes. It involves creating awareness of the need for change and helping individuals and the organisation to understand why the change is necessary. By effectively executing the Unfreeze phase, organisations can overcome resistance to change and help individuals become more receptive and willing to embrace the upcoming transition. This sets the foundation for a smoother journey through the subsequent phases of the change process.
- 2. Changing: During this phase, the actual change is implemented. New processes, behaviours, or structures are introduced, and individuals begin to shift from their old ways to new ways of doing things. This phase can be characterised by uncertainty, resistance, and a period of adjustment as people learn and adapt to new conditions.
- 3. Refreezing: In the final phase, the changes are solidified and integrated into the organisation's culture and practices. This phase is about reinforcing the new behaviours, processes, or structures to ensure they become the new norm. By reinforcing the changes, individuals and the organisation become more stable in the new state, and the changes are more likely to be sustained over time.





2.2 Vahs' integrative model

Dietmar Vahs is a German economist engaged in innovation management, organisational design, and change management. His integrative approach aims to consider and align various dimensions of change processes. It emphasises the need to holistically perceive changes within organisations and opt for a comprehensive approach. Therefore, it builds on Kurt Lewin's three mostly psychological phases and supplements them with a factual perspective of the organisation's tasks/phases (Vahs/Weinand 2013; Vahs 2019). The five phases of this approach are:

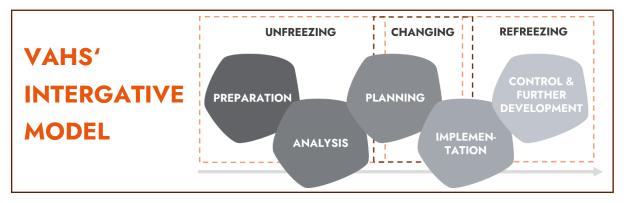


Figure 2: Vahs' integrative model of phases of change. (Vahs/Weinand 2013; Vahs 2019)

- 1. Preparation: In this phase, the foundation for the change process is laid. The goal is to recognise and communicate the need for change, outline the vision for the desired future, and create readiness for change within the organisation. This involves identifying drivers and burdens triggering the change and creating awareness about the impending change.
- 2. Analysis: This phase comprehensively analyses the organisation and its current conditions.
 E.g., Strengths, weaknesses, opportunities, and threats (SWOT analysis) are assessed to gain a deeper understanding of the change requirements. The diagnosis lays the groundwork for developing a tailored change strategy and vision.
- 3. Planning: In this phase, the concrete change strategy is developed. This includes identifying actions, resources, and timelines necessary for implementing the change. It also entails defining clear goals and milestones to steer the change process.





- 4. Implementation: In this Phase, the steps outlined in the planning phase are put into practice, often requiring close collaboration with involved employees and teams. Communication, training, and support are crucial in ensuring the acceptance and success of the changes.
- 5. Control & further development: After implementing the changes, it is vital to ensure that the new processes, structures, and cultural elements are integrated permanently. The stabilising phase involves monitoring outcomes, adjusting processes based on experiences, and solidifying the new practices as part of the organisational culture.

2.3 Kotter's eight-stage process

John Kotter, a prominent leadership and change management expert, developed an eight-stage model for managing and leading successful organisational change (Kotter 2012; Kotter Inc. 2023). The eight-stage process can be perceived as a practical guide to handling the psychological level mentioned by Kurt Lewin rather than the factual level mentioned by Vahs. Thereby, it gives concrete notes on what to do from the perspective of a change manager. Therein, phases 1 to 4 reflect the

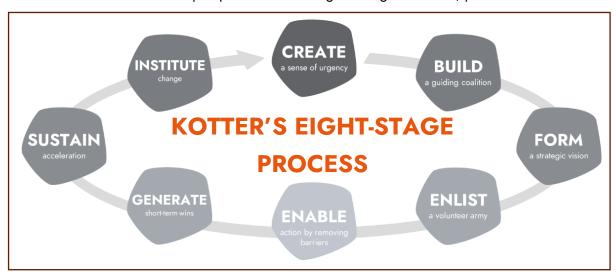


Figure 3: Kotter's eight-stage process of change. (Kotter 2012; Kotter Inc. 2023)

Unfreezing phase, phases 5 to 7 map the Changing phase, and phase 8 is related to the Refreezing phase by Lewin. The eight stages are as follows:





- Create a Sense of Urgency: Present a compelling reason for the change. This involves
 creating awareness about the need for change by highlighting external pressures, market
 trends, or internal challenges that make the current state unsustainable. By conveying a
 sense of urgency, stakeholders can be motivated to take action and rally support.
- 2. Build a guiding coalition: Assemble a team of influential persons committed to the change initiative. This coalition should have the credibility and authority to guide the change process, communicate effectively, and overcome potential resistance. Therefore, its members should originate from various layers of the hierarchy and represent different organisational functions to ensure multiple perspectives and holistic information.
- 3. Form a strategic vision: Develop a clear and inspiring vision that outlines the organisation's desired future state after the change is implemented. This vision should be understandable, motivational, and aligned with the organisation's values and goals. Effectively communicate the change vision to all stakeholders. Thereby using various communication channels to enlarge the buy-in of all stakeholders.
- 4. **Enlist a volunteer army:** Gather and excite a sizable body of stakeholders, willing and enthusiastic to support the change initiative. Members of the organisation must be given a chance to participate in the process and have the autonomy to act for themselves. Recognising and encouraging the volunteers' efforts helps keep them engaged and recruit more.
- 5. Enable action by removing barriers: Enable and empower stakeholders at all levels to take action towards achieving the vision. This involves removing obstacles, providing the necessary resources, and giving individuals the autonomy to contribute to the change effort.
- 6. Generate Short-Term Wins: Celebrate and communicate small wins along the way. These (early) successes provide evidence that the change is making a positive impact and helps maintain momentum and enthusiasm among employees. The key is choosing achievable and regular milestones so that success becomes visible.





- 7. Sustain acceleration: Use the momentum from all the short-term wins to drive further change. This may involve tackling more complex challenges and making necessary adjustments based on feedback and experience.
- 8. **Institute change:** Ensure that the changes are integrated into the organisation's culture and way of doing things. This involves aligning new behaviours, practices, and processes with the organisation's core values and long-term goals.

3 RESPONSES TO CHANGE

Dealing with these responses to change requires knowledge of the potential impacts and a flexible approach by leaders towards the behaviours exhibited. Therefore, a leader's role should adapt situationally throughout the change process and in interaction with the different response types and timelines.

3.1 Mohr's and Woehe's type-model

The psychosocial perspective on change management was already described in Lewin's three phases. In addition to this temporal progression of emotions (Unfreezing, Changing, Refreezing), different types of reactions can be distinguished among employees. The types have different effects on the course of the change process and must, therefore, be differentiated and appropriately managed. A model for differentiating response types is the one by Mohr and Woehe, which provides both a comprehensible logic and an applicable structure (Nemeyer/Oltmanns 2010). The response types differ in how affected persons assess the risk of change impairing their own situation (subjective risk) and the general benefits of the change (objective risk).



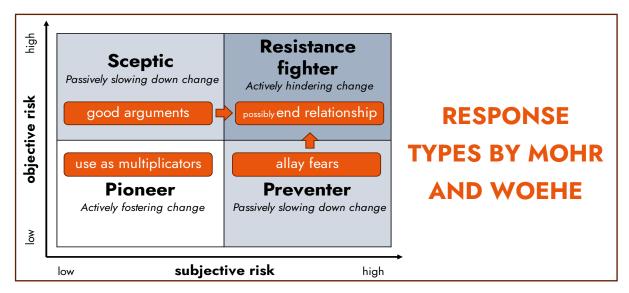


Figure 4: Response types to change by Mohr and Woehe. (Nemeyer/Oltmanns 2010)

- Pioneers see significant opportunities in the change and are willing to drive it forward
 actively. From a leadership perspective, such employees can be used as multipliers and
 actively involved in the initiative.
- Sceptics do not see a personal risk but, at the same time, do not see meaning in the intended change. They behave sceptically towards the change and do not contribute to its progress. Skilful rational argumentation from leadership can still persuade such employees of the benefits of the change initiative.
- Preventers see the change's benefits but, at the same time, have personal concerns about the outcome. While they support the change, their uncertainty prevents them from actively participating. Open communication and understanding of employees' emotions are helpful from a leadership perspective.
- Resistance fighters are not convinced by the change initiative from both a subjective and an objective perspective. Therefore, they actively resist the advancement of the changes, which could potentially hinder them. If such employees cannot be convinced otherwise (by allaying fears and presenting good arguments), an organisation must separate from them to avoid jeopardising the change's success.





3.2 Roth's phase model of emotional response

Roth's phase model of emotional response to change describes seven emotional stages individuals can go through during a change process (Roth 2000; Rank/Scheinpflug 2008). It helps to better understand and manage psychological and emotional reactions to change. It is important to note that individuals experience those phases differently in terms of intensity and reside there for different periods of time. Also, the alterations in productivity depend on the success of the change management process. If done correctly, productivity still has ups and downs, but the extent of the productivity fluctuations is reduced. The seven phases and the according role of the facilitator are:

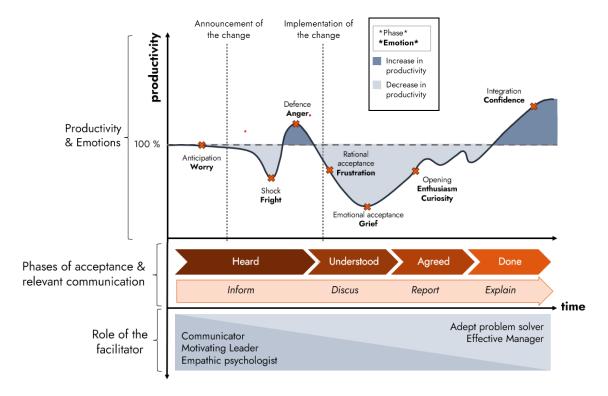


Figure 5: Response phases and interaction suggestions. (Roth 2000; Rank/Scheinpflug 2008; Jachtchenko 2021; Groth 2011)

 Anticipation: The change has not yet been announced, but employees more than regularly suspect something will happen soon. This can lead to undesired rumours and anxiety amongst employees, which in turn might adversely affect the change realisation long term. To counteract negative effects, early and transparent communication is essential (Groth 2011).





Leaders/Change facilitators should very much consider the fragile emotional situation employees might be in.

- 2. Shock: Once the (unsuspected) change initiative is announced, employees/other persons experience a shock. Something that has been known for a long time will be replaced by something that cannot be foreseen to its extent right at the moment. Therefore, productivity decreases. Like in the anticipation phase, it is essential to communicate effectively and to address the needs and concerns of those affected (Groth 2011).
- 3. **Defence:** Right after the shock phase, affected persons feel the urge to resist the upcoming change by proving the effectiveness of old actions and routines. Their engagement will lead to a brief increase in productivity. Facilitators should continue to inform about the necessity of the change initiative and should foster a sense of urgency (Groth 2011).
- 4. Rational acceptance: Rational acceptance develops once employees/other persons acknowledge that the announced change is inevitable. Affected persons feel frustrated about the situation and resign themselves to the new reality. Productivity decreases, especially for those who do not feel appropriately equipped in terms of knowledge and skills for their new tasks. Leaders/Change facilitators should act motivational and empathic and also help to understand the change necessity and, therefore, discuss it (Groth 2011).
- 5. Emotional acceptance: Emotional acceptance is the tipping point. Employees realise that routines and habits have to change. Self-esteem is at its lowest point at this moment, and therefore, productivity is as well. On the other hand, the willingness to try new things begins to form and leads to the next phase. As before, leaders/change facilitators should act motivational and empathic and also help to understand the change necessity by discussing it (Groth 2011).
- 6. Opening: Employees/other persons become open to testing new routines and the results of the change. They are interested in the advancements and, therefore, willing to adapt to the new routines. However, it takes a few test rounds to get things right, which is why productivity





wobbles during this phase. Keeping everyone involved and motivated is crucial, so reporting and celebrating short-term success and sustaining acceleration is needed (Groth 2011).

7. Integration: Finally, employees/other persons embrace the change outcome and can act within the new structure. Productivity increases; if the change is planned well, value is added and productivity exceeds the old level. In terms of communication, there should be a lot of explanations to help employees/other persons learn and continuously learn new skills (Groth 2011).

While describing those phases of emotional reaction, it becomes clear that Kotter already addresses some of the communication tasks with his model. However, Kotter's model also includes organisational tasks that are not directly relevant to communication (e.g., enlist a volunteer army).

The role of the change facilitator leans on a book by Wladislaw Jachtchenko, in which he describes five roles of a leader (Jachtchenko 2021). Although his book specifically addresses leadership behaviour — not guidance counselling — the idea behind those roles is still relevant to understanding how change processes are handled. The roles are:

- Communicator: being charismatic and persuasive; using rhetorical methods to convince; having good arguments.
- Effective manager: being effective and efficient; focusing on output and outcome rather than interpersonal aspects.
- Motivating leader: being motivational and enthusiastic; adapting motivational techniques to each and every individual's needs.
- Empathic psychologist: being empathic and supportive; addressing the individual character of every employee.
- Adept problem solver: being rational and solution-orientated; focusing on situations and their factual level.





4 FIVE WAYS TO DEAL WITH CHANGE

There is a world of difference between the underlying assumptions of the various strategies or approaches that are applied to change. As a result, the practical applications of these strategies also vary. De Caluwé and Vermaak (2003; 2018; 2019) aim to define five distinct ways of thinking about change within organisations, things or people: yellow-print thinking, blue-print thinking, red-print thinking, green-print thinking and white-print thinking.

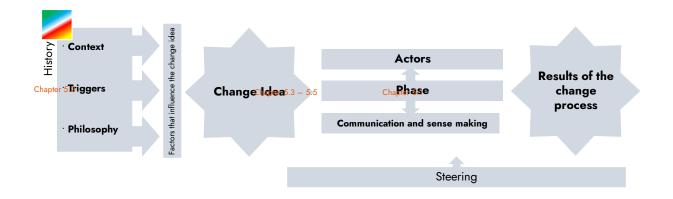
Table 1 summarises the five ways of thinking, including their main assumptions and keywords.

The colour print model	Assumptions	Things/people will change if you	Key- words
Yellow-print thinking	Something only changes when key players are backing it. Enabling change requires getting the powers that are behind it, whether their power is based on formal positions (e.g. board members) or informal positions (e.g. opinion leaders).	Unite the interest of important players / compel people to accept (common) points of view / create win-win situations / form coalitions	Power Politics
Blue-print thinking	Change only happens when you analyse the problem, suggest the best possible solution and implement it according to plan. Change is thus deemed a linear endeavour: you think before you act.	Formulate a clear goal before- hand / lay down a concrete plan with clear steps / monitor the steps well and adjust accordingly / keep everything stable and con- trolled / reduce complexity	Rationality Structure
Red-print thinking	Change is not about policies and plans but about behaviour. People only change their behaviour when they are stimulated to do so, for example, by rewarding them or offering support.	Stimulate people in the right way / employ advanced HRM tools / give people something in return / manage expectations / create a good atmosphere / make change attractive	Motivation Social
Green-print thinking	Changing and learning are deemed inextricably linked: they are thought to mean almost the same. The only way forward is to dig deeper, discover one's limits and expand and deepen the way we see and act in the world	Make people aware of new insights / motivate people to learn new things / create collective learning situations / allow people to gear towards learning goals	Learning Growing
White-print thinking	Change is constant and takes place of it's own accord. People can make the most difference when they understand and catalyse a change that is about to happen. Evolution is not created but supported (or obstructed).	Start from people's drives and strengths / add meaning to what people are going through / remove obstacles / give free rein to people's energy / make use of rituals	Organic Evolution





5 MAIN COMPONENTS OF PLANNED CHANGE



Adjusted and used from: De Caluwé, L., & Vermaak, H. (2003). Learning to change: A guide for organisation change agents. SAGE Publications, inc.

"Planned change is about realising the intended outcomes, while recognising and building on the historical context, by actors who influence each other, by going through a sequence of phases or steps, by communication and sense-making, while the change process is monitored and guided by change agents."

5.1 Outcomes

Change can be regarded as the realisation or facilitation of intended outcomes. The following model (Figure 1) can be used to clarify and identify these outcomes. This model divides possible outcomes into five separate sets of characteristics, namely:

- Characteristics of products, services and operations (e.g. flexibility, efficiency, quality, effectivity, rentability, etc.)
- Characteristics of interaction (e.g. openness, respect, initiative & action, learning ability, inspiration, vitality, collective ambitions, etc.)
- Characteristics of people (e.g. skills, power, willingness, knowledge)
- Characteristics of organisation and management (e.g. structure culture, management style, systems, etc.)





• Characteristics of business processes (e.g. R&D, production, marketing & sales, evaluation & aftersales, HRM, finance, logistics, planning, etc.)

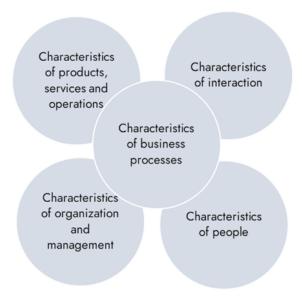


Figure 1. Model for identifying desired outcomes. Adjusted and used from: Vermaak, H., & De Caluwé, L. (2019). Leren veranderen: Kennis voor veranderaars in opleiding en praktijk (Derde, geheel herziene editie). Deventer; Vakmedianet.

The generalised model helps to brainstorm about desired outcomes, reflect on and reframe outcomes, reduce bias and explore the interconnectedness between characteristics. It aids discussion about what should be regarded as means and what as ends.

5.2 History

Planned change does not start by itself; there must be an engine or source. Three things fuel this engine:

1. The context:

Characteristics of the organisation and things around the system (history, branche/sector, competition, society, etc.)

2. The trigger:

emotional characteristics (ambition, dissatisfaction, conflict, imbalance, etc.)

3. The philosophy:

meaningful characteristics that form the basis of the change idea (vision of people, values, political beliefs)

5.3 Actors

- Initiators: launch the change idea and put it on the agenda
- Sponsors: use their formal and informal powers to legitimise or tolerate the change idea
- Orchestrators: set up the change, stimulate implementation and monitor progress

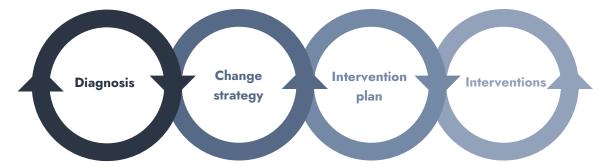




- Supporters: informally support the idea and make it known
- Champions: participate in coordinating the implementation plan
- Implementers: realise the change interventions on the work floor
- Victims: undergo the change on the work floor (happily or unhappily)

5.4 Phases of change

In defining the phases of change, the authors have opted for a simple four-way split that seems to be applicable to all colours of change (see Figure 2). Of course, the activities within the change phases are not a continuous, homogenous stream.



In this document, we won't discuss the different phases in depth. However, the attachments present an example of a diagnostic matrix (attachment 1) and an intervention matrix (attachment 2).

5.5 Communication and sense-making

Communication and sense-making are crucial in change processes. Communication and sense-making can be done **about the change** and **within the change**. Communication about the change is done to inform and inspire people in the organisation and the outside world. Communication within the change is done to make the change successful, for example, by discussing the contents of the change or motivating other people to participate.





A few examples of resources for communication are presented in Table 2.

The colour	Resources		
print model			
Yellow-print	Resources to find out what's going on in organisations		
thinking	Formal and informal consultations, work sessions		
	Consultation meetings		
	Expert sessions		
	Opinion influencing media		
	Lobbying/ leakage		
Blue-print	Parallel media informing everyone at the same time		
thinking	Newsletters/ brochures/ staff magazines		
	Intranet and other electronic resources		
	Audiovisuals (film)		
	Charts, progress meters, models		
	Staff meetings		
Red-print think-	Resources that promote face-to-face communication		
ing	Staff interviews, work meetings		
	Personnel instruments		
	Goodies (rewards)		
	Planned imaging through internal media		
Green-print	Resources that engage employees by experimenting and learning		
thinking	Discussion and feedback on functioning		
	Peer review		
	Trainings, gaming simulations		
	Communication through role-models		
White-print	Resources that promote open communication		
thinking	Viral messages		
	Voices of dissent from people who disagree		
	Group discussions		
	Brainstorming sessions		

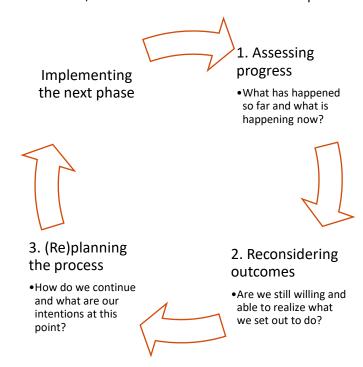




5.6 Steering

Without steering, the change process is like a 'runaway train' without a machinist. Steering means using feedback- and feedforward cycles to assess the progress, reconsider the outcomes and (re)plan the process. You can do this by answering the following three questions:

- 1. What has happened so far, and what is happening now?
- 2. Are we still willing and able to realise what we set out to do?
- 3. How do we continue, and what are our intentions at this point?





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ATTACHMENT 1 DIAGNOSIS MATRIX

The colour	Individual	Group	Organisation	Environment
print model				
Yellow-print	1. Does this person know	1. Who talks to who and	1. What are the chances of	1. How is corporate gov-
thinking	what is going on in the or-	who doesn't?	reaching an internal con-	ernance organised?
	ganisation?	2. Are there people wear-	sensus?	2. Who poses our biggest
	2. What is this person's	ing two hats?	2. Who are the (informal)	threat?
	real agenda?	3. Who is leading and	leaders?	3. Are there rules and reg-
	3. Is this person somewhat	what is his room for ma-	3. What does the head-	ulations that influence
	well-liked by the board?	noeuvre?	quarters want?	this?
Blue-print think-	1. What are the tasks and	1. What are the decision-	1. What does the organisa-	1. Who are the competi-
ing	responsibilities of this per-	making rules?	tional chart look like?	tors and what is their mar-
	son?	2. What is the span of	2. Are we still making a	ket share?
	2. What does this person	control?	profit and staying on	2. Who are the chain part-
	know and what do they not	3. In which phase are we?	track?	ners?
	know?		3. What are we basing	3. Is it possible to operate
	3. What colour does this		that on?	using a franchise model?
	person have?			
Red-print think-	1. Is this person a team	1. Is there a good working	1. What is the organisa-	1. What image do we have
ing	player?	atmosphere?	tional culture like?	in the outside world?
	2. What does this person	2. Do people get along	2. What ambitions are be-	2. Are we good neigh-
	get excited about?	with each other?	ing pursued?	bours in the region?
	3. Is this person loyal?	3. Are people collaborat-	3. Is there a Christmas tree	3. How is the consumer
		ing?	(during Christmas)?	satisfaction?
Green-print	1. Does this person reflect	1. Do people confront	1. How are experience	1. Do we listen to custom-
thinking	on themselves?	each other?	and knowledge pre-	ers?
	2. Does this person push	2. Are people experiment-	served?	2. Do we respond to exter-
	their limits?	ing?	2. Are people learning on	nal trends?
	3. Is this person aware of	3. Do people complement	the job?	3. Do we gain and use sci-
	what annoys him?	each other?	3. Do office doors stay	entific knowledge
			open?	
White-print	1. Does this person make	1. Can people find hu-	1. What is holding people	1. Do we have a message
thinking	their work exciting?	mour in it?	back?	for the outside world?
	2. Does this person know	2. Is diversity actively	2. What are the roots of	2. How do we define our
	what they want?	sought after?	the organisation?	world?
	3. Can this person handle	3. Is it a coincidence that	3. What motivates people?	3. How central do we per-
	conflicts?	this group has formed?		ceive ourselves in the net-
				work?





ATTACHMENT 2 INTERVENTIONS MATRIX

This matrix contains examples of interventions and modes of behaviour that can be implemented during the execution of an intervention plan.

An intervention is defined as one or a series of planned change activities aimed at increasing (or helping to increase) the effectiveness of an organisation. Thus, interventions can be directly and/or indirectly supportive in reaching the desired outcomes.

The colour print	Individual	Group	Organisation
model			
Yellow-print think-	1. Personal commitment statement	1. Confrontation meetings	1. Improving the quality of work life
ing	2. Outplacement	2. Third-party strategy	2. Forming strategic alliances
	3. Protégé-constructions	3. Top structuring	3. Negotiations on labour condi-
			tions
Blue-print thinking	1. Management by objectives	1. Working in projects	1. Strategy analysis
	2. Hygienic working	2. Archiving	2. Business process redesign
	3. Working with a day planner	3. Decision making	3. Auditing
Red-print thinking	1. Career development	1. Social activities	1. Reward systems
	2. Recruitment and selection	2. Team roles	2. Managing mobility and diversity
	3. Job enlargement / enrichment	3. Management by speech	3. Triple ladder
Green-print think-	1. Coaching	1. Team building	1. Open systems planning
ing	2. Intensive clinic	2. Gaming	2. Parallel learning structures
	3. Feedback / mirroring	3. Intervision	3. Quality circles
White-print think-	1. T-group	1. Self-steering teams	1. Search conferences
ing	2. Personal growth	2. Open-space meetings	2. Rituals and mystique
	3. Networking	3. Making mental models explicit	3. Deconstructing "sacred cows"

