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PROACTIVE CHANGE MANAGEMENT: APPROACHES AND TOOLS

ПРОАКТИВНЕ УПРАВЛІННЯ ЗМІНАМИ: ПІДХОДИ ТА ІНСТРУМЕНТИ

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Дорошук Г.А., Граціотова Г.О. Проактивне управління змінами: підходи та інструменти. Науково-методична стаття.
 В статті проаналізовано поняття «зміна», еволюцію поняття змін від древніх філософів до сучасних зарубіжних і вітчизняних вчених. Проаналізовано види змін з точки зору різних вчених та доповнено класифікацію змін. Розглянуто поняття управління змінами, можливість та необхідність, об'єкт, суб'єкт управління змінами та етапи управління змінами на підприємстві. Виділено типи управління змінами та обґрунтовано доцільність використання саме проактивного управління змінами. Сформовано концептуальну схему управління змін на підприємстві. Розглянуто інструменти проактивного управління змінами, а саме: управління готовністю до змін, управління потенціалом змін, управління ризиками змін та управління ефективністю змін. Запропоновано інструменти підвищення ефективності управління змінами.

Ключові слова: зміни, види змін, управління змінами, об'єкт змін, суб'єкт змін, проактивне управління змінами, концептуальна схема управління змінами

Doroshuk G.A., Gratsiotova G.O. Proactive Change Management: Approaches and Tools. Scientific and methodical article.

In the paper the concept of "change", the evolution of the changes concept from ancient philosophers to modern foreign and domestic scientists are analyzed. The types of changes were analyzed from the point of view of various scientists and the classification of changes is complemented. The concepts of change management, possibility and necessity, object and subject of change management and stages of change management at the enterprise are considered. The types of change management are distinguished and the expediency of using just proactive change management is grounded. A conceptual scheme for change management in the enterprise is formed. The tools of proactive change management are considered, namely: management of readiness for change, management of change potential, risk management of changes and change effectiveness management. Tools for improving the effectiveness of change management are proposed.

Keywords: changes, types of changes, change management, object of changes, subject of changes, proactive change management, conceptual scheme of change management

Today, the enterprise represents a complex mechanism that overlaps the interests of people and groups of people, motivation and limitations, technology and innovation, rigorous discipline and creative potential, formal requirements and informal initiatives. An enterprise is rapidly developing, if it has a well-established strategy and effectively uses all resources, changes when it changes the course of the chosen strategy. To maintain enterprise competitiveness and ensure a high technological level, it is necessary to make changes at an enterprise more often. A modern enterprise operates under uncertain conditions. Unexpected changes in the company arise very often and they should react promptly to them. Today, it is obvious that the enterprise to survive in the market need to occasionally make changes in their activities. Therefore, there is a need to develop approaches and tools for effective change management.

Analysis of recent research and publications

Conceptual and applied aspects of management of changes in enterprises are covered in many scientific works. Among the representatives of foreign scientific thought should be noted: I. Adizes, I. Ansoff [12], R. Beckhard, V.R. Vesnina [4], O.C. Vichansky [5], I. Gerchikov, L. Greiner [13], D.M. Kalimullina [2], E. Cameron, J. Cotter, K. Levine [9], M. Tashman, A. Thompson [11], A. Strickland [11], J. Harrington, G.V. Shirokov [7,10]. Great contribution to the formation of theoretical, methodological and instrumental management of changes in enterprises was carried out by such domestic scientists as O.S. Bozhenko [3], D.K. Voronkov, O.I. Garafonova [1,6], G.A. Doroshuk [14], G. Zhavoronkova, Yu. Makarenko, D. Nayapak, A. Pashchenko, A. Petryayev, V. Ponomarenko, I. Prokopenko, K. Serebryakov, S.R. Stets [8]. Despite a large number of scientific developments on the subject, a number of theoretical and practical issues remain underdeveloped. In particular, the issue of the possibility and necessity of managing changes and tools for improving the effectiveness of changes is discussed.

The aim of the article is to identify the conceptual foundations and tools for effective change management.

The main part

The problem of change as a scientific was considered by first of the philosophers Aristotle. He listed four types of changes: the change of place, quality, quantity, substance. Plato believed that things are in constant change. In the philosophical encyclopedic dictionary, the following definition is given: "Change – transformation into another, the transition from one qualitatively defined being to a qualitatively different definite being. The change is determined by the volume and direction, duration and speed." After Aristotle, many scholars questioned the essence of change. Evolution of views on change from the standpoint of different sources and scientists is given in table 1.

Table 1. Evolution of views on changes

Criteria for determination	Author	Interpretation of the term "change"
Changes in time	Plato	Things are in constant change
	Economics and Law: dictionary-directory	Change – transformation caused by the instability of the general characteristics of the historical evolution of the conditions of the organization
	Shcherbyna V.V.	Change – a process that occurs over time, the transition of phenomena, elements, structures, connections from one state to another
	Barret W., Carroll G.	Organizational change – is a transformation in an organization between two moments of time
Changes as process (transition)	Philosophical encyclopedic dictionary	Change – transformation into another, the transition from one qualitatively defined being to a qualitatively different definite being. The change is determined by volume and direction, duration and speed
	Contemporary philosophical dictionary	Change – a concept that is part of a set of concepts that characterize movement and development. Change is understood as the origin or destruction of the properties of an object
	New philosophical encyclopedia	Change, as a category of philosophical discourse, characterizing the state, alternative stability, transition from one state to another, changing the content in time
	New explanatory dictionary of the Ukrainian language	Change is a transition, transforming something into something qualitatively different; replacement of someone, something to someone, something else
	Interpretative terminology dictionary	Change is seen as the transition of an object from one state to another, from any organizational element over time
	Kartashova L.V., Nikonova T.V.	Organizational change is a process that can be managed, a phenomenon that has its own form and character
	Bovin A.A., Cherednikova L.E., Yakimova V.Ya.	Change is a result of creative activity aimed at introducing new organizational solutions
	Kalymullyn D.M. [2]	Change – is the transition of the organization or its separate components into a new state, under the influence of synergistic interaction of the factors of the external and internal environment, in order to achieve the goals of economic development
The object of change	Mazur I.I., Shapiro V.D.	Organizational changes are activities carried out within a certain organizational hierarchical system
	Aristotle	Changes like: change in place, quality, quantity, substance
	Bozhenko O.S. [3]	Changes are different types of innovations that can skillfully combine in different directions, namely: changing goals of organization, structure, technology, technological processes, product designs, etc.
	Huber G., Glick W., Miller C.	A change in organization means a change in how an organization operates, who its members and leaders, what form it accepts and how it distributes its resources
	Garafonova O.I. [1]	Changes are a process of transforming knowledge and ideas into a demand-driven consumer value. Changes can be as goods and services for external consumers, as well as technology, business models, strategies, organizational structures and processes.

Source: compiled by the authors on the materials [1-3]

The modern philosophical dictionary gives such an interpretation of this notion. "Change – is a concept that is part of a set of concepts that characterize movement and development. Changes is understood as the appearance or destruction of the properties of an object, increase or decrease its parameters, its movement or transformation, transition to another form. Changes in relation to a particular object can be classified as internal

and external, quantitative and qualitative, partial and systemic." In the "New Explanatory Dictionary of the Ukrainian Language" it is noted that the change is a transition, transforming something into something qualitatively different, replacing someone, something with someone, something else. In the dictionary "Economics and Law" the following definition is given: "Change – transformation caused by the instability of the general characteristics of the historical evolution of the conditions of the organization. In the dictionary "Social Theories of the Organization" in relation to the changes, it says: "Change is a phenomenon that occurs over time, the transition of phenomena, elements, structures, connections from one state to another", in the dictionary "Market. Business. Commerce. Economy" change is seen as the transition of a social object from one state to another. O.I. Garafonova believes that the change (in the organization, company) – a gradual process of moving the organization to a new level of development, by transforming one or more elements of the organization. Changes are a process of transforming knowledge and ideas into a demand-driven consumer value. Consumers of changes can be both goods and services for external consumers, as well as technology, business models, strategies, organizational structures and processes that provide innovative development of their own business [1]. I.I. Mazur defines organizational changes as "activities carried out within a certain organizational hierarchical system." L.B. Kartashova treats organizational changes as "a process that can be controlled", "a phenomenon that has its own form and character". A.A. Boavin writes about organizational changes, calling them "the result of creative activity aimed at introducing new organizational solutions". D.M. Kalimullin defines organizational change as "the transition of an organization or its separate components into a new state, under the influence of synergistic interaction, factors of the external and internal environment change, in order to achieve the goals of economic development, aimed at improving the efficiency of management" [2].

Having analyzed the various definitions of the term "change", we can conclude that there is no single interpretation of it. The term "change" denotes movement and development both, and the emergence and destruction, etc. The most common occurrence is the definition of "transition, correction". We can give, in our opinion, such a definition: a change – is the acquisition of new objects or loss of former properties as a result of some influence or under the influence of the process of self-development. As can be seen from the definition of changes, there are many types of changes and approaches to their classification. Approaches to the classification of changes were analyzed and supplemented (fig. 1).

To identify the peculiarities of managing change in economic systems, the following typology of changes was proposed: changes as a reaction to the crisis; changes as a process of implementing a new strategy; "Quiet" changes that arise mainly as a result of personnel reshuffle under the influence of personal characteristics of staff (changes in the socio-psychological climate in the team, tacit rules of conduct, organizational culture, values in management, which can significantly affect the development strategy and the results of the organization) [4].

According to D. Boddy and R. Peyton, organizational changes affect the following elements of the organization: goals, technology, business processes, people, culture, structure, power. F.Zh. Guiyar and D.M. Kelly define business transformation as "an organized redesign of the corporation's genetic architecture, which is achieved through simultaneous work – although at different speeds – in four directions: reframing, restructuring, revitalizing and updating." O.S. Vihansky distinguishes the following types of changes: – changes focused on the structure and strategy; – changes focused on technology and tasks; – changes oriented to people and culture [5]. O.I. Garafonova believes that by the nature of the manifestation of the processes of implementation of changes, all the certain changes can be divided as follows: active and passive; proactive and reactive; jump-like and gradual; general and local; short-term and long-term; formal and informal; anti-crisis and organizational [6]. American economist Chester-Irving Bernard argues that the following types of changes need to be made: changes in the organization's goals, changes in the organizational structure of governance; changes in engineering, technological processes, product designs; modification of employee abilities or behavior; changes in the management of production and economic activity. Yu.V. Kuznetsov separates the main types of changes into the following: technical and technological (new equipment, new technologies), product (new product), socio-economic.

G.V. Shyrokovaya led the classification of the main types of organizational changes. For the purpose: to create an effective management mechanism, to strengthen the competitiveness and adaptability of the organization, to improve the efficiency of management, to change the main areas of activity, to ensure financial stability, investment attractiveness, etc. Under the subject of changes: changes in organizational structure, changes in technology; changes in the management system, changes in the organization and working conditions, changes in culture, style and methods of management, changes in the incentive system, etc. By the level of the changes made: affect the whole organization as a whole; conducted at the unit level; relate to individual employees (group of employees). By degree of intensity of implementation: evolutionary (reform), revolutionary (breaking, destruction of the old system). By methods of implementation: compulsory (used in conditions of a shortage of time, a significant resistance of members of the organization); adaptive (assuming a large amount of time, gradual implementation of changes) [7].

It is proposed to supplement the classification by the following types: depending on the risk assessment (changes related to risk and changes, not related to risk) and on the purpose (creation of effective management mechanism, increase of adaptability, increase of management efficiency, change of main directions of activity, ensuring financial stability).

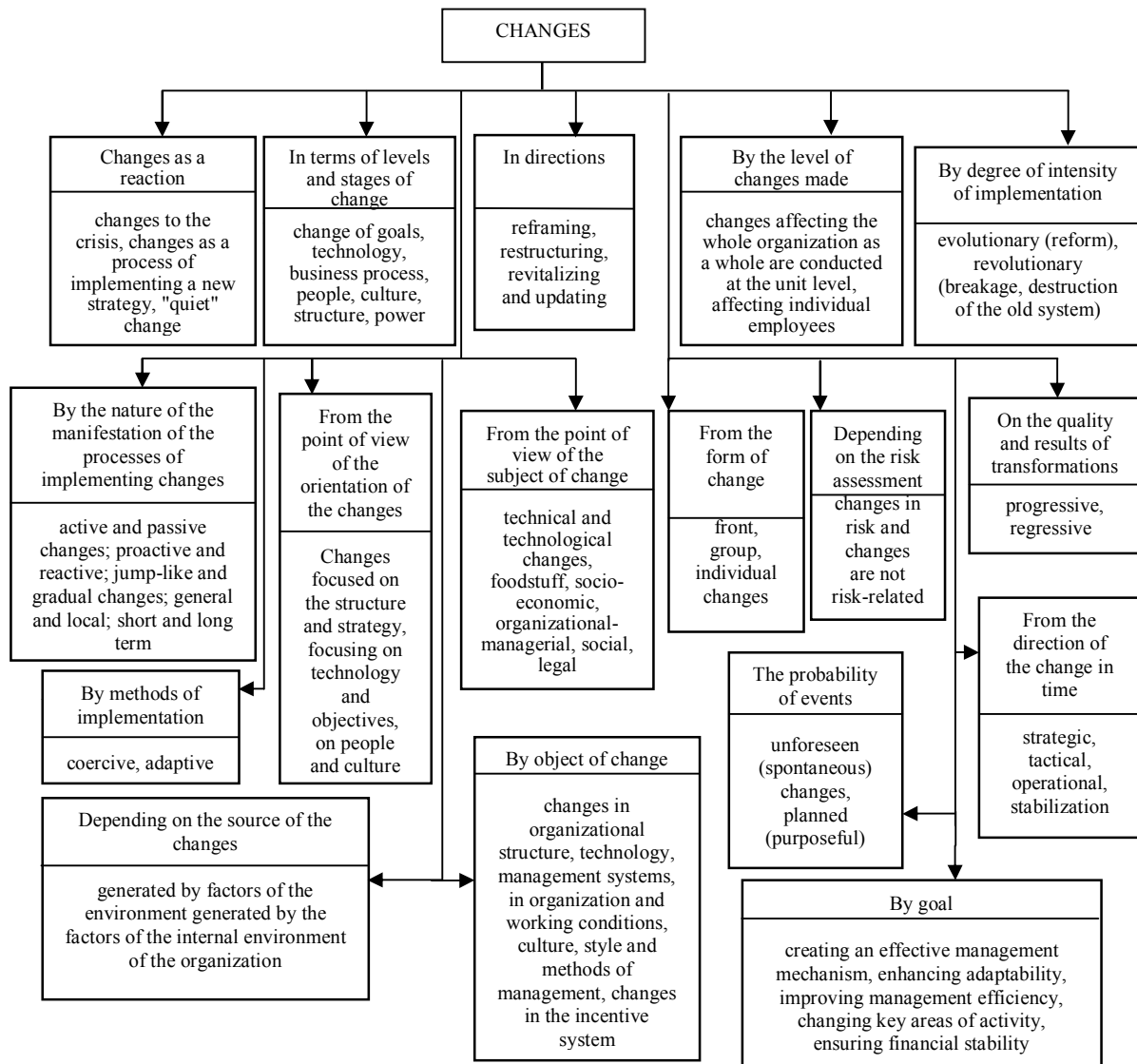


Fig. 1. Classification of changes in the enterprise
 Source: compiled by the authors on the materials [4-8]

In practice and research, more and more attention is paid to analyzing methods and opportunities for managing change. Some authors believe that changes in the enterprise can be managed and even needed. Much of the research in the field of change management is a technique and recommendations for the implementation of changes. As a rule, they consist of certain sets of stages and directions of activity, which, in the opinion of the authors, allow authors to avoid mistakes and make successful reforms at the enterprise. This group includes the work of A. Voronkova, J.D. Duck, O.I. Garaphone, L. Greiner, F. Guyar and D. Kelly, D. Cotter, E. Cameron, M. Green, K. Levin, G.V. Shirokova, T. Andreeva, I. Adizes, J. Pfeffer, M. Hannan, J. Fimena, G. Carroll, V. Barnett, P. Sengue et al. There is also an opposite view of scientists who believe that changes can not be managed, because change is a spontaneous phenomenon that can not be controlled. Among these scientists are the following: V. Barnett, M. Tashman, J. Harrington, G. Huber, O. Guseva, D. Nayapak, S. Stetsov.

We believe that effective implementation of changes is impossible without managing them. For a better understanding of the management system for change, there is a need to consider such concepts as subject, object change management, the need and ability to manage changes.

In order to disclose the nature of change management, it is important to identify the object and subject of change management. The study of these positions will allow to structure the subject area, that is, to determine the goals, objectives of the changes. The object of change management can be both the organization as a whole and its separate parts, as well as the structure and management system; strategy and mission; staff and skills; culture, values and style; leader of change; remuneration system; processes; technology, etc.

The subject of change management – are managers, agents of change, staff and contractors of the organization that have an impact on it.

But it should be noted that there is no single approach to managing change. Therefore, in order to make a general picture of managing change it is expedient to analyze the main definitions and distribute them taking into account different views on the concept of "management of change", which are presented in table 2.

Table 2. Definition of the concept of "change management"

Approach	Factor	Author (source)	Definition of the concept of "change management"
Process approach	Manage changes as a process (methodology for applying changes)	Case Western Reserve University	Change management – a systematic approach to work with changes, active solution to adaptation to change; how to control changes and their implementation
		Modern economic dictionary	Change management is a systematic approach to work with change
		SHRM Glossary of Human Resources Terms	Change management – is a system approach and application of knowledge, tools and resources to work with changes. Change management means identifying and adopting corporate strategies, structures, procedures and technologies to combat change in external conditions and the business environment.
		BNET Business Dictionary	Change management – coordinating the structured transition period from Situation A to Situation B in order to achieve sustainable changes within the organization
		Lamarsh	Change management – is an organized, systematic application of knowledge, tools and resources of change that gives organizations the key to achieving their business strategies.
A meaningful approach	Manage changes as a result (the main goal)	Change Management Learning Center	Change management is a process, tools, and methods for managing business changes from the side of people to achieve the necessary business outcomes, and understanding that changes in business function effectively only within
		Business Dictionary	The systematic management of the new model of business integration in the organization and the ability to adapt this change in the organization in such a way that the transformation has increased organizational relationships with all its components
		English Collins Dictionary	Change management is a management style that aims to encourage organizations and individuals to effectively implement changes in their work
	Manage change as a participant interaction	Wikipedia	Change management is a structured approach to the transition of individuals, groups and organizations from the current state to the desired future state
		bitpipe.com	Minimize resistance to organizational change by attracting key stakeholders and interested parties

Source: compiled by the authors on the materials [9]

After analyzing the concept of change management, their general features were identified and a generalized definition of this term was proposed: change management is a complex approach to transition to a new state based on effective methods, models and management technologies, as well as the introduction of changes at the enterprise level at the level of the personnel, at the organization level and at the level of business processes and business systems.

The key to change management is that all changes in the enterprise are used by the core processes, support processes and personnel. This concept determines that it is expedient to implement a model of successful changes and use processes and management tools that allow effective implementation of changes in the enterprise. It is therefore important to identify the main approaches and stages of managing change.

By type of change, there are two fundamentally opposing approaches to managing them. The first is a revolutionary approach that involves a radical change in processes, casting doubt on the prevailing methods and foundations, thereby achieving an optimal state of affairs. This approach is also called reengineering. The focus of the approach is determined by the radical growth of the indicators, and its application is possible only in situations, the solution of which requires extreme methods. The second approach is evolutionary, changes take place within the framework of organizational development. At the heart of the approach lies the system improvement, which is focused on improving the company's performance, due to changes in the established norms and values. Realization of evolutionary development is based on the modification of the structures and processes underlying the activities of the organization. Changes in management can be classified according to the direction of change [10].

The second approach to change management is based on the concept that each enterprise and each employee develop their ability and readiness for change. This process is ongoing, without time constraints and regardless of specific actions. Such a process is aimed at the long-term development of the enterprise and is not a solution

to specific problems, but investment in the development of human resources of the enterprise. The main risk in this case is the loss of connection with specific tasks, when the ability of the staff develops, and changes in the enterprise do not occur, or occur very slowly. Levin proposed a three-step model of change, commonly known as "thawing, changing, freezing (or freezing again)". Stage 1: The defrosting stage involves understanding the situation, determining the driving forces and describing the desired end state. At this stage there is a rethinking of the organization of their views and business processes and the rejection of some of them. Stage 2: The stage of movement marks the process of transition from one state to another. K. Levin compared this stage to the movement, a journey that takes place to overcome problems. This stage involves participation and involvement of the personnel of the organization. Stage 3: Stage of freezing is the stabilization of the organization and cementation of the new state. The point is that the process of implementing a new one is not always a change. After all, often after some time after the end of the project, the organization refuses its results, ceases to use the implementation [9].

A. Thompson and A. Strickland distinguish the following approaches to managing change depending on response to environmental changes: 1. Responding to change (the introduction of improved products on the market in response to new rivals offer, response to unexpected changes in demand, adapt to changes legislation); 2. Forecasting changes (globalization, market analysis perspectives, learning needs, preferences and expectations of customers, tracking technological developments to predict their development); 3. Active management of change (the first to develop and introduce new technologies to market innovative products that create new segments and industries become industry standards legislator, to seize the initiative in offensive actions to initiate changes in the industry to manage their rapidly put in position overtaking rivals) [11].

M. Meskon, M. Albert, F. Hedouiri characterize management as a process that contains sequential planning, organization, motivation and control of changes that are combined by connecting processes of communication and decision-making. Management is considered as an independent activity to influence specific workers and groups of workers in such a way that they work towards the achievement of goals [13]. More details on the management of changes are considered in the work of S.R. Stetsiva [8].

L. Greiner introduced a model of successful change management, which was presented as a process of 6 stages: pressure and induction; mediation and reorientation of attention; diagnostics and identification of specific problems – awareness; solving the problem and ensuring commitment to the implementation of a new course; experiment and detection; reinforcements and approvals.

The ability to manage the change is determined primarily by the human factor, the need for manage the change is determined by the goals of enterprise development.

The need to manage the change is determined by the goals of the organization and its employees, as well as the development of the organization as its inherent property.

To form the concept of "management of change" we have formed a conceptual scheme (figure 2), which contains the definition of "change"; types of changes; definition of "change management"; object change management; subject of change management; approaches to change management; change management's methods; change management's models; change management's tools; stages of change management.

I. Ansoff identified three main types of behaviour of the organization in terms of implementation of changes.

1. Reactive management – is the management of change, in which the reaction is delayed until the impact of changes on the enterprise will not become painful and threatening. After the beginning of the reaction, the initial actions are heroic operational measures and measures to strengthen the regime of economy. There are occasional tests of various measures, and only after all measures have been tested, business managers are turning to strategic measures.

2. Active management – is the management of changes in which the reaction begins when the influence of changes becomes unquestionable; thus there is no delay observed during reactive control. Operational measures are first tested, but this happens in a planned, systematic manner. After all operational measures are tested, the company goes to the strategic response.

3. Planned management – is the management of changes that differs from the previous two types of behaviour by the fact that in this case the possibility of adopting both strategic and operational measures is considered from the outset, and then their respective combination is applied in parallel [12].

It is also necessary to determine the fourth type of behaviour of the enterprise to change – a proactive change management – a response to changes that are implemented in the enterprise, and the development of measures that allow them to predict. Proactive change management makes it possible to formulate management aimed at preventing problems of change. To envisage and effectively implement – are the basic principles of proactive management of changes in the activities of the enterprise.

Based on the analysis of hundreds of domestic companies that have implemented the changes, we can conclude that in more than 70% of the situations the changes were unsuccessful. This was due to the fact that the changes were not carried out in full, either failed or carried out, but delayed, exceeded the budget, or caused a strong resistance of employees.

Therefore, in our opinion, the most effective approach to change's management is active, as well as proactive management. This enables, firstly, to predict and independently initiate changes, and secondly, to assess their effectiveness and potential risks and formulate management tools at an early stage.

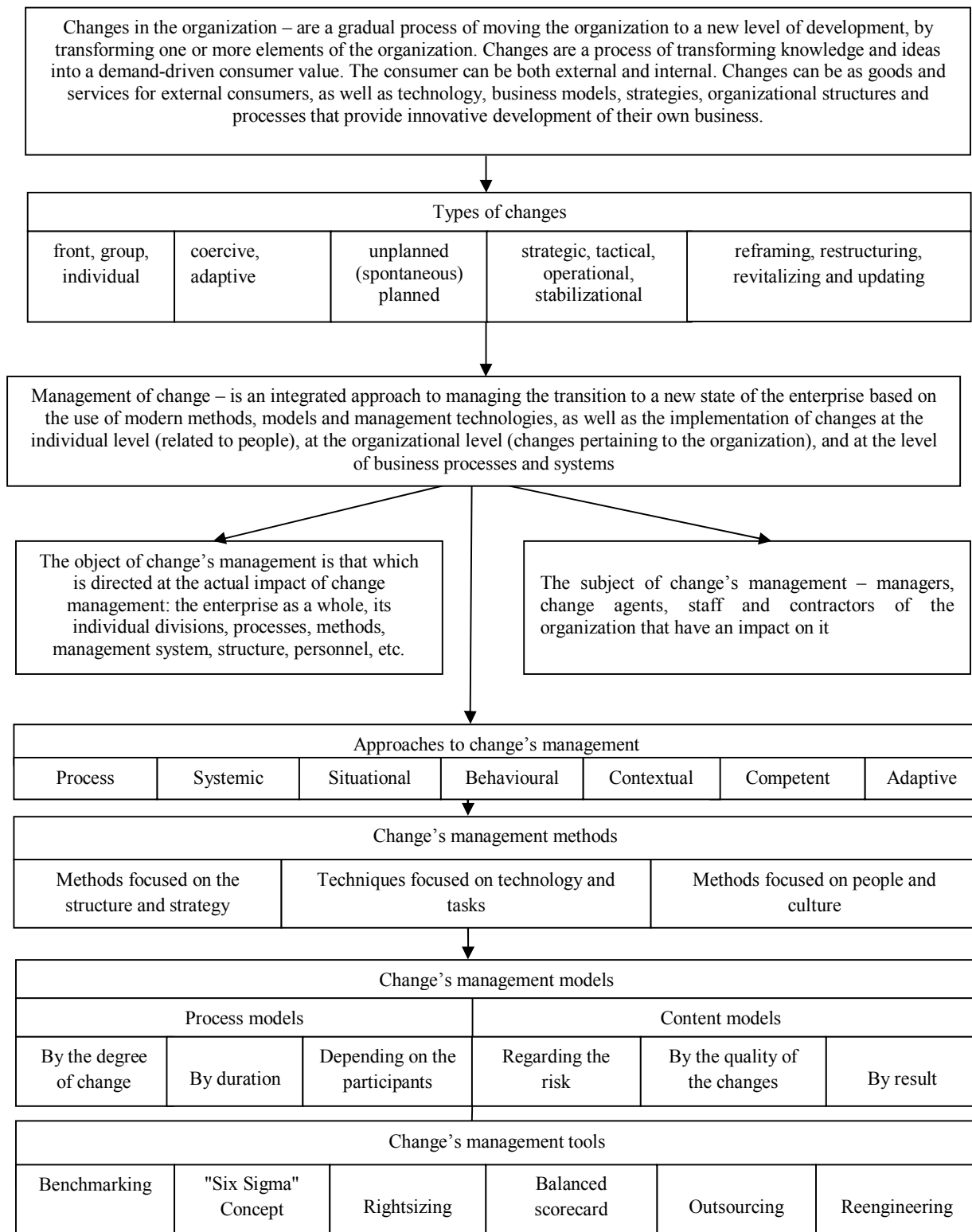


Fig. 2. Conceptual scheme of change’s management at the enterprise
 Source: compiled by the authors on the materials [1-15]

Proceeding from this, we have formed the following scheme of change’s management (fig. 3). We will consider in more detail the tools of proactive change’s management for the stage of preparation, namely: assessment of readiness of changes, assessment of the potential of changes, assessment of change risks, assessment of the effectiveness of changes (tab. 3).

Readiness for change is a set of certain knowledge, skills and abilities that a person possesses and which he realizes as his competence. The readiness of the company’s personnel to change is a level of awareness of changes by employees through awareness of the essence and implications of innovation, as well as the level of employee interest in the results of the implementation of changes.

Table 3. Tools of proactive change's management for the preparation stage

Approaches to improving the effectiveness of changes at the stage of their preparation	Tools for improving the effectiveness of changes at the stage of their preparation
Readiness' for change	Management of staff resistance, advanced training, training, degree of satisfaction of needs and interests of staff
Change potential's management	Estimation of resources of the organization, formation of competencies of the enterprise, transition to a new system of values
Risk of changes' management	Implementation of risk management, hedging, diversification, provisioning, insurance, risk limit setting
The effectiveness of changes' management	Productivity of using resources to change, rationalizing the implementation of goals and objectives of the organization, increasing the volume of investment for change

Source: own elaboration

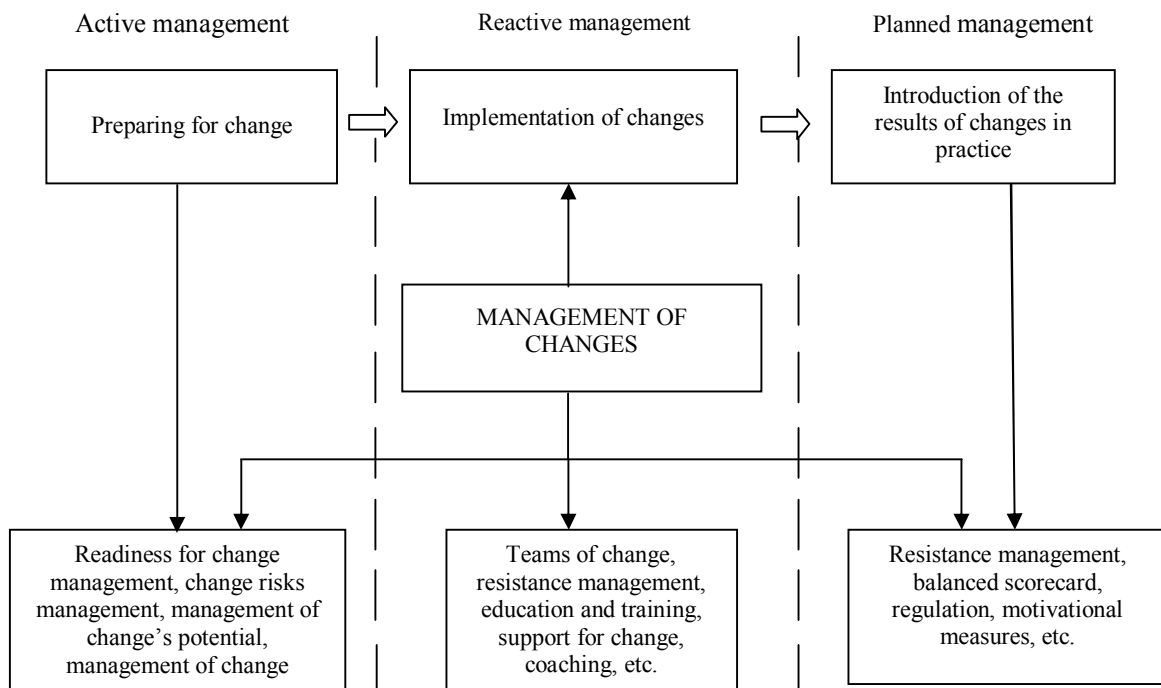


Fig. 3. Chart of management of changes in the enterprise
Source: compiled by the authors on the materials [10-14]

The potential of the enterprise to change, on the one hand, determines a set of resources, means, stocks, reserves that can be used in the enterprise, on the other – a set of opportunities for their most complete and rational use, which is determined not only by the quality and quantity of resources that the enterprise, but also the qualifications of its staff, innovative, informational and financial capabilities.

Assessment of the risks of changes aimed at achieving the result of changes at an acceptable risk of their implementation. The management of change risks includes, first of all, the identification and assessment of various types of risks in the course of the change, and, secondly, the development and implementation of risk prevention/risk management measures based on the choice of risk management methods.

Effective change management is the level of achieving the goals and objectives of the change process at the enterprise with the use of a minimum of resources.

Conclusions

The article analyzes the concept of change, the classification of changes, the concept of change's management, the subject, object, types and stages of change's management in the enterprise. The expediency of using the proactive type of management in the management of changes, within which the conceptual scheme of change management has been formed, and the tools of practical implementation of such an approach are proposed. That allows in practice to improve the efficiency of changes at the stage of their planning and allows for a more successful implementation of them into the activities of enterprises. Prospects for further research are the formation of methodological approaches to managing readiness for change, the potential for change, the risks of change, as well as the formation of a system of indicators for the management of changes in the enterprise.

Abstract

The aim of the paper is to explore approaches and tools for effective change management. Analyzing, systematizing and generalizing the scientific works of many scientists, the concept of "changes" is clarified, the classification of types of changes is complemented, and the approaches to change management are systematized.

Today, it is obvious that the enterprise to survive in the market need to occasionally make changes in their activities. Therefore, there is a need to develop approaches and tools for effective change management.

It is proposed to supplement the classification by the following types: depending on the risk assessment and on the purpose. As a result of the study, the expediency of using the precisely proactive type of change management is substantiated and the conceptual scheme of change management is formed. The tools for increasing the effectiveness of change management are proposed. The tools of proactive change management are considered, namely: management of readiness for change, management of change potential, risk management of changes and change effectiveness management.

Based on the analysis of hundreds of domestic companies that have implemented the changes, it can be concluded that in more than 70% of the situations the changes were unsuccessful. This was due to the fact that the changes were not carried out in full, either failed or carried out, but delayed, exceeded the budget, or caused a strong resistance of employees. Therefore, in our opinion, the most effective approach to managing change is active, as well as proactive management. This enables, firstly, to predict and independently initiate changes, and secondly, to assess their effectiveness and potential risks and formulate management tools at an early stage.

Prospects for further research in this area are in the development of methodological approaches to the management of readiness for change, the potential for change, the risks-management of changes, and the assessment of the effectiveness of changes, which allow to increase the effectiveness of change and achieve the development of enterprises and organizations.

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