Change Management from a Stakeholder Perspective

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Abstract

With the ever increasing rate of change the pressure continues to rise on all types of organisations for quicker and more effective change. Companies of today face multiple requirements which have caused a shift from shareholder focus to a more balanced stakeholder focus. In the 80s and 90s the Japan originated quality movement with its focus on customers was by many seen as the solution for effective change. Change program focus has since shifted from Total Quality Management (TQM) and Business Excellence models to 6Sigma improvement and Lean Management in parallel with behaviourally oriented change approaches with their focus on leadership. There does not seem to be any clear typology that relates different improvement approaches within the larger context of Change Management. The main purpose of this paper is to review how change management is defined and presented and to propose a stakeholder based taxonomy for organisational change management and to also portray if and how quality management could be seen as part of this. This is done with the view of increasing the understanding of what constitutes effective change. The results here form only a first iteration of a more extensive work to come. The purpose is to identify critical elements for change. Change Management has been described as a process. Elements identified have then been placed into a process based system. The first results indicate that Quality Management could be seen as part of Change Management and that the chosen approach using the process view is promising, but also that the process of change is complex and that considerable further research is required.

Key words


Paper type

Research paper.
**Introduction**

With the ever increasing rate of change the pressure continues to increase, for quicker and more effective organizational change. For society at large, and organizations in particular, the magnitude, speed, impact, and especially the unpredictability of change, are greater than ever before (Burnes, 2009, Foley and Zahnner, 2009, Helms Mills et al., 2009, By Todnem, 2005).

But, there seems to be a general consensus between practitioners and scholars that few are successful when trying to implement change (Hallencreutz and Turner, 2011). There is a plethora of information, advice and assistance that organizations can and do call upon in planning and executing change, and yet, they still fail (Burnes, 2009). Better Change Management is in great need (Senior and Swailes, 2010). What is better could be discussed. One way of assessing the success of change would be to look at its effects on all stakeholders.

Companies of today face multiple requirements that have caused a shift from shareholder focus to a more balanced stakeholder focus. Foley (2005) proposes that the contemporary business enterprise can be better understood and managed by the use of a business model that has a stakeholder rather than a competitor perspective. Stakeholders to be considered could be customers, employees, shareholders, suppliers, government, local community and the biophysical environment (Foley and Zahnner, 2009). It might therefore be argued that the level of Change Management success is measured by looking at the outcomes for all stakeholders.

The Japan orientated quality movement has a long and complex history. Its evolution from the industrial revolution to present day has been interpreted in many different ways and stages, from Quality Control over Company Wide Quality Control to Total Quality Management (TQM). Different aspects of quality management have been thoroughly covered in the literature, see for instance Feigenbaum (1951), Deming (1986, 1993), Juran (1993), Oakland (1999), Foley (2005), Bergman and Kblefsjö (2010), Bergquist et al. (2008) and Foley and Zahnner (2009). In the 80s and 90s the quality movement, with its focus on customer satisfaction, was largely seen as the solution for effective change. Over the last decade, change programs have shifted from TQM and Business Excellence models to Six Sigma improvement and Lean Management in parallel with behaviourally oriented change approaches with focus on “the people side of change” such as leadership and culture. Two major approaches for organizational change can be seen in the literature, the planned and the organic approach to change (Hallencreutz, 2009). One could ask if in the development of change management competence old knowledge becomes obsolete or if old truths resurface under other names. The Toyota Production System (TPS) started in the 1950s and was then made known as Lean Production by Womack et al (1990) in their book based on a five year MIT study on the global automotive industry. Since then, there has been Lean Thinking, Lean Management and now mostly Lean. Since the ingredients of TPS have been used as input for TQM, and vice versa, we could suspect that some of the old truths are reused and presented in a new packaging.

Findings from previous studies (Turner et al, 2009, Hallencreutz and Turner, 2011) found no coherent models and definitions of evidence based change management practices to be found in the literature. There does not appear to be one agreed best way to implement concepts such as TQM, Six Sigma or Lean. Additionally, there does not seem to be any clear taxonomy that relates different improvement approaches within the larger context of change management. There does not even seem to be an agreement if the quality movement really is part of change management. As a first step for better understanding how to describe the theory of change it would be of interest to create a taxonomy of change in which different approaches may be
related. In order to better understand organisational change and change management we need models that identify critical elements in an organisation that affect the result of a change initiative. According to Andersen (1998) a model is a set of relating concepts, describing a phenomenon in a simplified manner. As such, an organizational change model may aid in the understanding why change occurs, how it will occur and what will occur (Kezar, 2001). In our view, such a model might be able to facilitate the analysis of organisations as a means to identify elements that need to be changed or considered when change is carried out. This would be of help in adapting the change initiative to the needs. With a starting point in stakeholder needs for change it should be possible to organise, categorise and assess the relevance of different improvement approaches. In this paper we carry out a first iteration to see how a change management taxonomy could be created that includes elements from both general change management and Total Quality Management. The purpose is also to define further areas of research.

**Methodology**

Input to our study includes scientific evidence as well as practitioner knowledge and skills. Results presented in this study constitute a first iteration with limitations in the depth of different types of information collected.

The information collection is planned to be from the following sources:

- Journals with focus on Organizational Development and Change Management
- Books used as main literature in change management courses,
- Syllabi for university courses in change management
- Web site presentations of change programs from change management consultants.
- Theory and practice of current change management based on literature studies
- Web searches

All sources mentioned above have been used to an extent allowing a first assessment of the approach and results.

We have also used our own pre-understanding and experience as change management practitioners and theoreticians. This pre-understanding has been reviewed, developed and aligned in regular Skype-meetings.

The chosen unit of study is the organization, or a major part of it, being subjected to change. Change could be continuous and incremental as well as intermittent and dramatic, or something in between. We view change management as an approach for improving organisational performance. Approach is here interpreted as something that describes core values and principal change methodologies as well as the sequence of change. Furthermore, we apply a process view where the process subjected to change is part of an organization. We also view change management as a process starting from a perceived need for change to realised change. We recognize that there are an infinite number of elements which could be critical in some particular change situation. However, an assumption in our study is that it is possible to use a limited number of change elements to describe an organisation and its environment in such a way that the main critical areas for successful change are included. The term successful is here interpreted as “the fulfilment of perceived stakeholder value”.

For analyzing and categorizing the information we have used a few assumptions. We have assumed that organizations can be described as process based systems and that change also
can be viewed as a process. Change management elements have been categorized based on a breakdown of the data using a typical process model presented in Figure 1.

Additionally, main stakeholders in the change initiatives are identified. Elements are also categorised using the thinking of Bergman and Klefsjö (2010) who define a management system as consisting of values, methodologies and tools. Shared values are generally seen as an important starting point for successful change. These are then supported by methodologies (how things are done) and tools (nouns describing structures, check lists, models etc.). A change approach consists in addition to the values, methodologies and tools of a roll out sequence – the order of carrying out change.

Figure 1. A proposed generic model that is used in this study to describe organizations. The model is based on a classification in management processes, main processes and support processes. Resources are identified as a separate entity. Adapted from Isaksson (2006).

**A Brief History on Change Management Theory**

The majority of studies from both the US and European countries indicate that over 70 per cent of all major change initiatives fail to reach intended objectives (Haines et al., 2005, Mills et al., 2009, Burnes, 2009). Contemporary theory on organizational change shares the same pedigree as other general management theories, such as quality management. In the theoretical DNA we find references to Taylor, Weber, Fayol and other classics. The rise of capitalism in Britain and other European countries created new problems that could not be accommodated under the old order (Burnes, 2009). A need for coping with change emerged.

The mechanistic, hard systems approach to organizational change, seeing change as episodic with discrete beginning and end points, was grounded in this classic approach to managing and changing organizations (Oswick et al., 2005). For the classical school, change management was relatively straightforward; it tells the organization where it should be and that rational beings within the organization accept that. The first generation of quality management emerged from this theoretical heritage (Foley and Zahner, 2009). Despite being dominant from the 1930s this classic approach to change management has encountered both
intellectual and practical opposition, and newer perspectives on organizational life have become increasingly influential in the last decades (Burnes, 2009). According to the human relations movement, in its prime in the 1930s, change cannot be seen as a rational process. Therefore, persuasion and leadership play a key role in change efforts. Later theories, such as the cultural-excellence approach (Peters, 1993), advocated a “big bang approach” to change. Handy (1986), on the other hand, seems to have adopted a more gradualist approach to change. Kanter et al (1992) advocated a combination of both; major cultural changes take time, dramatic interventions are needed to improve short term performance.

The school of organizational learning is directed at enabling organizations to change, but have been criticized for not clarifying how change initiatives generated by learning will lead to effective and coordinated organizational change (Easterby-Smith, 1997, Tsang, 1997). The Japanese approach to long term change – captured in different quality concepts – has undoubtedly been successful in Japan, but it is debatable whether this approach actually worked in many Western countries (Burnes, 2009). Thus, it can be concluded that all these approaches to organizational change have their strong points and drawbacks. But their relevance for the contemporary organization should be discussed. Alongside these developments runs the view that contemporary organizations have moved from the modern to the postmodern world (Boje, 2006). Postmodernism, with its denial of an absolute reality and promotion of competing and socially constructed, multiple realities, offers a scope for alternative organizational strategies. It also offers different choices, and stresses the importance of culture, power and politics (Burnes, 2009). A battle between chaos and order seems to emerge. All these perspectives have important but different implications for organizational life and point to the reality that there seems to be no “One best way” or magic bullet for organizational change. Instead they provide the contemporary organization with a wide range of options and choices as to how they lead change.

**Change Management and Total Quality Management (TQM)**

To date there is no well-established, widely used and agreed upon definition on TQM (Foley and Zahner, 2009). Bergman and Klefsjö (2010) define TQM as:

> “A management system in continuous development consisting of values, methodologies and tools. The aim is to increase external and internal customer satisfaction with a reduced amount of resources. It is based on a continuous improvement work in all process of the organization, in which all employees are allowed and stimulated to participate.”

The definition involves both management and change and would therefore logically seem to qualify as being part of change management. Bergman & Klefsjö (2010) describe the scope of the change in their book title: “From Customer Needs to Customer Satisfaction”. The customer definition they use is very broad and includes what normally could be seen as stakeholders and interested parties. Typical of the literature within TQM, Bergman & Klefsjö (2010) do not advocate any particular change sequence. Instead values, methodologies and tools that should be present are highlighted. TQM is strongly criticized by Foley and Zahner (2009) for its lack of a theoretical foundation and for not being linked to mainstream management research. TQM peaked internationally at the beginning of the 1990s and left a clear impact in how the ISO 9001 standards for quality management systems were formulated, starting with the ISO 9001:2000 (Foley and Zahner, 2009).

The research results for impacts from the use of TQM are somewhat contradictory. Some studies indicate that TQM improves economic performance, see for instance Hendricks and

As a management approach for change TQM has declined, but its values, methodologies and tools are being used within approaches such as 6Sigma improvement and Lean Management. Foley (2005) states that it is unclear whether TQM is simply a collection of essentially independent techniques, a management philosophy, a coherent change management method, a strategy, a theory for managing only the quality and service process, or a master theory for managing the entire enterprise – or all of the above. TQM is sometimes referred to as a planned approach to organizational change, see for instance Mills et al (2009) and Oakland and Tanner (2007). On the other hand since TQM as described by Bergman & Klefsjö (2010) lacks a clear change sequence and sees TQM as a management system consisting of values, methodologies and tools it could be seen as an example of soft systems methodology as described for example by Senior and Swailes (2010). TQM is also accused of being programmatic and technical (Alvesson and Svenningsson 2008, Helms Mills et al., 2009). According to Bergquist et al. (2008) some scholars even call it a management fad.

**Customers, Stakeholders and Interested Parties**

Much could be said about the categorisation of those that benefit from the results or the outcome of a process. This discussion is outside of the scope of this paper and we limit our contribution to defining our interpretation of stakeholders. Broadly speaking Foley and Zahner (2009) identify stakeholders as those that wield some power over the organisation and whose strategic imperatives therefore must be considered by it. Others that only have an interest or that are affected but cannot really influence the organization are called interested parties, see also Garvare and Johansson (2010). Generally, customers are regarded as being part of the larger group of stakeholders. Bergman and Klefsjö (2010) state: “Those we want to create value for are our customers”. This very wide definition expands the perspective to include several stakeholder groups and even interested parties. It could be argued that all those affected by change should be considered when the success of a change initiative is assessed. There will often be both winners and losers in change initiatives, but seen from an ethical perspective all those affected, within reason, should form part of a change element assessment. In this paper we therefore include in our operational stakeholder definition all those for whom value is created, also considering harm or negative value and even including those who cannot speak for themselves, such as forthcoming generations and nature.

**Change Management, 6Sigma and Lean**

Toyota Motor Corporation is widely recognized for having created a management system that top leaders of many manufacturing and service businesses throughout the world now seek to emulate (Emiliani, 2006). In the literature this management system is referred to as “Toyota Production System” (Ohno, 1988), “Toyota Management System” (Monden, 1993), “Lean Production,” (Womack et al., 1990), “Lean manufacturing” due to its origins in production and operations management (Shingo, 1981; Ohno, 1988), “Lean Management” (Emiliani et al., 2003) or just “Lean thinking” (Womack and Jones, 2003). The Japanese commitment to quality and continuous improvement is legendary, but despite a seemingly widespread acceptance of the need for improved quality in the West, the Japanese still appear to be the only nation capable of diffusing and disseminating these ideas and practices throughout the majority of its industry (Dale and Cooper, 1992, Hannam, 1993, Womack and Jones, 2003). So far Lean is probably the most popular concept of the Japanese approaches to management. But not all organizations succeed when embracing Lean. Typical obstacles include:
- Lack of underestimating the cultural and managerial impacts,
- The illusion of progress,
- Conflicting measures, in attention to the principles of Lean
- The use of Lean as a set of tools rather than a way of doing business (Boyer and Sovilla, 2003).

Six Sigma, on the other hand, has been described as an American response, wrapping classic quality management in a new package (Klefsjö et al., 2006). There have been numerous presentations of cases, comprehensive discussions, books and websites addressing Six Sigma. However, little scholarly research has been done on Six Sigma’s influence on management theory and application (Goffnett, 2004, Schroeder et al, 2005). Similarly, even though considerable and important works have been carried out within change management there are still many questions remaining.

Six Sigma includes many of the values, methodologies and tools mentioned within TQM, but unlike TQM it comes with a clear recipe for change in the DMAIC-process. Change goes from identified needs over Define-Measure-Analyze-Improve-Control to a desire state secured by some new controls.

**The Process View and Change Management**

In very simple terms the ideal process is effective, efficient and flexible. Effective could be defined as reaching the objectives, which are set seen from a stakeholder perspective. Efficient could be seen as minimising resource use and harm done to stakeholders and the timely execution of change. The flexible change process would be the one that can adapt to changing system conditions, such as varying needs, without losing effectiveness or efficiency.

In Figure 1 a generic change process “to support change” is identified as a support process. Quite often when major change is attempted a part or all of this change process is outsourced to actors external to the organization, i.e. consultants. The decision regarding to what extent change management should be internal or external is decided in a management process, which also could be seen as a support process. Management processes are present at different levels and the change process has its own management, main and support processes as well as dedicated resources. These are presented schematically with the lines and boxes in Figure 1. The model in Figure 1 is used both for identifying elements in the process which is undergoing change and the change process itself, see Figure 2.

The structure in Figure 2 bears resemblances with the Lewin process of unfreeze, change and re-freeze, (Lewin 1951). However, the descriptions of actual and future states are not static – they are not truly frozen, which also corresponds to the original intention of Lewin’s process. Even when frozen in a descriptive model the interpretation should be that of a snapshot of ongoing change. The change process model template could be used to describe the internal work of continuous change as well as a change process managed by an external consultant. In any change there are factors that cannot be controlled, which in Figure 2 have been described as external factors. The model structure can be used to detail change elements at different levels. For example the sub-process of unfreezing could be described using the same model structure of management, main, and support processes supported by resources.
Identifying Change Elements

Organizational change can be defined as an alteration of a core aspect of an organization’s operation (Helms Mills et al., 2009). Compiling the information from studied journals, books and websites, the term change management is used to describe both the actual process of managing organizational change as well as an area of professional practice. In essence a body of knowledge and models, describing requirements, standards, processes and procedures. According to Hallencreutz & Turner (2011) there is no consensus on a definition of the term change management. In our view, a large part of contemporary consensus regarding the definition of change management can be summarized in the following definitions:

“Change management is the coordination of a structured period of transition from situation A to situation B in order to achieve lasting change within an organization.” (BNET Business Dictionary)

"Organizational change management is the process needed to enable the people in an organization to transition from their current environment and adopt the new work environment or desired state”. (Turner (2007)

“Organizational change management can be seen as a structured, proactive approach to relocate individuals, groups and organizations from a current state to a desired future state” (Hallencreutz, 2009 and Implement MP AB)
Turner (2007) identifies the people in an organization as the main stakeholders. The change process starts with a current state which is not up to the desired state and points out the working environment as the area for change. This would, in the context of the process model, be focused on changing the state of resources of manpower and environment. The Implement MP definition points to individuals, groups and organizations as change elements. Not only do people need to change on an individual level, but also as team members and as employees of the organization. This indicates changes in how work is done in the organization which could be seen as a resource called working methods. When changing how people behave we need to change the resource of working culture. The process starts with a known current state which needs to be changed to reach a desired future state. Both in Turner and Implement it is unclear who has defined what is desirable. In many cases this would be management that has defined a desirable state, which then has to be communicated to employees, which in turn need to accept and sometimes even adopt this definition. Management could be seen as acting mainly in the interest of shareholders. This could be a slight difference from TQM, which at least formally advocates for focus on the customer.

Most change programs, such as Lean transformations, Six Sigma deployment, Business Process Reengineering programs and behavioral change initiatives, start with a perception of a need for change. There is the risk that management has not considered all required stakeholders or all key elements when defining the need for change. Arguably, the success of change is at least partly a function of how correct the means for handling the perceived need for change has been analyzed. For any process it is important to correctly assess the interface. In this case the question is what the input for the change process is. Right or wrong, the identified need for change in any system is the result of a planned or unplanned analysis. Such analysis for the need of change is ongoing all the time – is it worth the time to change this? The studied system is subjected to a multitude of drivers for change. Based on this discussion the input could be seen as a driver for change. The first sub-process would then be to analyze the change need with the result being a decision to stop there, to analyze further or to start a change activity. Isaksson (2006) has divided change into two broad categories, creating interest for change and changing processes. Kotter (1996) has as the first stage in his change process: “Creating a sense of urgency”. This process is probably not linear, but involves several iterations to reach a critical mass favorable to change. The actual trigger for change is sometimes a result of a thorough analysis based on facts and sometimes the result of a social construction, a management hunch or just a wink of the eye of an executive.

The interface on the output side also needs to be defined. It is obvious that we somehow need to include stakeholders as an element into our process model. Our generic model produces output which is received by different stakeholders in the studied system. We could extend our model with an outcome that is a result of the output, (Isaksson et al., 2008). The output of the process is judged by the stakeholder and leads to a certain level of stakeholder satisfaction or value (positive or negative). Process output could for example be usability of products, level of profit and tons of carbon dioxide emitted. The outcomes for this would be levels of customer and shareholder satisfaction and effects on global heat capture.

The first step of unfreezing described by Lewin starts with changes in a force field which has been in balance (Lewin, 1951). The force field consists of forces that push for change and others resisting change. One interpretation to this is that unfreezing could be seen as the first step after an input consisting of a driver for change. It could also be argued that in order to start unfreezing a decision of doing this is needed, which would indicate an earlier process of analysing a change driver, something that then leads to an imbalance. A change driver which
changes the force field in such a way that change actions are needed could be seen as the input for the change process in Figure 2. The end result of this is with the system having the force field in balance. The time for balance could be a question of milliseconds or years depending of the stability of the studied organisation and the level of difference qualifying as change.

Kotter (1996) claims that change can be described with eight steps with the first being creating a sense of urgency. This implies that there already is a decision for starting change among some key persons. Therefore Kotter’s first step could be seen as a sub-process in unfreezing. The last of Kotter’s eight steps is: Anchoring new approaches in the culture”, and could be interpreted as the last sub-process of refreezing.

According to our review of change management consultancies the dominant discourse among US and Swedish change management consultancies seems to be a holistic systems approach, addressing both “hard” and “soft” aspects of change management, such as structural change and people change. The most widespread approach seems to be a planned approach to change, consisting of step models and change processes addressing process, structure and people, see example in Figure 3.

![PLOT Change Diagram](image)

Figure 3. An example of a commercial model for change management deployment based on a planned approach to change, focusing on both structure and people (Bain, 2011).

Important stakeholders that are identified when analysing the model are: Shareholders, customers, “people” within the organisation and leadership/management. There are some values that can be identified as elements but which are not explicitly mentioned. The model structure indicates that continual improvement is a value. Some methodologies surface such as: Inspire people, mobilise change teams, measure and monitor performance, align change culture, use management by visions and objectives with clear accountabilities. Methodologies that are less evident but could be suspected to be part of the proposed change are using brainstorming, carrying out workshops and training. There is no explicit mention of tools but measuring, monitoring and making tough decisions require good measurements in the form of a list of Key Performance Indicators that relate to all relevant stakeholders. It is not clear if the identified value is for shareholders only or all stakeholders. The model indicates that the sequence of change is Plan-Lead-Operate-Track. The circularity of the model indicates that
the change could start at any point. This resembles the Plan-Do-Study-Act improvement wheel with the difference that Lead is similar to Plan, Operate with Do and so on.

Values, methodologies and tools could all be categorised as resources and are embedded in the resource categories of Management (espoused and enacted values), Manpower (values and competence), Method (methodologies and tools identified by the organisation).

The change elements identified so far are: Input, output, outcome, stakeholders, processes and resources (both internal and external). Input for a change process could be defined as a driver for change which causes an imbalance in the force field and starts a process of unfreezing. The output of change could consist of measured and assessed change in the system subjected to change. This output is then interpreted by the collective of stakeholders and could be summarised as the sum of perceived value change. Stakeholders could be seen as all those that perceive a value change because of the change carried out. Processes are activities at different levels in the system. Resources are both tangible and intangible resources that enable the processes to work. External resources could include country and branch factors.

**A Proposed Change Management Taxonomy**

In Figure 4 our first proposed interpretation of a generic process model for change with some preliminary elements.

![Figure 4. Proposed elements in a generic change process. Adapted from Isaksson et al. (2008).](image)

The main elements are complemented with sub-elements in the three steps of the change process. These should be seen as examples and are the result of a first iteration. Some are probably redundant and others could be missing. However, the indication is that the structure could be of use. The PESTEL refers to an abbreviation of different change driver categories and are Political, Economic, Social, Technological, Environmental and Legal (Senior and Swailes, 2010).
**Conclusion**

We find that organizational change can be visualised as a process and that the proposed structure in Figure 4 can be used for further research. The change process describes change from stakeholder needs to a level of stakeholder satisfaction. Since stakeholders are those that decide a change process, one can never guarantee that all stakeholders are satisfied. It remains an objective. Based on Figure 4 it can be stated that TQM forms part of generic change management. Customers form part of the group of stakeholders and working with fulfilling their needs based on defined values, methodologies and tools can be seen as change management.

**Discussion**

Within the group of stakeholders it seems fair to say that TQM would be more focused on the stakeholder customer where as general change management might be more geared towards the stakeholder shareholder.

In most change processes there seems to be an initial phase of orientation before the actual change takes place. Kurt Lewin (1951) labelled it the stage of unfreezing and it consists of different actions to set the need for change and create a sense of urgency within the organization. This phase is followed by a phase of preparation where planning and sense-making take place. The phase of activity then executes the actual change events and enables the transformation. Finally, there is a fourth phase of securing and sustaining the desired outcome of the change events.

We have so far retained the three phases of Lewin, but will have a closer look at the input interface in future work. All these phases can be visualised in a process model which can facilitate the organizational understanding of the context, purpose and meaning of the change process as a whole. The world is complex and dynamic and constructed, interpreted and experienced by people in their interactions with each other and with wider social systems. Thus, reality is subjective and can only be imperfectly grasped. A process model can only partially explain the complex reality of organizational change but it might help us along.

Implement MP uses three perspectives of change – human, strategic and structural. This is a quite typical categorization for change management consultants. If we used the three steps identified by Lewin (1951) as a starting point it could be discussed if we need to look separately at each step in the three perspectives. Is there a value in looking at unfreezing in a human, strategic and structural perspective? This remains an issue for further research.
References


