Change Management

Francisco J. Lara, Giacomo Manara
Corso di Laurea in Management
Facoltà di Economia, Università Cattolica del Sacro Cuore

A cura di Giacomo Manara

Bernard Burnes
Barbara Senior, Stephen Swailes
Colin Carnall, Rune Todnem By

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Foreword

The degree of change required in many organizations involves cultural and leadership transformation. *Change Management* aims to make a contribution to expanding the change manager's knowledge of the cultural concept in relation to strategic organizational development. Changing an organization's culture is one of the most difficult leadership challenges. That's because an organization's culture comprises an interlocking set of goals, roles, processes, values, communications practices, attitudes and assumptions. The elements fit together as a mutually reinforcing system and combine to prevent any attempt to change it. That's why single-fix changes, such as the introduction of teams, or lean, or agile, or knowledge management, or some new process, may appear to make progress for a while, but eventually the interlocking elements of the organizational culture take over and the change is inexorably drawn back into the existing organizational culture. Changing a culture is a large-scale undertaking, and eventually all of the organizational managerial solutions and techniques for changing minds will need to be put in play. However the order in which they deployed has a critical impact on the likelihood of success. To define culture and change it is hard, and cultures can persist over a long time. By working backward from observed outcomes to behaviors and beliefs, managers can hypothesize and begin to validate key cultural attributes and understand their value and origins. Strategies for modifying the cultural narratives, reframing beliefs through role modeling and selective recruiting, and reinforcing cultures through metric and incentive changes and targeted communications can be deployed to drive culture change. Not engaging and understanding culture systematically early in a transition increases the likelihood of the observation widely attributed to Peter Drucker "*Culture eats strategy for breakfast*"!

Culture can be analogous to an iceberg, much of which is submerged under water, which can sometimes punch a hole through titanic corporate initiatives. The part of culture that can be seen above the waves are the isolated behaviors and outcomes that can surprise and sometimes frustrate incoming executives. What is submerged and tacit in the "culture iceberg" are the "shared beliefs and assumptions" in the organization that have often been shaped over generations and that actually drive behaviors. In short, what we often see and perceive as challenging are the artifacts and consequences of culture rather than the values, beliefs, and assumptions that actually define the culture and drive the behaviors and outcomes we observe. Changing culture thus requires change at the beliefs level, which is often substantially more difficult than changing business process or information systems. To complicate matters, there may be an overall company culture and sub-cultures across groups. Sometimes these can be in conflict.

Change Management is a textbook for understanding of cultural change within these organizations. To appreciate the dynamics and the problems of leading change in an organization, we need to understand cultural theory and organizational development (OD) methods drawn from the managerial and behavioral sciences. Managers operating at every level need to be able to critically reflect on the underlying assumptions regarding their ability to influence change in an organization. Changing culture is ultimately concerned with leadership and power issues, and *Change Management* considers change management in these terms.

A dominant theme advanced by this textbook is the assertion that culture controls organizational decisions and actions. Corporate culture is correlated with the idea of the learning organization: all change involves new learning at the level of the individual, the group and the intergroup. Researchers and practitioners don't know enough about the processes of cultural change and call for more longitudinal studies that explain change in cultural and process terms. There is little doubt that organizations, when they embark on change initiatives, should consider the cultural dimension. Another aim of *Change Management* is to advance the idea that organizational change remains the most critical aspect of the managerial experience. It is widely understood that when a change strategy is incompatible with the culture of the organization, the strategy fails. Managers can find themselves trapped within their current market dynamics, unable to escape the clutches and influence of established cultural paradigms as they try to navigate critical strategic change. As a consequence they need to have some kind of developed conceptual and practical framework for both understanding organizational culture and for working with its dynamic processes. Culture controls decisions and how organizational members express themselves impacts the strategic potential of the organization.

Change Management offers a research-based and practical approach to an organized means of leading and managing change. Based on experience with numerous companies, this textbook gets directly at the reasons why organizations succeed or fail to change reasons that concern primarily culture and leadership.

Prof. Domenico Bodega
Dean
Faculty of Economics

General introduction and key ideas

I hear you say "Why?" Always "Why?"
You see things; and you say "Why?"
But I dream things that never were;
and I say "Why not?"
(George Bernard Shaw 1950)

Change Management is nowadays much more than a simple study topic: it is a framework for everybody's activity, approach and projects, both in the daily life and inside the organizations. No company, no individual, no institution can avoid looking at the present (no more just at the future) situation without thinking: "this will change pretty soon"; tons of paper have been replenished with a deep description of the change approaches, the change methodologies, the reactions to change, and so on so forth.

There's no need, therefore, to add a new theory to the existing stream, there is rather the clear need of looking at the change as a phenomenon which surrounds all of us and makes our lives more and more dynamic, on a daily basis.

Therefore, this book is intended to help students to study.

It can sound a bit trivial, but many books don't help readers to find the way to come up with a final solution of their problem, which is usually a cognitive issue.

In other words, they want to be guided to the knowledge and to the culture in a pretty easy and clear way, without troubling too much through the waves of a storming sea.

Of course, nobody can preserve students from doing their best in producing strong efforts in order to achieve a higher degree of culture, but we can help them to find a valuable itinerary among the enormous amount of theories disseminated along several decades of written books, articles, essays and so on.

This is precisely the rationale behind this book's publication: to make it easier the understanding of what change management really is, investigating both the most relevant theories and the real life of the organization through several real cases.

The above purpose has been obtained combining three different masterpieces of the textbooks on organization:

- **Burnes, Managing Change, Seventh Edition**
- **Carnall – Todnem By, Managing Change in Organizations, Sixth Edition**
- **Senior – Swailes, Organizational Change, Fifth Edition**

all of them published by Pearson Education Limited

In conceiving and building up this text as well as in approaching the root of the Change Management course, I have used a framework that includes a list of the main aspects that must be considered while approaching a change management process, listed and explained below.

The key questions

Thanks to the enlightening Burnes' text, at the beginning of any change there must be a key question: why change? This question sounds a bit obvious from a theoretical standpoint, but the majority of the statistics state that nearly 70% of the changes fail, in spite of all the best intentions. Nevertheless, change is more and more practiced as a daily management tool by almost everybody with a responsibility.

The organizations change to survive: this is the rationale behind the changes. All the organizations are more and more pressed and threatened by the fast-changing environment, by the disruptive incoming competitors, by a huge amount of new business models that drive the markets to a new approach, to new attitudes and different behaviour. While I'm writing this introduction, Uber is struggling to maintain its business model against all the resistances made by the different governments and economies, Airbnb is assaulted by the revenge of the traditional resort and hotels business, and many other disruptors don't know if they will see the light of the following day. And even more traditional businessmen and businesswomen wonder if their future is guaranteed and secured, or rather they have to face many evolutionary or revolutionary changes or even turnarounds.

The other Burnes' introductory questions are equally relevant: from the dilemma between individual versus group/system change, to the frequency and the magnitude of change, to the doubts about resistance and where from, till the way to gain employee commitment. Furthermore, are we ready for change? Who will manage the change process? Do they have the appropriate skills?

All these, and possibly other, questions, are right and appropriate; above all, the most important point is to ask questions: it opens our minds, it prepares us for the future and makes us capable to understand and study the situation.

Type and scale of the change

"one size fits all" doesn't apply to the change, as it happens to almost every relevant phenomenon in the history: concerning the change, the scale of change is of high importance to distinguish even the nature itself of the change, or at least the breadth of it.

Everybody knows very well what Balogun and Hope Hailey (1999) state about the types of change, which are presented in the figure here below.

		END RESULT	
		Transformation	Realignment
NATURE OF CHANGE	Incremental	**Evolution**	**Adaptation**
	Big Bang	**Revolution**	**Reconstruction**

Moreover, Dunphy & Stace (1988): from fine tuning to corporate transformation there's a progressive escalation of impact of the change on organizations, strategies, cultures, etc. We can simply list the different stages hereby, as a reminder of how the abovementioned theory works,

1. Fine Tuning.
   - At departmental level.
   - Making re-alignments to ensure that there is a match between strategy, structure, people and processes.
2. Incremental Adjustment.
   - Bit by bit changes to match the changing environment.
   - Minor modifications to strategies or structures
3. Modular Transformation.
   - Major realignment of one or more departments or divisions.
   - Downsizing, re-engineering.
4. Corporate Transformation
   - (frame-breaking effecting the whole organisation).
   - Discontinuous or frame-breaking change.

According to Dunphy & Stace, from fine tuning to corporate transformation there's a progressive escalation of impact of the change on organizations, strategies, cultures, and so on so forth.

The vaste majority of the cases which are presented in this book are about the transformation, in line with recent studies that consider a real change only something that has to do with that.

External environment and market momentum

Based on the open system principle, no organization can conceive its life in a vacuum, where nothing happens and everything can be run independently; therefore, scanning the external environment is the first step in realizing what is going to happen and moreover what is going to impact on their lives.

In this respect, the Ansoff and Mc Donnell (1990) five levels of environmental turbulence are very helpful to understand the surrounding environment where all the organizations operate.

- Level 1 – *predictable* – characterized by the stability of markets
- Level 2 – *Forecastable by investigation* – complexity of the environment increases
- Level 3 – *Predictable threats and opportunities* – Even more complex as the organization's ability to respond becomes more problematic
- Level 4 – *Partially predictable opportunities* – Turbulence increases with the addition of global and socio-political changes
- Level 5 – *Unpredictable surprises* – Turbulence increases further with unexpected events and situations occurring more quickly than the organization can respond

It is undoubtedly clear that the idea of changing the organization can come from inside and/or outside.

On the latter, the scanning of the external environment shows that a great deal of influence is made by the market momentum, which is highly relevant for the decision of the entrepreneur to change; a mature market can lead to change in order to revamp the organization capacity of innovating and of making profit out of it, whereas a particularly dynamic market can "force" all the players which compete in that arena to adapt continuously the business model to the changing requests of the customers.

On the former, several theories on the life cycle of the organizations have pointed out the inevitable pathway that almost all the organizations go through, coming across different crises and becoming progressively different over the years as well as over the cycles; somebody argues that something from inside, an inner force from the entrepreneur, can feed the ground of the change even in case of scarce inputs from the external environment. Ambition, need for success, founders' role models that impact on the following generations: these are some of the main inner forces that influence the change, taking CEO's to international developments, product innovations, business diversifications, ultimately change/s.

Organization

As we usually explain in our classes, the organization is a way to make the management of an enterprise possible in the different situations; therefore, the structures are decided on the basis of size, strategy, competitive arena, market momentum, not on the basis of a theoretical idea of what the organizations should be in whatever circumstances.

Nevertheless, bureaucracy is an enemy of the change, and as a consequence it is necessary to leave this structure and to make a structural change every time somebody decides to move towards different goals, strategies and markets; it doesn't necessarily mean that the new organization structure must be more flexible than the previous one, but anyway it must be different.

Moreover, it must be mentioned the necessary orientation towards the new ways of organizing, like the network structures in all their forms as well as the virtual organizations, spread over the new entrepreneurial world every time somebody is willing to start up with a business from scratch.

As David Weinberger (*Everything is miscellaneous, the power of the new digital disorder*, 2009) says, "we are rapidly miscellanizing our world, breaking things out of their old organizational structures, and enabling individuals to sort and order them on the fly. This goes for beyond simply organizing your information so you can find it again. It can change how a business works." This theory opens a new frontier to those who are dedicating their professional capacities to organize and deliver training, not to speak about those who lead the innovative businesses in this dynamic world. Actually, this idea is remarkably linked to the new organization structures, but it concerns, moreover, the way people learn and consequently act in the new scenario. In this pathway some other theories are invading the space of the old-fashioned organizational studies, like the "Teal Organization" model (Fréderic Laloux, *Reinventing the organizations*, 2015), and similar ones.

What above is aimed at confirming that nowadays the organization cannot be explained, designed or changed on the basis of a static and traditional view, but should be considered on the basis of the perpetual change move that flows across this present world.

Culture, people, competence and power

Must be clearly stated that all the successful changes impact, sooner or later, on the people, in a broader sense. Change in fact has to do with a realignment of the authority throughout the enterprise, and this is one of the most controversial issues. Actually, the majority of the managers develop their careers with the expectations that their authority increases more and more along their root within the organization that they are, partially or totally, managing. That's why very often the change processes involve dramatic replacements in the management layers, many promotions as well as several de-motions. It is all about people, the core of all the organizations: people don't mean exclusively managers, but include all the individuals who, at a different level, give their own contribution to the common mission and strategy. As a matter of fact, the soft system models for change, inspired by the Organization Development theory, are much more likely to succeed than the hard system model for change, where the success seems to be possible just when the scope of the change is very limited.

People, moreover, mean competencies, and they are going to change dramatically over the next few years: values, cultures, orientations and beliefs are in a very dynamic and evolutionary stage, as it is happening for the entrepreneurial adventures as well: in this respect, somebody says that within the next three years 50% of the most currently used competencies will be obsolete, whilst the organizations insist on dedicating so few energies and resources to the training and the skills development.

Top down or bottom up: this seems to be the dilemma while facing a change management process: managers tend to be uncertain between the choice of imposing a change in a sort of cascade (tipically the Hard System model for change) and the opportunity given to all the employees involved of being an active part of the process from the very beginning.

From both the perspectives, people are essential in accepting, promoting and running the process; what can be different according to the approach which is adopted is the time spent, on one side, and the level of resistance of the employees on the other one.

We can see several ways for making people play a key role in the success of their business, like the below reported ones:

- firstly, they are expected to be fostering the innovation process, both in terms of product innovation and in terms of innovative approach in a broader sense: people put together and encouraged to propose new ideas and suggestions, or simply rewarded to be innovative in a concrete way, enhance their natural force of being the most powerful source of brightness;
- secondly, they are requested to be ambassadors of the pure and consolidated culture of the organization they work for, behaving in a way that is expressive of the core values as well the original "style" of their enterprise;

- thirdly, they are invited to take their own responsibility in delivering their duties, in running the organizational processes, in solving the operational problems arising in their ways; in other words, they are not specifically “employees” but rather “co-entrepreneurs”, acting as if the success of their enterprise depended on their daily behaviour.

This is enough to prove that putting the human factor in the centre of the organization is probably the only way to make the change successful, in spite of what is declared by several scholars, too often in favour of the hard system approach.

Strategy and change model, hard and soft approach

Somebody says that it is important to start a journey with a destination clear in mind, unless you want to miss your own way along the trip: this is furthermore valid for the organizational change, which is above all a process and/or a project to be managed properly, in line with the best practices put in place by the excellent organizations. Therefore, the first step in running a process is to define a clear, understandable and measurable goal, in order to design a clear roadmap with resources, times, milestones and alternative scenarios.

It can be a simple search of cost effectiveness, through an international development, or a new positioning, till the achievement of a market leader position, or something different.

Several case studies reported in this book are inspired by a specific strategy; in spite of the origin and the nature of change, the organizations have clear in mind what they are looking for, while starting the root of change. Not so clear, instead, is the model of change that the organizations adopt to run the change: they seem to be inspired by a pragmatic approach rather than using a specific theory for change, like the famous Lewin three steps approach, or the eight steps of Kotter. Actually, quite often the theories help us to understand *ex post* how they approached the change; only rarely it happens that these theories are inspirational sources for the changes themselves.

Moreover, even though the organization life tends to become shorter and shorter, compared to what was happening till few decades ago, the step in the growth that the organization is coming across is vital to understand the degree of change readiness, the freshness or the consolidation of the organization culture, the length or the shortness of the heritage that every organization brings with it while facing a change.

Therefore, looking at several organizations’ histories, it is crystal clear that something in their evolution acts as a “spark” to turn on the change process: either an M&A process, which forces the organization to align the different cultures, procedures and behavior, or a concrete risk of bankruptcy, or again the opportunity of expanding the business on international basis. The spark acts as a source or a booster to the change, making it urgent and necessary.

Hard and soft theories, moreover, can be fitted to a structure formed by two patterns: a company can try both theories one after the other, or to apply one of them. Some occasions are known for entrepreneurship, when after application of hard and soft methods at the same moment, were reached good results. Such problem is complicated, but it can become the resource for a competitive advantage. The consistent adaptation of these theories and its strict priority have to be guaranteed; at first, hard method has to apply, secondly, soft method. From the experience of companies, changes can arise after investigation of requirements for their business units in running to the top position of the branch competition.

In the soft perspective, we have to deal with a high level of complexity, as well as the goal is to develop corporate culture and human capability through individual and organizational learning. This ‘soft’ approach to change is evident in companies that typically have long-standing commitment based on the relationships with the employees. While this approach is likely to engage employee’s hearts and achieve long term results, it might not be the right approach when time is the essence.

The authors display the fact that self-learning organization as a system in the frame of soft methods, in which the changes depend on organizational culture, staff objectives and motives. The soft method teaches executives to educate staff and to implement organizational means so-called “bottom-up”.

The managerial soft models for change are founded by their versatile implementation of changes’ methods, and due to their pure conformation, are prevailed in limited area of the world, rather than hard methods.

In conclusion, as Senior and Swailes state, hard systems models of change can be effective to begin a diagnosis of a change situation before categorizing it into more simple or more complex change: for instance, using a hard method could be useful for setting out the commitment to change, carrying out a situational analysis of the forces involved in the change and setting the objectives and their measures of performance for preparing the plan and implementing the change.

Hard systems models for change, due to their characteristic of being applied to situations of low to medium complexity, are useful when a particular area of an organization has to be changed but may not infringe on other areas as well as when managerial choices based on rational decision making can be made (Senior et Swailes).

Definitely, what the hard approach is less good at doing is the identification of the political and moral issues ambient the implementation of change of this kind.

Furthermore, we can define soft methodology as limited when change situations are ‘constrained’ by nature. Actually, this kind of methodology has been promoted to cope with situations of soft complexity where goals and the means of achieving them are unclear. However, there can occur situations in which goals are predetermined and set: change is generally dictated by top management (e.g. franchisees must often run their businesses according to the dictates of the franchiser). For these reasons, of course, when change is desirable, a hard approach is most suggested. Although the soft method is not the most appropriate in this kind of situations, there is still the need to develop action plans, to implement and reinforce the organizational change desired.

To conclude this point, we can say that it is unlikely that any change model fits perfectly with a particular type of change. Looking at the real world it is much more correct to consider more hybrid approaches to change. Grint (1997) sums up this argument particularly well: ‘Theory is where you know everything and nothing works, practice is where everything works, but nobody knows why; here we combine theory and practice: nothing works and nobody knows why.’

How this book is organized

The introductory chapter is taken from Burnes, and it is focused on the preliminary questions that everybody asks approaching a possible change: why change? Individual, group or system change? What about resistance? Who are the change agents? How often and how much?
This is the background of the change process, since individuals and organizations don't change spontaneously, because they'd prefer to keep on acting in the same way all life long, preserving their "comfort zone" from the external threats. They, instead, change if and when there is a good reason, overcoming the inertia and the resistance in order to achieve a more desirable and profitable status. Hence the nature of the change isn't always the same, depending on the pace and the timeframe of the process.

The Chapter 1 is taken from Senior & Swailes, and it's about a fundamental element of the change, that is the environmental triggers for change and the organizational reaction to them; as it was mentioned at the beginning of this book, the organizations don't live in a vacuum, but they act as open systems, interacting with the external environment in order to survive and succeed. Therefore, it is necessary to scan the external environment in order to foresee the future possible changes and the consequent counteractions.
It flows through a view of organizations, from the historical context for change to the description of an uncertain future, to the organizations today and their responses to change.

The Chapter 2 comes from Senior & Swailes as well, and helps the students to understand how important is the organizational structure, that is the systematic way the organizations take in order to harmonize goals, behaviors, processes and values.
The different structural types are introduced by a cultural framework, that is composed of the description of the meaning and the dimensions of the structures, and are accompanied by some other theoretical insights, like structuration theory, actor-network and institutional theory. Quite clearly, the different elements that influence the organizations and the way that the organizations follow to face the change are descripted and detailed.

The Chapters 3 and 4 are taken from Senior & Swailes, and they are about culture and leadership, the key soft factors to be considered in a change process.
So, from the informal organization to the meaning and the description of the organizational culture, the chapter clarifies the dimensions of organizational culture and the relative sources, approaching the student to the necessary link between organizational culture and change, and explaining how changing organizational culture can bring about the organizational change .
Furthermore, the topic of management and leadership faces the issues of the approaches to leadership, team and distributed leadership, to conclude with the leadership in times of change.

Facing the strategies for managing change, the **5th Chapter**, still coming from Senior & Swailes, describes clearly how the hard system models for change work in the real managerial practice, presenting the progressive stages of this systematic approach to change and detailing how to use them in the proper situations.

Again, the soft strategies for managing changes are deeply presented in the **Chapters 6, 7 and 8**, all taken from Burnes: the author describes in a very detailed way how the planned change and the Organization Development (OD) have gone on in the history, thanks to the relevant contribution of Kurt Lewin and the other scholars, like Greiner, Pettigrew, Kotter and other theorists. The process is described in its evolutionary development, highlighting the different stages and the fluctuating success of this approach over the decades, till the recent renaissance of the OD in the nowadays environment.
In the Chapter 8 it is provided a specific framework for change, that is a combination of several models describing the nature of change, like Grundy, Kanter and Beer and Nohria, and it is focused on understanding the change nature as broadly as possible and on guiding the employee involvement and the final choice on the kind of change process to run.

In the **Chapters 9 and 10**, taken from Carnall &Todnem By, there is a description of a very useful and hands-on change architecture, that goes from the cycles of change, through the programs of change and the relative learning effects, till the explanation of the Gratton's approach to the strategy methodology, a "living strategy" which lies in the intersection of hard and soft systems, and it is articulated on 5 progressive steps.
Starting from the Lewin's force field analysis, in the 12th chapter are provided two very simple and complete check lists which help to think about aspects of organization change that might help or hinder the implementation of change.

In conclusion, the student can appreciate this journey into the change management phenomenon, starting from the basic questions, clarifying the relevance of the external environment, realizing how important are both the organizational structures and the people and management issues, diving into the different models and approaches to the change process, getting some practical tools and suggestions to lead the change and finally opening the eyes to the future, that very often is now.

Prof. Giacomo Manara
Change Management Adjunct Professor
Faculty of Economics