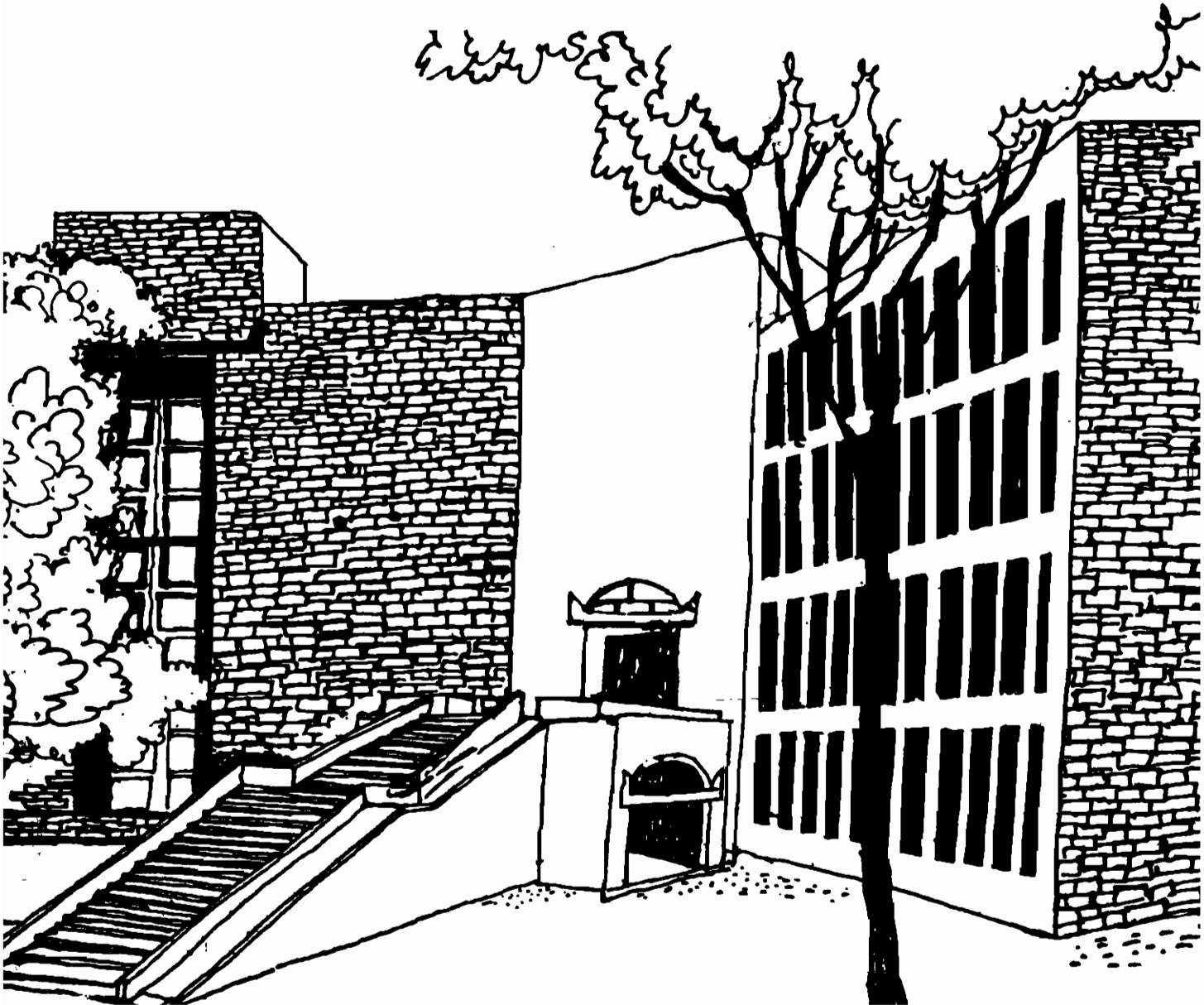




Working Paper



LEADERSHIP IN FAMILY OWNED ORGANIZATIONS

By

Indira J. Parikh
Laura Rath

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INDIA

Leadership in Family Owned Organizations

Indira J. Parikh
Professor, Organizational Behaviour Area

and

Laura Rath
Project Research Assistant

**Indian Institute of Management
Ahmedabad**

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Abstract

The main focus of the study is on the role of entrepreneurs, progenitors, patriarchs and leaders in the family owned organizations. The family ownership and membership, being the family history relational dynamics, familial structure and the role processes into the organization.

The role of the leader or owner in an organization is influenced by the family dynamics in the social setting as well as by the issue of inheritance and succession. This paper focuses on two kinds of leadership roles in family owned organizations;

1. The progenitor who has two or more generation of family ownership/leadership succeeding him and
2. First generation professional entrepreneurs and leaders who founded the organization in the last one and a half decade in the beginning 1980's.

The data used for the study has been collected through open ended interviews and from people who have been associated with the organization for the past 20-30 years and have been in association with the leaders. The open ended interviews were conducted on the leaders who may be first, second or third generation, owners/inheritors and successors heading the organization.

The conclusions drawn from the study were that:

1. From the first generation of individualized personal charismatic leadership there is a movement to a concept of collective leadership of the organization. The Organization has grown from small to medium to large and mammoth and global. There are also those organizations and leaders who have become stagnant, decayed and disintegrated at the second generation.
2. From a homogeneous social ethnic group several generation have flowed in with a diverse heterogenous group of people with diametrically different expectations, ambitions and aspirations from the self, others and the system. A dynamic leader and an organization has created coherence and convergence amongst groups of people to evolve a collectivity in the organization. Those organizations which have not evolved a coherent community experience attention either in the older group of experienced loyal people or younger generation of professionally trained people.
3. Structural change and Redesign: From a personalized structural leadership based on ownership and larger than life identity of the individual subsuming the organization identity there is move to a design of formal structure with corporate structure, roles and processes. Structural redesign is followed by management and business systems with boundaries, linkages, responsibility, authority and accountability. In the absence of the relevant processes with the newly designed structure there is confusion between organization and the individual and the rest are only doers and implementations with the total accountability in only one person at the top.
4. Leadership, vision and values: From a family owned and managed organization there is a distinct and perceivable move to professionalization of leadership, management practices and managerial roles. The organization invests in the development of human resources in the organization to upgrade management knowledge, attitudes and skills. In the absence of this investment many organizations continue the mediocre or poor performance and eventually loose out on challenges and opportunities of growth.
5. Institution Building and Organization Growth: Organization which has grown from business acumen of one person with socio-cultural familial organization culture now moves with the times to respond to global challenges and opportunities. The traditional culture is added innovation and creativity anchored in performance and excellence. Institution building processes are introduced anchored in philosophy and values so that simultaneity of idealism and progenitism, belonging and excellence, and human concern with performance are focused upon.

Leadership in Family Owned Organizations

Introduction

An institution begins in the dream of one person or a group of individuals. These dreams are part of the context of growing up, relationship with the parents and the significant people and the meanings given by the individual to his and the family's aspirations. Many such examples of individual with their dreams are available in the history of Indian Organization. An organization begins in the ambition, hopes, and aspirations of an individual or a group of individuals to build an organization and make it grow. It focuses on the achievements, landmarks, and successes. An organization may remain an organization focused on creating landmarks or grows into an institution through the inculcation of values, philosophy, and code of conduct by the progenitors and the people who first start the organization. Studies by historians and social scientists have documented many such examples. [Tripathi and Mehta (1990), Balakrishnan K and et al (1980)]

Significant individuals, be they of community, tribe, nation, industry or organization have been visible and recognized at all times in the history of man's existence. History is replete with evidence of individual sagas of valour, adventure, sagacity, vision, and dreams of empire building as well as tales of cruelty, oppression, atrocities and villainy. [Parikh (1989)] Each society, community and family creates both kinds of leaders-heroes or villains. In the Indian society which has been an agrarian and rural society for over two thousand years, the social, cultural and familial institutions had patriarchs, progenitors and traditions. Subsequently, in the transition from the agrarian society to industrial society formal work organizations came into existence. As the formal work organizations and the environment became complex concept of leadership and role of leaders acquired significance. [Parikh (1989) (1979)]

The industrial organizations and formal work organizations of to-day are complex systems which exist in a competitive environment. To acquire a competitive edge strategic choices and decisions have to be made. These are the purview of the leaders, be they owners, managers or professionals. To-day, leaders, their role and styles have acquired criticality and significance for the functioning and growth of the organization. The transition of one kind of society to another has also contributed to the shift in the role, definition and meaning of leaders and leadership. [Avdhani (1989)]

Studies of leaders, their style, roles, models, and meaning have been the focus of research both in India and the West. [Dyer (1936) Balakrishnan(1980) Ward (1987)] The roles of leader in organizations vary, based on ownership, size and technology. [Garg and Parikh (1986)] The phases and stages of growth of the organization also influences the roles the leaders will take. Similarly, leader are influenced by the organization's interface with the environment, the socio-cultural and family context of the individual who holds the leadership role. [Chattopadhyay G (1975)]

Methodology

The data has been collected through open ended interviews of the current leaders who may be first, second or third generation owners/inheritors and successors heading the organization. Data has been collected from the people who have been in the organization for more than twenty to thirty years and who carry the history of association with the leaders who are owners (progenitors), inheritors and successors in the organization. All critical role holders of the organization with history of association and personal experience of the transition in the leaders were interviewed. The interviews and discussions have been open ended so that the philosophy, values and vision of the key people are fully explored. Similarly their experiences and relational aspect of key people with the owners have been part of the discussion so as to assess the maps, definitions, residual feelings and meanings of organizations held by them.

Sample of the study

Organizations Total - 9	No. of Organizations	Age of the Organizations	Age of the Individuals
Third Generation Organization	3	50 years +	
Second Generation Organization	2	30 years +	
First Generation Organization	4	10 years +	
Leadership Roles			
First Generation Progenitor	2		70 + years
Second Generation inheritors	5		50 + years
Third Generation Successors	4		30 + years
First Generation Entrepreneurs	8		30 + years

	Number of People	Average Age (Yrs.)
Key role holders with more than twenty years of history with the organization	40	55 +
Managerial Cadre	100	45 +
Employees - staff and workers across nine organizations ranging from 2 years to 20 years	200	

Data was collected from individual interviews in one to three meetings of one to two hours each with the owners/ progenitors and key role holders in the organization.

A group meeting consisting of ten to twenty employees, supervisory staff and workers were held for minimum of an hour in all the nine organizations.

Historical Perspective

Before the seeds of industrialization were planted India was as agrarian society. The life revolved around agriculture and its related activities. India was also a nation of traders. Those who were in trade focused on generating resources and return on investments. These traders through their spirit of adventure and business acumen grew into large trading houses. They represented values, integrity and traditions of trade and business which became their hallmark. As the country took its first steps into the industrialization, it was these traders with financial resources who saw the incoming change and had the foresight to go into manufacturing. Some of these Indian traders who had set up trading houses and eventually built industries grew to be legends, known for their vision, pioneering role, sagacity and values of human dignity. [Sapru (1989), Bharatram (1989)] They became institutions around whom their business empires grew. These individuals were deeply anchored in the socio-cultural context of belonging social duties and responsibilities derived from the family and societal values and traditions. [Gupta (1989), Raju (1989)] There are also tales of Indian traders who reflected the negative side of trading and traders. [Oza (1993)]

In continuity of the agrarian tradition the ownership of these trading houses remained in the family ownership. The legacy was passed on from one generation to another. As such, when the transformation occurred from trading to manufacturing the tradition of family ownership continued.

Family owned organizations either remain organizations with focus on only return of investments or grow to become institutions by creating new traditions of business acumen anchored in values of relationships and philosophy of life. The life cycle of an organization often does not last more than two to three generation. However, the life cycle of an institution lasts for centuries. This largely depends upon the vision, values, code of conduct on the one hand and business acumen, business and strategic choices and people choice of the progenitor.

This paper focuses on the role of entrepreneurs, progenitors, patriarchs and leaders in the family owned organizations. The family ownership and its first entrepreneur has a special significance in Indian industry. The family ownership and membership bring the family history, relational dynamics, familial structures and role processes into the organization. The role of the owner/leader in an organization is influenced by the family dynamics in the social setting. Similarly, the issue of inheritance and succession is also brought to the organization.

This paper also focuses on two kinds of leadership roles in family owned organizations.

- 1 The progenitor who has two or more generations of family ownership/leadership succeeding him and
- 2 First generation professional entrepreneurs and leaders who founded the organization in the last one and a half decade (beginning 1980's).

The First Generation Entrepreneurs

The first generation entrepreneurs in India who entered manufacturing and production was at the turn of the century when the country was just getting into industrialization. The industries they set up flourished through their sagacity, hard work and the dedication and loyalty of people who joined them. At the turn of the century the newly set up industry operated within the framework of the society and designed organizational and business practices congruent with the social structures and processes. [Tripathi & Mehta (1990)]

Literature review and studies of many of these individuals who set up industries suggest that the industries grew rapidly and these individuals themselves became giants. [Parikh (1993, 1994, 1995)] The growth of industries and the life of these individuals are documented by many historians² as well as social scientists. [Rice (1958), Singh & Bhandarkar (1987), Sampath (1991), Banerjee (1991), Anantha Narayanan (1991)] The writings have focused on the business acumen of these industrialists, their vision, foresight, their contributory role in the social issues, their interest in education and educational institutions and setting up many other relevant institutions in the society.

The first generation owners-entrepreneurs provided sound direction, guidance, centralized controls and operationalized the plants through loyal and dedicated employees. The focus and thrust of industrialization changed after the 1940s. The country was governed through license raj. The business environment was a sellers market. There was monopoly of technology and the market was governed through scarcity of resources and products. Administration was through patronage, deprivation and obligation through social linkages and concept of duty. The employees were given jobs through personal and direct contact and a large number of these employees came from the same larger extended family and social community. For many of these employees this was the first job and they had limited aspirations for themselves from the organization. [Sampath (1991), Parikh (1993)]

As the organization grew it acquired history. The owner-manager had acquired the progenitor's role. The organization history was intertwined with the progenitors who had become larger than life. Employees remembered the personal contact, kindness and personal consideration by the progenitor. He was attributed concerns for the family of the workers, social issues and the exclusive well being of the organization and as such the workers. [Parikh (1992, 1993, 1994, 1995)]

The progenitor took all the decisions. He supervised every detail of the running of the organization and attended to day-to-day functioning problems. He kept direct access and contact with people across departments, functions and levels. He personally visited each department and monitored the functioning as well had direct feedback from workers as well as all other employees.

The management was traditional and anchored in the progenitor. He was the father figure to whom the employees were loyal, obedient and surrendered their lives. They did their duty by the progenitor and for the organization. The progenitor governed the people and the organization with a firm hand, inspired the employees to work and was sensitive to the employees and their personal and social crisis. The progenitor like the patriarch in the social familial context was available to everyone and was an anchor as well as security for he was postulated fairness and responsive to one and all. [Parikh (1992, 1993, 1994, 1995)]

However, within and outside the organization the social and structural hierarchy were maintained. But within the social frame there were equations and inter-dependencies which were fostered. This process bestowed in the progenitor the authority to recruit, reward or punish and impart a sense of well being for its employees. What got conveyed to each employee was that he was a significant part of the progenitor's large family. This belief gave the progenitor immense freedom of diverse action which was accepted by the employees as it was believed that the progenitor's actions were for the good of the employees.

One of the unique characteristic of Indian enterprise is that Entrepreneurs who start an industry whether in the same geographical region he comes from or outside tended to largely employ people from his own region with homogeneous background of shared values, beliefs, life styles and code of conduct. However, as the organization grows there is induction of people who are diverse and heterogeneous. Even as heterogeneity and diversity are accepted key jobs and functions like finance, accounts and purchase are largely in the hands of few trusted people who are from the same social network and affiliative linkages. The people/employees who join the organization are dedicated loyal people, sincere and conscientious and who want to be part of the growth of the organization. Their growth lies in the growth of the organization. Consulting experience has suggested that the people profile of many such entrepreneurial organizations reflected a loyal group of people who dedicated their lives to the entrepreneur and as a consequence to the organization. Competent and loyal employees are the strength of such organizations and contribute to the growth of the organization. [Parikh (1992, 1993, 1994, 1995)]

Some writers has focused on the following areas in the family owned organization in the West. [Yukl(1981)]:

- a) ownership and management are totally in the hands of a single family.
- b) Absentee owned firm-owning family makes all decisions regarding ownership. Non family members are charged with running the business.
- c) Latent family firm-organizations in which a family member directs. Members have no visible relationship with the business.

Similarly, family owned organizations go through phases viz.

- | | |
|-----------|--|
| Stage I | Creating the business |
| Stage II | Growth and development |
| Stage III | Succession to the second generation |
| Stage IV | Public Ownership and Professional Management |

Researches have also identified the unique characteristics of the owners in managing the family owned enterprises. [Waid (1987), Schein (1980), Sherwood (1978), House (1977)]

1. to avoid open conflicts
2. sagacity and skills to create and evolve processes of consensus
3. maintain cohesiveness at the top
4. promote open culture of accessibility
5. create a sense of belonging among the employees
6. invite involvement of employees in the organization as distinct from tasks
7. foster idealism and inspire a long term vision
8. articulation of philosophy, perspectives, life styles and code of conduct
9. create a sense of togetherness and community and family spirit

In Indian organizations 'progenitor' has certain emotional response as distinct from leadership of an organization. Beginning sixties a whole of literature and studies have focused on family owned firms and organizations. They reflect the following :

The family firm is unique in the sense that it is under a family ownership and the decisions regarding the activities are totally in the hands of a single person or some members of the same family. This brings to the forefront a series of issues relating to within the firm and within the family. There might be a clash of interests amongst family members socially and they get carried over in business. It becomes the responsibility of the founder or the patriarch to manage both the sides and bring about a successful interface between them. In the initial stages of a firm the family by and large is involved in the day to day business activity and this is carried over both the topic of discussion and argument at the family table. All the members struggle to make their point be heard and their stand be proved. This leads to a unique social-business dynamics within the family members and it affects the firm's performance. It becomes the responsibility of the leader-owner to manage the dynamics. Sons, daughters, nephews, nieces, in-laws everyone is part of this social-business involvement of the family business.

In this situation the total responsibility of managing the balance between the family and business lies wholly on the head of the business who is usually the head and patriarch of the family. His role becomes very important to generate a coherence and convergence to manage the family as well as the enterprise. The founder progenitor of the business plays a most important role in shaping the institutions that they create. Western literature [House 1977] has identified some qualities of the founder leader. Self confidence, beliefs, conviction, competence, trust in the employees and a tight control on the organization. Structurally the owner cum manager - the founder cum progenitor manages both the external and internal interface of the environment. The employees all rally around him. Culturally this direct access of the leader to the employees creates commitment from the employees. the founders personalized social concern for the employees and his family's welfare generated belonging and ownership of the tasks and immense respect and appreciation of the founder. In later years this part of history of relationship between owner and employees is held in nostalgia and fondness.

From the inception phase to growth and consolidation phase the founder progenitor grows in stature. As the business grows and flourishes his vision, business acumen, leadership style, his people orientation and dedication and commitment to the growth of the business and prosperity of the people is eulogized. Indian organizations are replete with tales of adventure and success of the founders.

The Second Generation

By the time the second generation comes around the progenitor has acquired larger than life image of him and his accomplishments. He already has a set of people reporting to him with a long history of association of growth of the organization as well as their own growth. They have established themselves and are power centres in their own right. They have witnessed the second generation as children and grow into adulthood to enter the organization and in authority and power through

inheritance. These are the inheritors to an organization or an empire created by the progenitors. [Parikh (1993)]

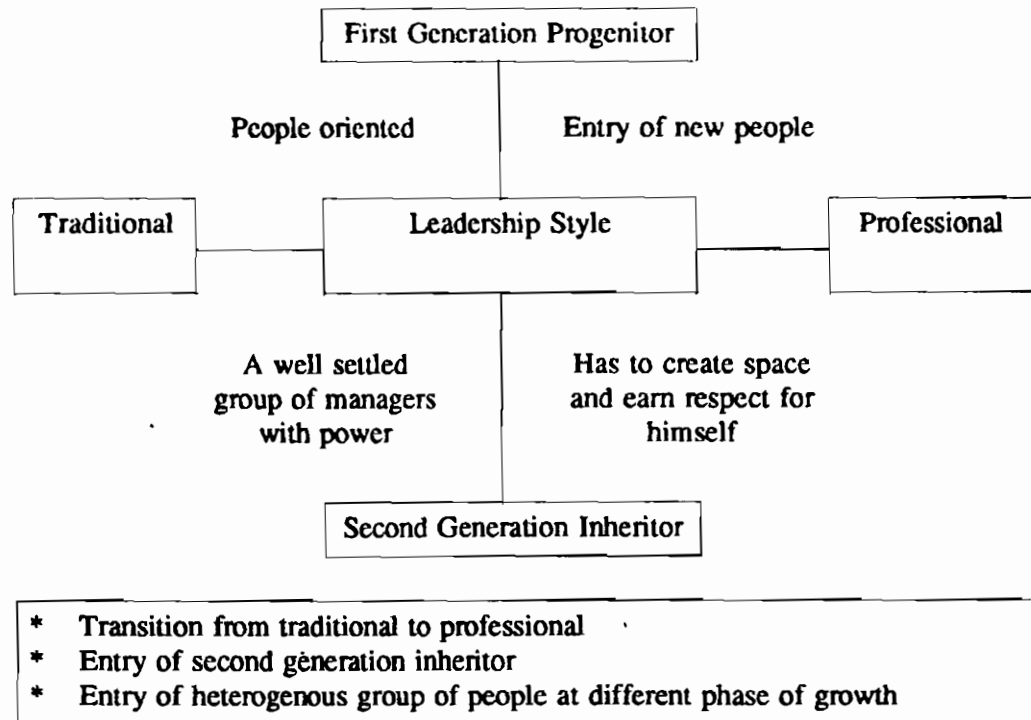
The second generation the inheritors have grown up in the shadows and role model of a giant who has been postulated with charisma and idealism. It is the most difficult task for the inheritor to step into the shoes of this giant and demi god. Their experience of this giant in the family setting as a father role is that of a patriarch, an autocrat, self righteous and a model of tyranny. Indian families are replete with tales where the encounter between the fathers and sons and the dominant behaviour pattern of the father is that of creating compulsions and demanding surrender of the son creates processes whereby it erodes initiative, inhibits dynamicity and limits the unfolding and potentials of the second generation.

The second generation enter the organization with their own dreams and enthusiasm of performance and following in the footsteps of success. They want to take the organization forward as well as establish their unique identity. However, in the organization setting a unique juxtaposition of the traditional and the familial and dynamics of power and authority leaves very little space for the second generation inheritor to achieve and excel. The progenitor has a set or a group of individuals who have already become surrogate sons and right hand of the progenitor. The inheritor's entry and effort to create space for themselves in the organization creates some difficulties for these existing powers as they have enormous authority, power, significance and status. The progenitor is clear that the son is the inheritor. However, all organization processes are loaded against the inheritor's success. As such, given the socio-cultural existing people and processes the second generation inheritor has very little chance. The second generation has very few alternatives. Either he can conform and settle into a lesser smaller and a shadow replica of the patriarch, or rebel and set up his own kingdom or go into exile away from the same geographical locale to start on his own. However, in many families the inheritor settles down to a maintainer role and acquires the leadership role of maintaining the organization at the same level. He continues to be held in a comparative frame with the progenitor and found wanting. Very often the powers and authority continue to remain with the existing key roles. To the inheritor the key role holders have been significant member of the family and part of his growing up and as such not to be questioned or challenged. The socio-cultural processes of familial set up inhibits the assertion by the inheritor to claim his own rights.

The western literature on family owned organizations have addressed the issue of transition of the leadership from the first generation to second generation. Yukl [1960] highlights the processes of socialization, induction and the actual transition from first generation to second generation. According to him, the children of the first generation business are treated differently and are prepared to take over the business. They are formally groomed. they start going to the workplace early on. The employees also treat them as would be owners. In the Indian context the second generation is the inheritor but may not be groomed in the appropriate education. They too are perceived and accepted as the inheritors. [Parikh (1990, 1993 1994)] Both in the Western and Indian family owned organizations the progenitors are seen as traditionalists who have governed the organization with structures and processes anchored in their times. The second generation finds it difficult as they eventually enter an organization which is already governed by a code of conduct and a mind set of the existing people. Their effort is to deal with these attitudes and at the same time set new ideals, task focus and goal achievements.

Around the time of entry of second generation of inheritors in business in India the growth of the organization makes it necessary for organizations to induct some professionals. This is facilitated if the second generation is educated and trained appropriately. Another process of induction [Yukl 1960] more often used in the west than India is that with the entry of the second generation the organization gets polarized into two distinctive styles of leadership. That of traditional and professional. In the Indian context more often it is the third generation which inculcates and introduces professionalism. Figure 1 presents the generational and leadership style dynamics in the organization.

Figure 1
Generational Dynamics and Styles in Family owned organizations



(Adapted from Parikh, Indira J. An unpublished consultancy report, 1992).

The overlap of two generations brings into organization two styles of leadership more so if the inheritor is professionally educated and trained. Both the styles have their strengths and limitations. The traditional style is anchored in the people interface whereas the professional is anchored in the task interface. Both the styles are valued by the respective group of people and more so if there is perceived coherence. However, if the two styles pull and push the organization in multiple and opposite directions then it creates dysfunctionalities both in people as well as the organization. It fragments the organization into two. That of people with many years responding to the traditional style and the progenitor whereas the newer younger people responding to the professional focus and the inheritor or the successor.

The Third Generation

The Third Generation : Successors

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The third generation - the successors arrive on the organization scene often when the first generation progenitors are still around. This means that the age of the progenitors is around sixty five to seventy plus, the inheritor forty five to fifty plus and the age of the successor is twenty plus. The progenitor has far greater expectations and hopes of success from the successor than he ever had of the inheritor. The progenitor attributes all his personal qualities of success and charisma to be continued by the successor. The successor is said to be the grandson of the progenitor and as such similar to the progenitor with value added opportunities of growth and the learning from the experiences of the progenitor.

This process further compounds the status of the inheritor as some of them have not had the opportunity or the space to prove their own identity, status and or identifiable contribution to growth of the organization's achievements and success. The second generation who have succeeded and have contributed to the growth and success of the organization then have expectations of the next generation

to carry on the success to greater heights. When the third generation enters the organization the whole organizational and relational dynamics takes a different dimension.

The third generation comes through as ambitious and impatient to bring in action and fast paced changes. While their fathers were conservative, avoided taking risks, and were happy conserving what they had inherited, the younger generation is ambitious and growth oriented. They want to make their companies competitive at the global level. The third generation successors are young, dynamic and with a degree from some foreign university. Engineers and MBAs are the most common degree. [Business India (1991)] Their approach to people and organization is totally different from the traditionally managed styles. They want total revolutionized change in systems and structures, and strategies. According to a third generation successor, "we are under pressure to do better than the previous generation because the shackles on business are gone". [Business India (1991)] The third generation succession in the organization is accepted by the seniors loyal to the progenitors generation as well as by the professionals. This is rooted in the socio-cultural context of Indian family owned organizations. The training of these successors is handed over to some of the capable and competent senior managers.

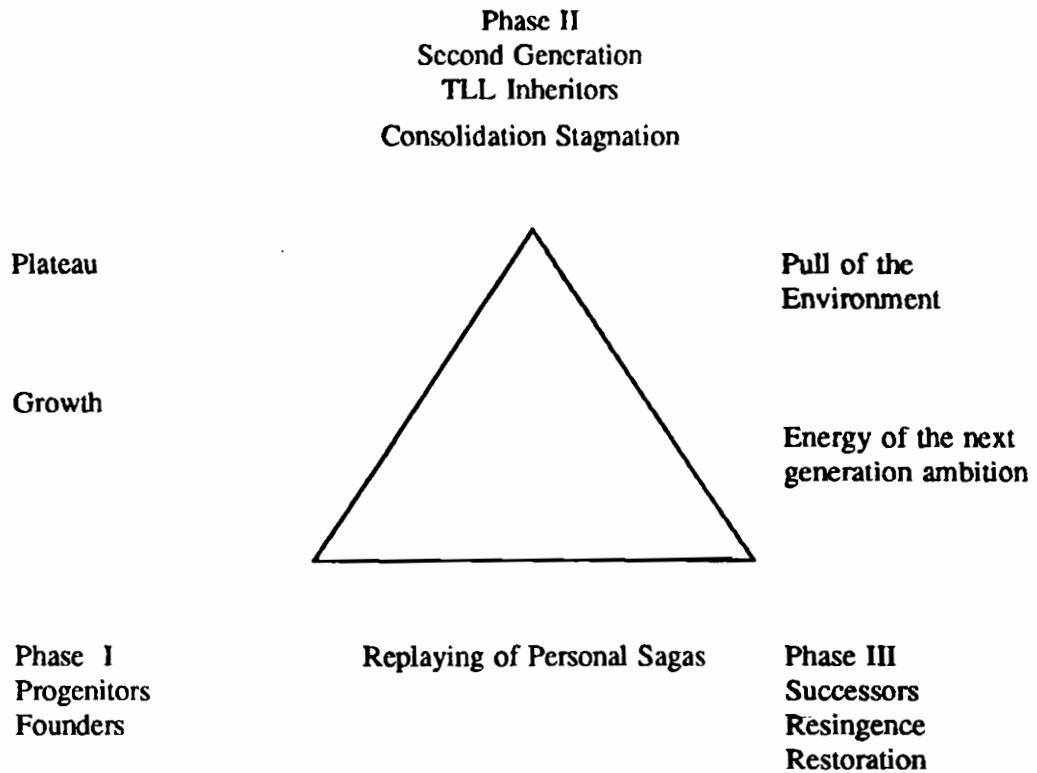
In the generation of the seventies who entered business as successors education was not that significant a focus as on the job training. Here the role of the seniors and an occasional professional in the organization became important to induct and train the successors. [Business India (1979)] The eighties has brought about a radical change in this attitude. Many of these third generation successors were sent to institutions of higher and professional education in professional schools both within the country as well as abroad. [Business India (1991)] Not only that they frequently participated in developmental management programmes to keep abreast with the happenings in the external environment, industry and in the field of new management knowledge, tools and techniques. The most persistent resistances and barriers in the organization to these successors came from many seniors who have been with the progenitors for a long time. [Business India (1991)]

The successor's approach to organization structure, task, technology and people are dramatically different from those of their fathers and grandfathers. [Business India (1979)] Studies carried out reflect that the personality and life profile of the younger generation tends to be workaholic. They often work seven days a week, with a younger professionally trained group of people. They streamline the structure from a hierarchically layered organization to collapsing the structure and introduce the 'lean mean' concept in the organization. They emphasize the competitive market oriented approach. Almost all have a high-tech vision. The successor at one level is indulged and yet at the another level he is under test. He has to prove that he can stand up to the expectations of those who watch him and he has to succeed to prove that all those who thought he would fail were wrong. [Business India, 1979)] With a charismatic progenitor he has to do as well or better and vis-a-vis the second generation who were not so achievement oriented he has to prove to himself and others that he is not a waster.

The third generation of successors of stable and solid industries are indeed under pressure to achieve and succeed. He has to combine skillfully all his resources and come out with his innovation which can take the organization ahead. Many organizations which have not grown in the leadership of the second-generation tend to recover under the leadership of the third generation. And only by being successful in their mission the younger generation can grow into the maturity and stature of a leader.

The above reflections were reinforced by several studies of many family organizations that the first generation progenitors by their charismatic personality, vision and values business take the organization through unprecedented growth and success. The second generation just about manages to sustain and maintain the status quo. Some organizations decay and disintegrate with the first generation only. If the organization succeeds with the first generation and maintains with the second, it is the third generation which then take the organization forward.

Figure 2
Transition of Generational Dynamics in Family Owned Organization



- * There are three phases of growth
- * Each phase marks a discontinuity in growth
- * Qualitative shifts are required in managerial roles

(Adapted from Parikh Indira J. An unpublished consultancy report, 1993).

Culturally a major shift has occurred in the Indian family organizations whereby emphasis on education, training, achievement and success are aspired for. The cultural coding of success waster restorer syndrome is being broken and a concept of leadership with achievements, success and growth across several generations is beginning to emerge as a reality. The family owned and managed organizations have gone through cycles of progenitors as the institution. The organization remain focused on results. The transformation required today is the shift from institutionalizing the individual to the organization anchored in the institution and not exclusively in the organization. It is in this shift that the family owned organization will continue to unfold through generations and remain dynamic.

Studies of several [9] organization reflect the salient features of the traditional and professional leadership style of the progenitor and the inheritor.

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Progenitor	Inheritor	Successor
1 Has personal preferences of people. It is based on loyalty and known social belonging	1 Very much task orientated and is vary of the existing people	1 Fired by dreams of achievement
2 Trusts some people and not others	2 Emphasis on consolidation and growth	2 Acquires a whole new set of professionally trained people
3 His likes and dislikes creates processes of discrimination and deprivation	3 Somewhat impersonal and distanced	3 Demands results
4 Trends to over supervise and holds personal accountability	4 Wanting changes but not assertive enough	4 Introduces structural and systemic changes at a fast pace
5 Wants to know every detail - cuts across all	5 His pace of work creates inadequacy and inefficiency in existing people	5 Focus on quality and excellence
6 Is generous, fair and just	6 Introduces systems and structures which are new and unfamiliar	6 Strategic policies to address the competition and globalization
7 Tolerates some incompetencies and inefficiencies	7 Demands results and functionality	7 Takes the organization beyond the familial ownership to a world class organization

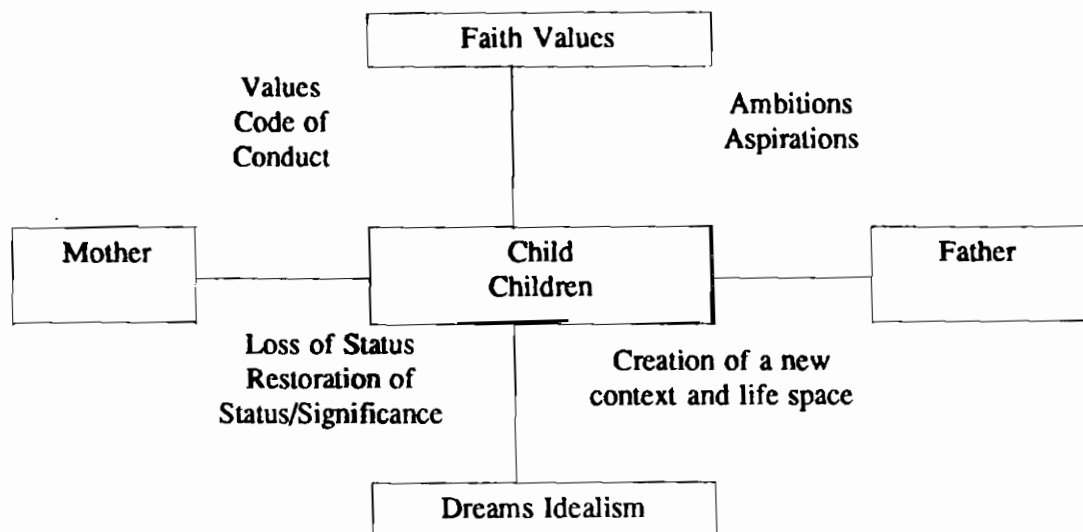
First Generation Professional Entrepreneurs 1970s 1980s

The eighties was a time in the country when the beginning of economic liberalization and government policies on industry began to undergo dramatic transformation. The nineteen eighties were the times of professional entrepreneurs. One group of these were young men who came from humble beginning who were educated and who carried the dreams of idealism, achievement and success. Stories of giants who came from small beginnings began to emerge as realities of the economic context of the country.

The first generation enterprise reflect the ownership of an individual or a group of individuals related by birth or through marriage who come together to start an enterprise. Individuals who are first generation entrepreneurs are influenced by personal, parental and family sagas. These influences fan the ambitions of personal achievement and a missionary zeal to create and build. In some the family heritage is of immense wealth and prosperity which by traumatic and dramatic national or environmental events were shattered. The loss created an immense need for restoration of old status and glory. This loss fanned the dreams of parents who had lost their resources in the past and who sowed the seeds in their children of restoring the heritage and glory. Then there were a set of parents who had the skill and the dedication to achieve and excel but were denied opportunities. These unfulfilled aspirations, ambitions and achievements were then transferred to the children as the children's mission in life. A third set of parents who themselves had started an enterprise and created a family heritage created dynamics in the organization which deprived and denied the next generation space to add and unfold their own dreams and aspirations. As such, the leadership in family owned organization is the result of family continuity, family sagas and personal saga of each individual.

Figure 3 presents the dynamics of parents influencing the child/children to set up an enterprise.

Figure 3
Dynamics of parents influencing the child



[Adapted from Parikh, Indira J. A study on the movement from Entrepreneurship to Industry, 1993.]

In this dynamics there are several critical contextual and personal factors which shape the emergence of future enterprises and the new breed of professional entrepreneurs.

- 1 There is loss of significance and status of one of the parents or both the parents
- 2 There is an experience of loss of opportunities and as such denial of recognition growth, status and significance - more so with the father in his work place who is in employment.
- 3 Both parents believed in idealism and values and were ambitious and aspiring for themselves and also for their children
- 4 Professional education is seen as the key to success in business enterprise.

The values and ambitions of parents planted the seeds and inculcated and fostered in the child/children a mission to create and build something. Many of the first generation entrepreneurs of the eighties are fired by idealism on the one hand and ambitions, aspirations, and achievements, on the other hand.

The setting up of an organization by first generation professional entrepreneurs creates excitements of discovery, opening of new vistas and horizons and transformation of individual dreams into realities. In the initial phases of growth the role of the professional entrepreneur or the key person becomes very critical and significant. In the life cycle of an organization the key person - the owner is experienced as 'the organization'. People who join the new organization are looking for challenges and opportunities for their own growth and achievement. They are hungry to succeed. They come with dreams to better the quality of their lives and life space. In the phase I of growth of the organization, the leader is postulated larger than life image and significance. The entire growth, vision, and values are around that one person.

The leader is postulated all energy and action. He is expected to transform the organization as well as lives of people. He is to take the organization forward, provide opportunities and challenges for growth for both the organization and the individuals and create a space for them to perform their roles.

The second significant criteria in the first generation entrepreneurs is the idealism, dynamism and mega dreams around which the organization is built. In contrast the generation of entrepreneurs at the turn of the century, lived by the values and idealism of heroes of myths and epics and were seeped in the traditions of the socio-cultural context. They felt responsible for the total family and often the

community and strived to bring to their people an economic security and new options in their lives - that of employment. The value of homogeneity made them to employ individuals from their own socio-cultural community. This created a dynamic where the people experienced belonging as well as overwhelming loyalty to the entrepreneurs. Often this loyalty was carried over in the next generation. There was a concept of duty in performance, a quality of trust with discipline, a quality of relationships and people as resources with familial and community spirit. It was this juxtaposition of the traditional with the business anchored in growth, creativity, innovativeness and excellence of the first generation of entrepreneurs at the turn of the century which made individuals to grow into institutions.

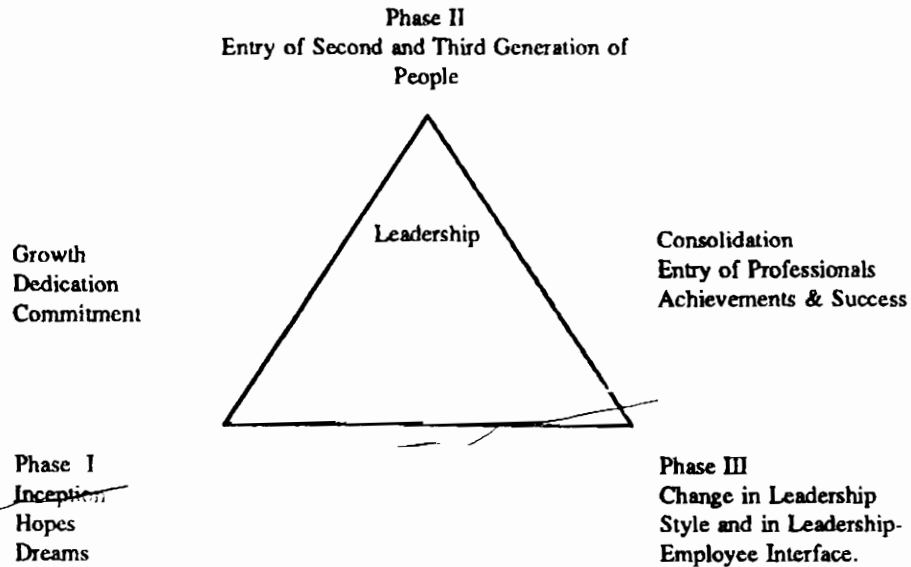
The professional entrepreneurs of the eighties who became giants are known for absolutely different qualities than the earlier entrepreneurs progenitors of the forties and fifties. These professionals are known for their dynamism to transform the business environment by pushing the frontiers of growth. They are known for their drive, relentless pursuit of excellence, missionary zeal to achieve and ruthless demand on themselves as well as others to achieve and perform. Individuals/employees who enter such an organization enter with the drive and their dream to grow with the entrepreneur and the organization. [Parikh (1992, 1994)]

Over the years in the life cycle of the organization's growth the professional entrepreneur acquires significance and visibility in the environment. With the rapid growth of the organization, individuals who had joined the organization and have contributed to its growth also have grown in their career and stature. They too start to become visible in the environment as they too acquire significance and power in their own right.

The dynamics of relationship between progenitor of the yesteryears and the professional entrepreneurs of eighties is qualitatively different. The generation of the progenitors and the people who joined the progenitor maintained the structure and processes of the social context and relationships. The progenitor continued to remain as the father figure and in the hierarchical structure and position for life. The traditional context of age, experience and the respect, loyalty obedience interface were retained. Whereas in the professional entrepreneurs of the eighties and their interface with the employees underwent a dramatic and qualitative shifts. The shift was more so in the interface between professional entrepreneurs who acquired the social traditional qualities of leadership role and the people who joined them. By the interactive processes between the entrepreneurs and the employees and the environmental interface the significant individuals got dwarfed by the entrepreneur leader who acquired larger than life image. It became difficult for the leader to accept and acknowledge the contribution made by others. He began to believe that it is his vision, effort and contribution alone which has contributed to the growth of the organization. The rest of the people begin to experience control and are pushed to play a secondary role to the leadership. The organization space gets filled by the aura of the leader and gradually the space begins to shrink for the rest of the people. The autonomy for other key role holders in the organization gets reduced. The leader turns into a patron/patriarch demanding surrender and homage. In spite of achievement, success and growth the others feel inadequate, insufficient and helpless. It is at this stage the leader, the organization and the individuals go through massive realigning and recalibration. Either the senior people leave or there are massive conflicts amongst the leader and the rest. If the key role holders accept and continue to bring their contribution, achievement, and significance the leader gets threatened and becomes controlling, taking charge, proclaiming ownership and gradually eroding and easing out other roles. He then cultivates the third and fourth generation employees to run the organization.

All entrepreneurial organizations with professional ownership go through some of these phases of growth. These phases are presented in Figure 4.

Figure 4
Phases of Organization's Growth

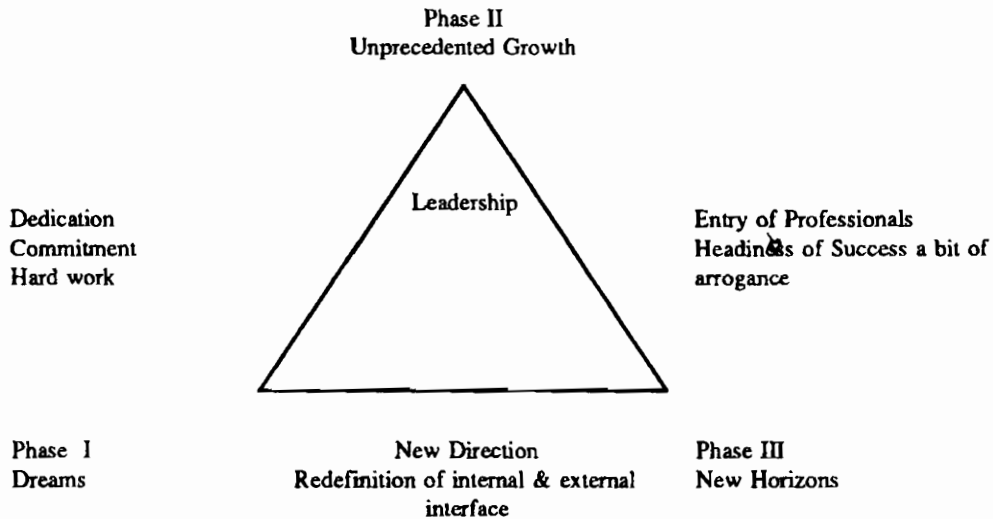


(Adapted from Parikh, Indira J. An unpublished consultancy report, 1993).

- | | |
|-----------|--|
| Phase I | Translating dreams into reality |
| Phase II | Dedication, commitment of the progenitor & others fosters growth entry of new people some with specialization and skills and professional capabilities |
| Phase III | Need for consolidation, entry of professionals for further growth achievement and success |

Another way of looking at the growth phenomenon of an organization and the role of the leadership is presented in the Figure 5 below.

Figure 5
Phases of Growth



(Adapted from Parikh, Indira J. An unpublished consultancy report, 1993).

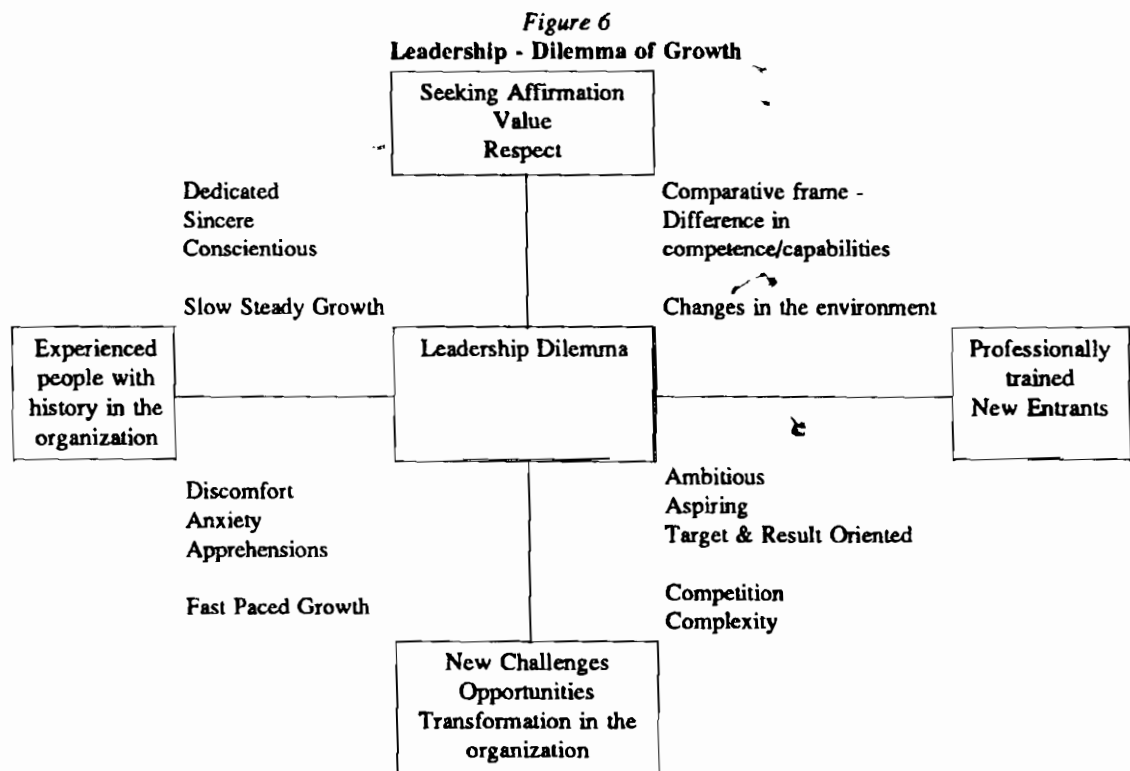
- | | |
|---|---|
| . | Dedication, commitment, and hard work from leadership and the group |
| . | Fast paced unanticipated and unprecedented growth |
| . | Headiness of achievements and success |
| . | Redefinition and redesigning of leadership role and internal and external interface with organization and environment |

Organization also experiences unprecedented and unanticipated growth by the pulls of the external environment and market conditions. The leadership continues to respond to the external challenges and opportunities.

During the Phase I and II the leader is personally accessible to people. He by his charismatic personality and identity profile commands personal loyalty, commitment and dedication. He generates a set of people who swear by him and to them he is the organization. His leadership style generates a very personalized and direct linkages with people. There is direct interaction amongst the role holders. There is also a competition among key role holders as to who has more functional and personal access as well as linkages with the leader.

Phase I of organization's growth contributes to a leadership style which is people related. The phase II of organization's growth pushes the leadership to a more focused task orientation and a more cohesive interface with the external environment. The leadership tends to arrive at some short and long term strategies and formulation of policies. A resemblance of formal structure emerges and there is increase in the number and quality of people.

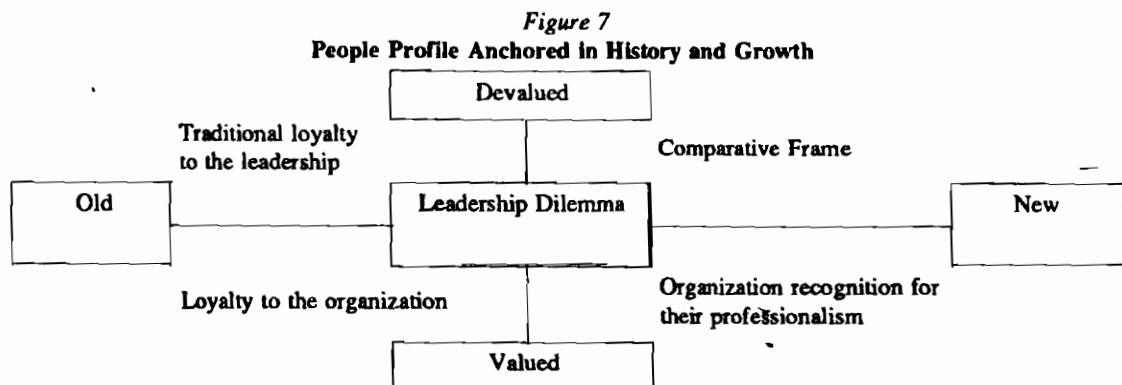
Phase III of the organization arrives when all that has worked in the past is no more adequate and sufficient. The organization has already grown from small to medium to large. At this phase professionals are recruited whose focus is tasks, targets and results. Organization is pushed to focus on quality, tasks and excellence in performance. Organization has to focus on competitive strategies of expansion and diversification. There is a need for creating synergy amongst different functions and evolve a corporate structure, corporate roles and processes. When the leadership attempts to do this the people variable in the organization generate a dynamics which becomes the core issue of the leadership. Figure 6 presents the dilemma of the leadership.



(Adapted from Parikh, Indira J. An unpublished consultancy report, 1993).

- . People risen from the ranks - hard working, sincere and conscientious
- . They feel inadequate and insufficient
- . They seek respect and being valued for their contribution
- . Professionally trained are looking for career growth and opportunities
- . They are ambitious and demanding but they also perform
- . Organization/leadership has to design
- . Integrating process to assimilate knowledge and experience and old and new people

Another dynamics which gets generated is the issue around groups of people who have been with the organization with values of dedication, sincerity and loyalty. Some of them start feeling devalued and uncared for. This also happens as at this point of time when the next generation begins to take charge and provide the organization with new opportunities, challenges and directions. A new group of people enter the organization who have loyalty to the new incoming leadership. The organization gets pulled and pushed in the dilemmas and differences between the progenitor and his group of loyal employees and the incoming younger leader with the new group of people. Both groups of people being different qualities to the organization, but end up feeling comparing themselves. Figure 7 reflects the dilemma of leadership and the resultant fragmentation.



(Adapted from Parikh, Indira J. An unpublished consultancy report, 1994).

- . Old people experienced disowning and marginalisation
- . Professionals demand recognition
- . Old people are loyal to leadership and organization
- . Professionals are loyal to themselves and their growth
- . New spaces and interfaces to be designed so that a shared understanding and belonging emerges

By this time the organization has reached a size of growth where the structure has formally crystallized and acquired a shape. More often it is a hierarchical structure where levels of management are clearly demarcated. The roles of different levels of management have crystallized. For example, the senior managers represent that group who are required to take decisions, respond to organization-environment interface and inspire people. It is their role to inculcate personal and systemic discipline, provide challenges and opportunities as well as directions and vision to the organization. The senior managers also collectively provide a leadership role model which visualizes new paths and horizons for the organization.

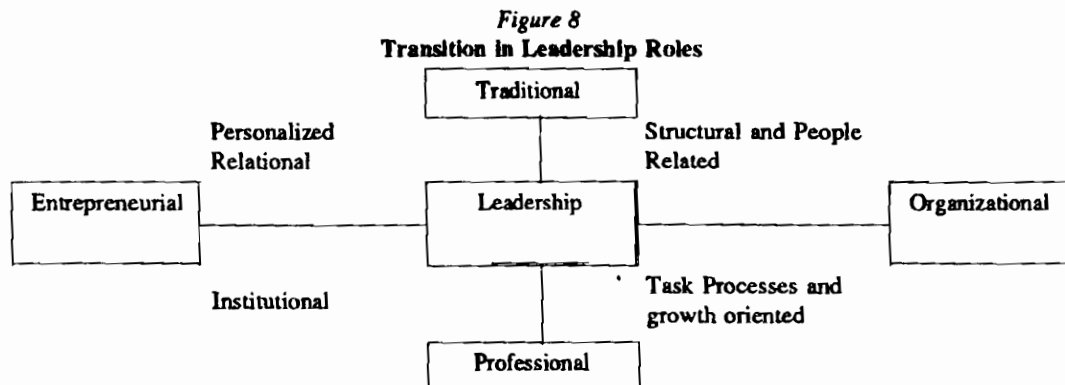
The middle managers represent that group who achieve the tasks, succeed and take the organization practices forward. However, this group of middle management with whatever dreams and aspirations they may have become disillusioned and disenchanted group. They have frozen themselves in their routine and repetitive performance. They have risen from the ranks but encounter many barriers in their growth as they as well as the organization have not invested in their managerial role and growth.

The interface between Senior Managers and Middle Managers is of instructions, injunctions and demands for performance. Evaluation, assessment and realistic appraisal of performance with accompanied rewards and accountability and counselling is seldom done. The interface space then gets

filled with disappointments, let downs and betrayals. Creativity, innovativeness and dynamicity is sacrificed at the altar of distantiating between Senior Managers and Middle Managers.

And when the Middle Managers experience a sense of being devalued and unappreciated and as such frozen in their performance, the junior level of management who enter with their aspirations of career growth and dreams of improving their and their families lives, experience and encounter barriers to their growth. This contributes to their limited commitment and involvement and they begin their search of places, people and systems where their dreams would be fulfilled. A turnover of the lower management begins to take place.

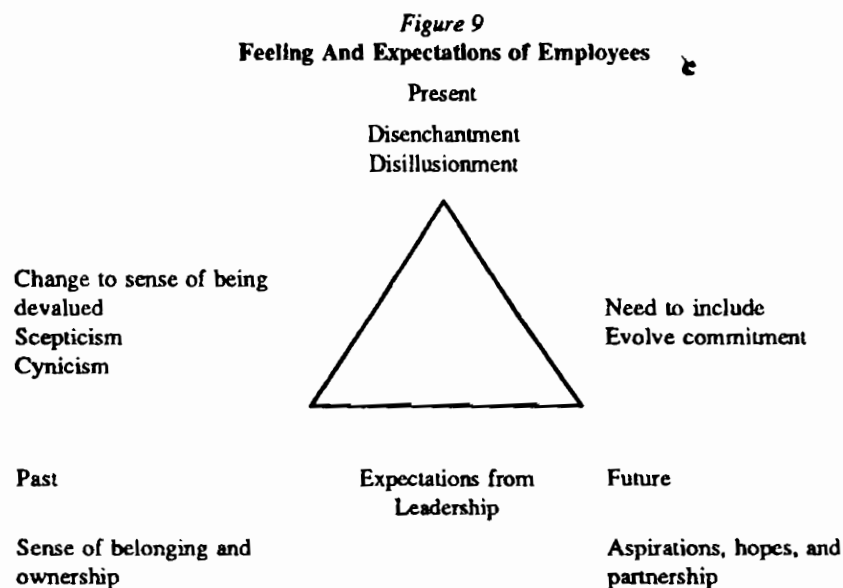
In the dilemmas confronted by the leadership there is a need for transformation in the leadership roles and processes. Figure 8 presents the transition of leadership as the organization grows.



(Adapted from Parikh, Indira J. An unpublished research study, 1991).

- . Transition from entrepreneurial to overall organizational leadership
- . Shift from traditional to professional
- . Shift from personalized relational to task focused
- . Focus on performance anchored in quality and excellence
- . Institutional roles to create a sense of well being

The expectations of people also undergo change. Both groups of people have their expectations based on past history, present residues and future expectations. Figure 9 presents the expectations from leadership.



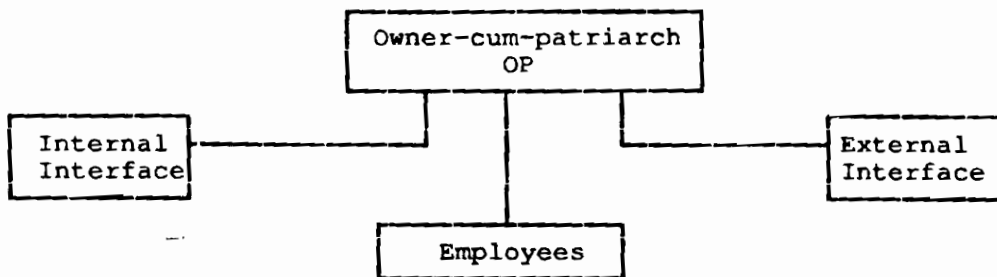
(Adapted from Parikh, Indira J. An unpublished consultancy report, 1995).

- . Creation of institutional space to minimise residual feelings of discrimination and deprivation
- . Task orientation to be tempered by institutional events to maintain contact with the leadership
- . To reenergize the employees for commitment and restore their hopes for a better tomorrow for them as well as the organization

Structurally, the organization undergoes many transformations. Growth compels the organization to design structures suitable and relevant for emerging tasks. Discussions and findings from several family owned organizations suggests that there are stages of evolution of organization structure. [Maheswari and Malhotra (1973), Parikh (1992, 1993)] Figure 10-14 presents in sequence the five patterns of emergent structure as they evolve in Indian family owned organizations and the accompanying role processes by the ownership patriarch cum leadership.

Figure 10
Entrepreneurial Operative Structure

Phase I

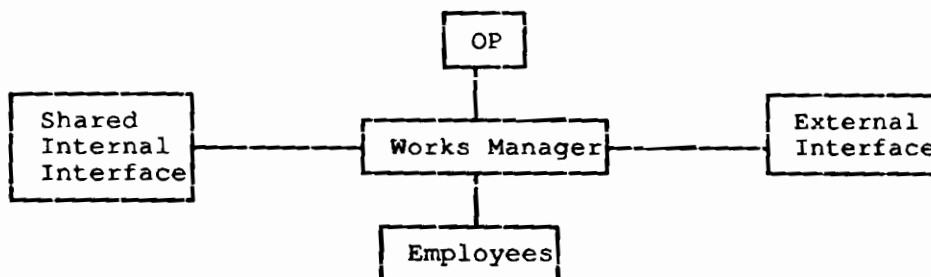


When an enterprise is started the entrepreneur who is the owner-manager manages both the internal manufacturing and administrative environment. He has a set of employees who do whatever is required to be done. He also manages the external interface of the environment including purchase, sales, marketing etc. There are no critical and significant roles or functions. The enterprise and the owner become synonymous. It is, by and large, a people oriented enterprise manufacturing the products.

The owner entrepreneur also manages the input and the output.

Figure 11
Phase II Growth of An Enterprise

Phase II

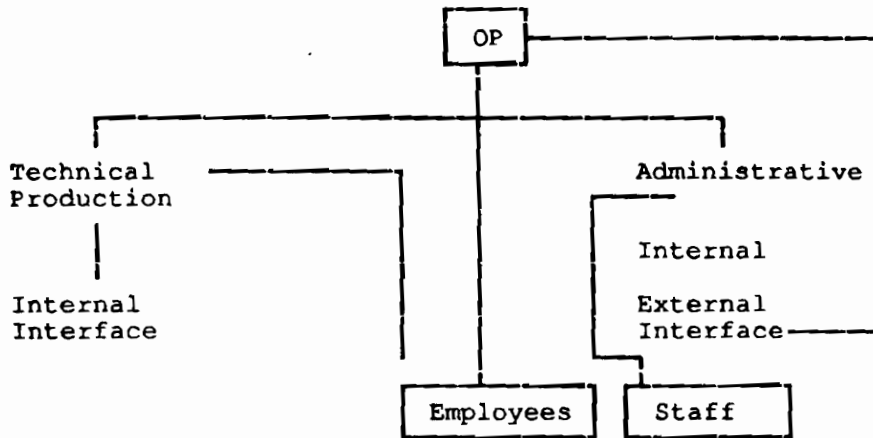


In the Phase II of the growth of the enterprise an additional intermediary role gets added. This is the role of production in charge and occasionally in accounts. These one or two roles interface with the employees. By and large, these roles are experienced as proxy of the owner and there is an effort on part of the employees to get direct access and contact with owner.

At this stage of growth some structuring and reporting relationships are designed and the beginning of operative structure also emerges. The owner cum entrepreneur continues to manage the external interface while the internal interface is shared with the newly inducted roles.

Figure 12
Emergent Structure of An Enterprise

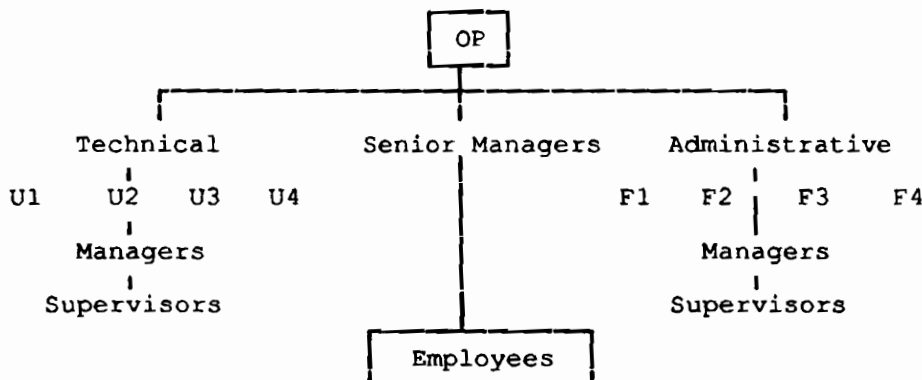
Phase III



In the third phase of growth of an enterprise there is clearly an emergence of two distinct functions. One is the technical production and manufacturing based while the other is administrative. There are clearly two distinct roles reporting to the owner. By this time the owner has acquired a leadership role, a formal structure would have evolved and the boundaries of functions would have been clearly demarcated. In many an organization the role holders do not directly interlink or interface with each other. Often there are inter-role and inter-functional conflicts and the owner often ends up playing a mediator role. The employees also get fragmented into technical and administrative and their job related interlinkages are through the technical and administrative seniors. The growth requires this structure. However, the processes become dysfunctional for the organization as it takes away lot of energy in managing people related issues rather than that energy being extended to planning for growth and policy and strategy formulation.

Figure 13
Formal Structure of a Plant

Phase IV



[Legend U = Unit, F = Function]

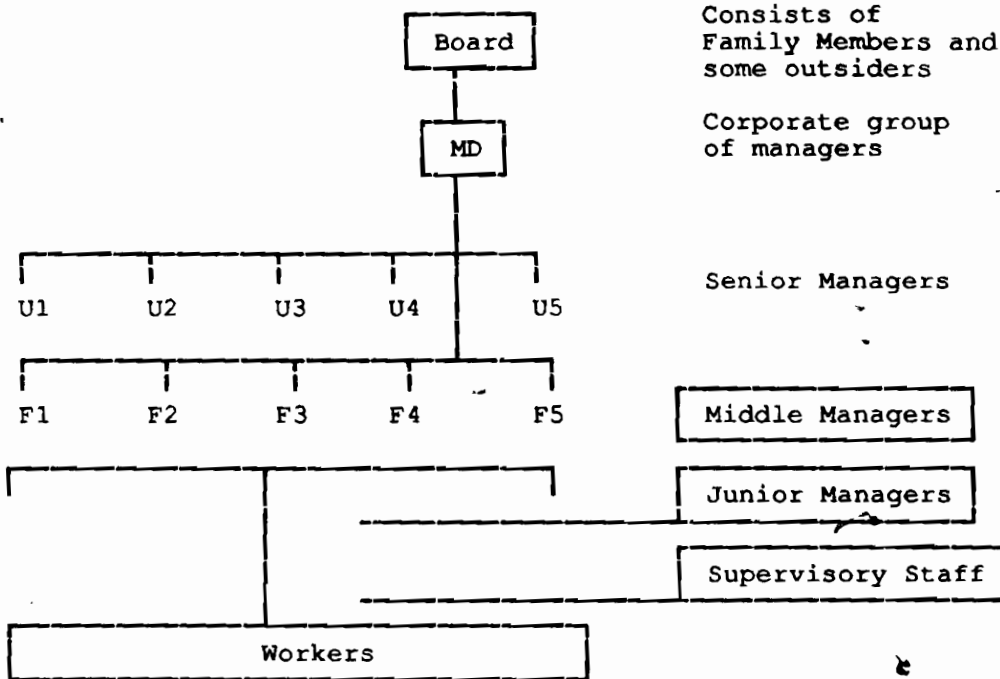
The next phase of growth is a quantum jump. Many new functions get added. There is a geographical expansion and there is an increase in number of products. The increase in size, turnover

and growth now demands a shift in the structure. By this time there is functional clarity and a set of senior people from the senior management. There is also increase in the levels of management and hierarchy. The organization requires a shift from people orientation to a task and systemic orientation. The role of the chief executive needs to undergo redefining and redesigning to a more corporate role and vision oriented. Similarly, the organization needs to acquire a formal professional orientation without sacrificing its human people orientation.

The organization is operating with the above four phases of growth. However, the managers and the supervisors have not acquired an orientation of the phase four of organization growth. For example, structurally the organization is ready for a corporate structure, a core top management team, collective leadership and functional autonomy. However, the operative structure and processes which exist reflects largely the Phase I or at best Phase II of organizational growth.

Figure 14
Formally Designed Organization Structure

Phase V



Legend : U = Unit, F = Function

In the Phase I of the organization growth, the pull of growth gives rise to the organization structure relevant for the size and the increased levels of hierarchy of management. In this Phase of growth formalization, professionalization and the focus on competitive edge begins to emerge. By this time third generation of successors have taken charge.

Conclusions

Many family owned organizations are personal sagas of adventure and laying down the foundations of an institution. The personal saga of the progenitor then becomes the legacy, heritage and family saga which is recorded and transmitted down the generations. The role models of the progenitor is idealized, the leadership style is eulogized and the laid down foundations of processes become invincible. However, as the history is looked back upon in the context of the present transformations and the future potentials several themes of transformations emerge.

1. - From the first generation of individualized personal charismatic leadership there is a movement to a concept of collective leadership of the organization. The Organization has grown from small to medium to large and mammoth and global. There are also those organizations and leaders who have become stagnant, decayed and disintegrated at the second generation.
2. From a homogeneous social ethnic group several generation have flowed in with a diverse heterogenous group of people with diametrically different expectations, ambitions and aspirations from the self, others and the system. A dynamic leader and an organization has created coherence and convergence amongst groups of people to evolve a collectivity in the organization. Those organizations which have not evolved a coherent community experience attraction either in the older group of experienced loyal people or younger generation of professionally trained people.
3. Structural change and Redesign: From a personalized structural leadership based on ownership and larger than life identity of the individual subsuming the organization identity there is move to a design of formal structure with corporate structure, roles and processes. Structural redesign is followed by management and business system: with boundaries, linkages, responsibility, authority and accountability. In the absence of the relevant processes with the newly designed structure there is confusion between organization and the individual and the rest are only doers and implementations with the total accountability in only one person at the top.
4. Leadership, vision and values: From a family owned and managed organization there is a distinct and perceivable move to professionalization of leadership, management practices and managerial roles. The organization invests in the development of human resources in the organization to upgrade management knowledge, attitudes and skills. In the absence of this investment many organizations continue the mediocre or poor performance and eventually loose out on challenges and opportunities of growth.
5. Institution Building and Organization Growth: Organization which has grown from business acumen of one person with socio-cultural familial organization culture now moves with the times to respond to global challenges and opportunities. The traditional culture is added innovation and creativity anchored in performance and excellence. Institution building processes are introduced anchored in philosophy and values so that simultaneity of idealism and pragmatism, belonging and excellence, and human concern with performance are focused upon.

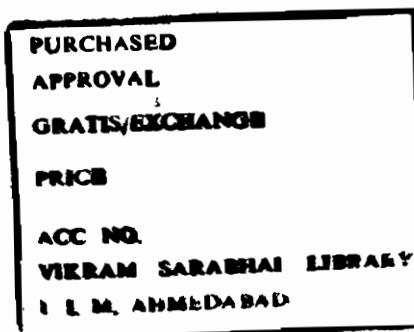
Given the above the family membership across generation can foster the growth of new traditions where crystallization of institutional identity and organization success go hand in hand. Such an organization culture and a mission where family ownership is tempered with the new business environment where new horizons can be visualized and new landmarks can be reached.

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