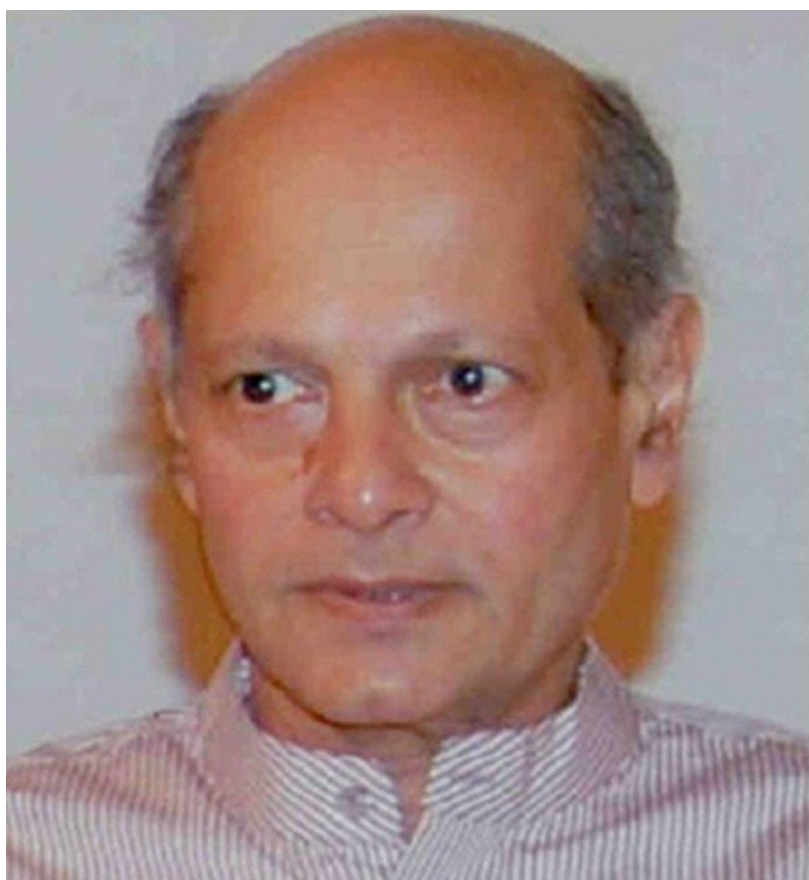




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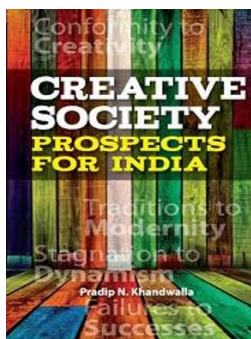


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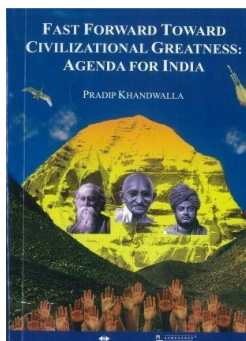


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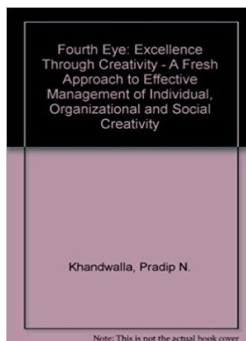


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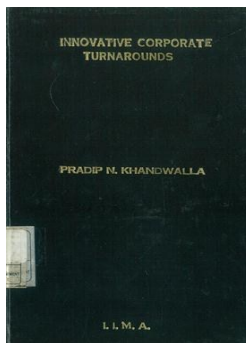


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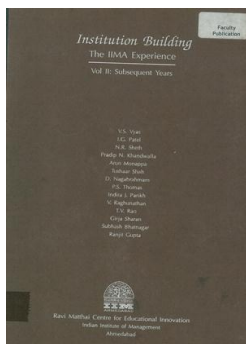


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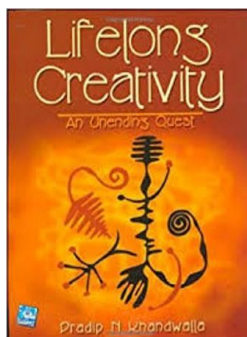


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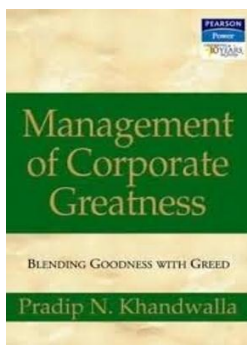


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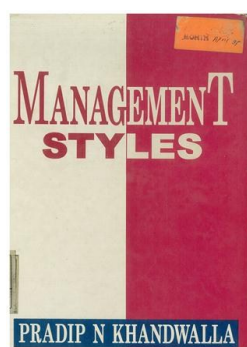


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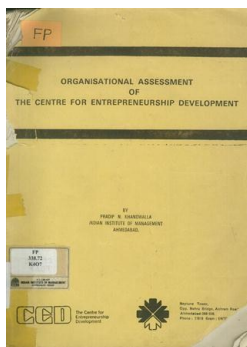


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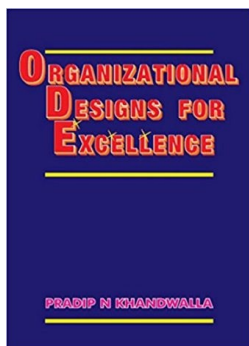


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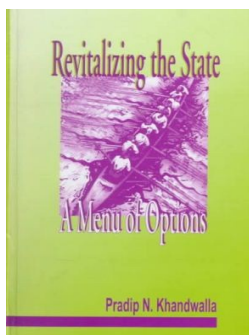


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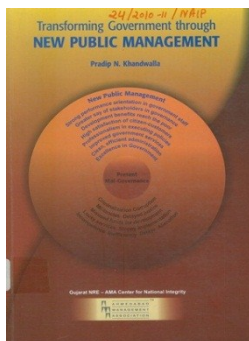


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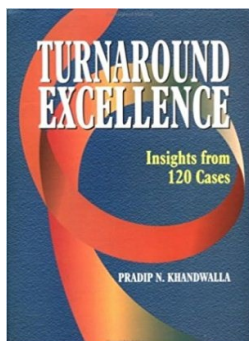


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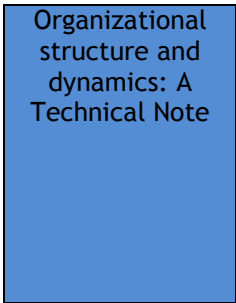


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NOTES

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| |  | Organizational structure and dynamics: A Technical Note by Pradip N. Khandwalla. Ahmedabad: Indian Institute of Management, 1976 |
| | | OB0038TEC |
| | | An organization is defined as a particular patterning of tasks, human skills or abilities, techniques, and formal roles. Thus, in analyzing an organization, it is useful to identify the properties of its tasks, members, techniques and structure, particularly to identify how these are related. What pattern of tasks, techniques, etc an organization displays depends largely on situational sectors like its size, age, product or service, environment, etc. Organizational dynamics is the study of how changes in different organizational elements come about and how these changes affect the rest of the organizational elements. |

WORKING PAPERS

- 1 Chemistry of effective management by Pradip N. Khandwalla (Working Paper, No. 1975/100) - WP000100

A number of dimensions of top management philosophy or style are identified. Management philosophy may be considered risk taking or conservative, technocratic or oriented and seat-of-the-pants methods, participatory or qua-participatory, organic or mechanistic, and coercive or non-coercive. Based on data from a study of Canadian firms, it is found that some of the combinations of these dimensions are far more effective (as judged by corporate performance) than others. The reasons underlying the effectiveness or ineffectiveness of these combinations are explored. Implications are drawn for the design of organization, for the strategy of organizational planning, and for management education.

- 2 Properties of competing organizations by Pradip N Khandwalla (Working Paper, No. 1976/109) - WP000109

Competition is a pervasive feature of all societies in which the desired things of life are provided by alternative sources. The need to withstand competition must inevitably affect the structure and functioning of competing organizations, for competition makes multiple demands on the organization: for quick, well-coordinated adaptation to the competitive moves of rivals; for creative and innovative moves to gain an edge over rivals; for efficiency in operations; for protecting the organization from future depredations

- 3 The style of corporate management goals, strategy structure and performance by Pradip N. Khandwalla (Working Paper, No. 1977/173) - WP000173

Using cluster analysis of questionnaire data from the top managements of 103 Canadian companies, seven styles of corporate top management were identified. Each style was a particular configuration of the orientation to risk taking, technocracy, participation, structuring and coercion. The contextual conditions - properties of the company's external environment, its age and size, and its industry associated with each style were also identified. Each styles relationship to measures of corporate goals, strategy, organizational structure, and corporate performance was examined. The theoretical and practical implications of the results were outlined.

- 4 Mediating influence of top management styles on the relationship between external environment and Organizational structure: tests of some hypotheses by Pradip N Khandwalla (Working Paper, No. 1978/251) - WP000231

Three styles of top management, labeled entrepreneurial, professional, and conservative, were empirically derived from cluster analysis of policies and practices data from a sample of companies. Eleven hypotheses were developed of the relationships between external environmental change and changes in certain dimensions of Organizational structure, and the mediating effects of the three empirically derived styles on these relationships. A large number of predictions were supported. Implications of the findings were discussed.

- 5 Managerial and Organizational determinants of the performance of Indian corporate public sector enterprises by Pradip N. Khandwalla (Working Paper, No. 1978/256) - WP000256

Literature on the performance, control, and management of the central government non-departmental enterprises has been surveyed. A model of the managerial and Organizational determinants of enterprise performance is developed and a number of testable hypotheses have been generated.

- 6 Crisis responses of competing versus noncompeting organizations by Pradip N. Khandwala (Working Paper, No. 1978/192) - WP000192

The purpose of the paper is to identify responses of organizations undergoing crisis when they are subjected to either much competition or little competition.

- 7 Management in our backyard by Pradip N. Khandwalla (Working Paper, No. 1980/310) - WP000310

The paper describes the tentative conclusions from interviews with a variety of individuals with respect to indigenous modes of management and also from the study of the annual reports of about 200 companies. Evidence indicating substantial inter-industry, intra-industry, and intra-business group differences in management practices is presented.

- 8 Phases of divergent thinking by P. N. Khandwalla (Working Paper, No. 1982/404) - WP000404

Twenty-one subjects were given the divergent thinking task of listing green, funny, and liquid objects and asked to think aloud. Their protocols were analysed and five phases and 23 sub-phases of divergent thinking were identified. Ideating was found to be the most commonly utilized phase. Its frequency was negatively correlated with problem structuring and feeling, and positively with evaluating. The most common transitions from each of the five phases were identified, and several recursive problem solving paths were constructed. Contrary to the general presumption of sequentiality among phases of divergent thinking, no notable sequentiality was found. Creative solutions tended to be preceded by redefinition of constraints, listing activity, and playful elaboration of a solution more often than "objective" solutions.

- 9 Performance determinants of public enterprises by Pradip N. Khandwalla (Working Paper, No. 1982/436) - WP000436

The paper is a summary of a report submitted to the World Bank on the performance determinants of Indian Public enterprises. The study was based on intensive case studies of four engineering enterprises, all attached to the Government of India's Department of Heavy Industry. The paper describes the operating context of the four PEs, the hypotheses that were formulated before the field work began the research methodology, and the findings of the study. The supported hypotheses are listed, and effective models of turnaround of PE's, management of its operating and regulating environments, its management of growth and diversification, the regulating authority's management of its interface with PE, and the government's appraisal of PE investment proposals are delineated. The paper outlines some implications of the study.

- 10 The PI style of management by Pradip N. Khandwalla (Working Paper, No. 1983/459) - WP000459

The pioneering innovation (PI) mode of management was identified from corporate policies data supplied by the top management of 75 Indian organizations. The paper presents the determinants and organizational consequences of the PI mode of management. Implications of the findings for Indian

management, for management research and management education, and for organizational design and development are explored.

- 11 Management of diversification in the public sector by Shekhar Chaudhuri and Pradip N. Khandwalla(Working Paper, No. 1983/475) - WP000475

Public enterprises in India are rapidly diversifying their business as a response to environmental changes as well as to achieve their growth, profitability and other strategic objectives. Hence, management of diversification has emerged as a major task of PEs. Most PEs are diversifying into related and technologically sophisticated fields; unrelated diversification is not very uncommon. Based on research done by the authors and pertinent studies by others, three modes of growth and diversification have been conceptualized. The more effective modes amongst them have been identified and the conditions facilitating successful diversification have been delineated. Diversification creates the need for major changes in organizational structure, systems, and management processes.

- 12 Organizational goals as determinants of lower management job satisfaction by Pradip N. Khandwalla (Working Paper, No. 1984/491) - WP000491

Questionnaire based data from 47 Indian corporations indicated interesting causal linkages between the goals of top management the level of job satisfaction of the relatively lower level of management vis-a-vis various job factors. Three hypotheses were assessed, namely, that each goal differentially affects the various facets of lower management job satisfaction, that goals differ in this patterns of effects on lower management job satisfaction, and that goals differ on the extent of impact on lower management job satisfaction. The data broadly supported the hypotheses. Implications of the findings for organization theory and management practice are discussed. Hypotheses emerging from the study are stated.

- 13 Indian work on organizational effectiveness by Pradip N. Khandwalla (Working Paper, No. 1984/532) - WP000532

Organizational effectiveness is a multi-dimensional construct. It may also be an important systemic variable which is both an outcome of organizational structures and processes and also their determinant. The multi-dimensionality of organizational effectiveness may reflect the multiple perspectives on organizations, of being purposive collectivities, human ecologies, living systems, and social entities. Of particular significance for the developing world is the view of strategic organizations as social entities that can make significant contributions to socio-economic transformation of poor societies. Several relatively recent papers have been briefly reviewed for their relevance to organizational effectiveness of strategic organizations in a developmental effectiveness of strategic organizations in a developmental context. These papers illumine such diverse facets of organizational effectiveness as organizational diagnosis, OD interventions and work redesign for greater effectiveness, leadership of organizational work units, style of management of the organization, management of new strategic programmes/organizations, management of established strategic organizations, and institution building. Some tentative inferences for the developing world's strategic organizations are discussed.

- 14 Internationalization of Indian PES by Shekhar C. Chaudhury and Pradip N. Khandwalla (Working Paper, No. 1984/489) - WP000489

An increasing number of public enterprises from India and other developing countries are internationalizing their operations, and some are even turning into multinational corporations. The paper discusses some of the motives for internationalization as well as factors facilitating and inhibiting it. The paper also discusses the organizational design appropriate for internationalization,

and some issues in the management of internationalization of PEs. The paper concludes with a brief discussion of the opportunities and threats internationalizing PEs may pose to MNCs from developed countries. Enterprises in developing countries induced to internationalise their operations, involve shopping globally for technologies and inputs, planning production not just for the domestic market but for export, setting up production and distribution facilities abroad, inducting into the organization the most suitable technical and managerial personnel and management practices from abroad as well as from the home country.

- 15 PI motive: a base for development by Pradip N. Khandwalla (Working Paper, No. 1985/558) - WP000558

The paper presents the relevance, conceptual foundations, and operational measure of an important motive of professionals, and one that may be critical for socio-economic transformation. It is labelled the pioneering-innovating (PI) motive. The strength of the PI motive is assessed vis-a-vis five other motives for a sample of 750 professionals and professionals-in-the-making. Five hypotheses concerning the PI motive are tested. Four are supported while one receives mixed support. Several implications of the findings are discussed.

- 16 Organizational effectiveness: post-1976 survey of Indian research by Pradip N. Khandwalla (Working Paper, No. 1985/585) - WP000585

The paper examines the concept, determinants, and implications of the effectiveness of complex organizations in the Indian development context. The terms effectiveness, complex organization, and Indian developmental context are first discussed briefly. A model of organizational effectiveness drawing upon global work on contingency, systems, strategic choice, and synergy approaches is presented. Post-1976 Indian work relevant to organizational effectiveness is surveyed, with the organization as a whole rather than the individual organizational member, as the focus of enquiry. An attempt is made to examine the contribution of this work in terms of the delineated model of organizational effectiveness of strategic organizations that play a vital role in socio-economic development. The review summarizes the findings on the determinants and consequences of organizational effectiveness. It concludes by identifying some major research gaps and proposes several hypotheses to spur fresh research.

- 17 Talent and the pioneering innovating motive by Pradip N. Khandwalla (Working Paper, No. 1985/586) - WP000586

The paper argues that the wish to pioneer and innovate is essential if talented persons are to give their best to society. The paper reports the relationships between the pioneering - innovating and five other motives, namely, growth, effectiveness, conscientiousness, status, and safety, for a sample of 750 Indian professionals, and relationships between these motives and environmental characteristic, long term career choices, fluency, blockage, initiative, etc., for smaller samples of professionals. The paper also presents some intriguing data on the differences in correlations between the six motives under conditions of high and low conflict among motives. The paper concludes with a discussion of the implications of the findings for the nurturance of talent.

- 18 Contingency theory: a third world view by Pradip N. Khandwalla (Working Paper, No. 1986/628) - WP000628

Contingency theory is viewed as an outcome of social transition. The evolution and development of contingency organization theory in the West and in India is reviewed. Its extensions, implications, and limitations are noted, and an assessment of its usefulness to the author as researcher and consultant is made.

- 19 Corporate sickness and its prevention by financial institutions by Pradip N Khandwalla (Working Paper, No. 1986/612) - WP000612

Growing corporate sickness seems to be a global phenomenon, at least in the world's market-oriented economies. But the causes of sickness may differ as between Third World countries like India and the developed Western economies. After reviewing Western and Indian work on sickness, the paper presents data on a questionnaire and interviews based study of the major causes of sickness in India, and the mechanisms available to the financial institutions to prevent sickness. The respondents were 36 rehabilitation officers of various Indian banks and financial institutions. A multi-pronged model for preventing sickness is proposed.

- 20 Study of organizational policies by Pradip N Khandwalla (Working Paper, No. 1986/616) - WP000616

Two period data on 51 items of management policy were obtained from the top managements of 75 Indian organizations (mostly private and public sector corporations). The policy items were classified into those relating to the business strategy of the organization (sub-divided further into growth strategy related and competitive strategy related policies), structural policies (sub-divided into administrative and decision process, control, and personnel policies), and ethics and altruism related policies. The data analysis was done in the context of several organization theory issues. The administrative and decision process policies were the least stable while the ethics - altruism related policies were the most stable. The policies varied widely in their "causal power" and "causal sensitivity", and suggested four policy archetypes: foundational policies with high causal power but low sensitivity; nodal, with high causal power and sensitivity; instrumental, with low causal power but high sensitivity; and isolated, with low causal power and sensitivity. Each major group of policies had the greatest causal influence within itself but there were exceptions to this among the sub-groups. The structural policies had greater causal power over the strategic policies than the strategic policies had over the structural policies.

- 21 Generators of pioneering-innovative management; some Indian evidence by Pradip N Khandwalla (Working Paper, No. 1986/618) - WP000618

Based on questionnaire data on a sample of Indian organizations, the paper identifies some of the internal and environmental generators of a vigorous mode of management labelled the pioneering-innovative (PI) mode. The internal generators - top management goals and policies - appear to be stronger shapers of PI than environmental variables. The primary generators appear to be management commitment to attracting talented, creative staff; opportunistic diversification; and preference for marketing novel products/services. An opportunity-rich environment, a strong stakeholder orientation, commitment to the organization operating in frontier areas, and a mixture of organic and professionalist administrative policies seem to be significant secondary generators of PI. Several implications of the findings for socially engineering PI are developed, and several hypotheses are stated to stimulate further research.

- 22 OB for social development: a position paper by Pradip N. Khandwalla (Working Paper, No. 1986/630) - WP000630

The thesis of the paper is that OB can contribute richly to socio-economic development of poor Third world societies. It can do so through research on OB-related problems of the strategic organizations of these societies and on the strategic individuals and groups in these organizations. The concept of the strategic organization, individual, and team is expounded. Interesting OB research questions pertaining to strategic organizations are delineated in the areas of motivation and control, coordination and collaboration, boundary management, management of growth, institution building, innovation and change, and sickness and revitalization.

- 23 Organizations of the future: a strategic organization perspective by Pradip N. Khandwalla (Working Paper, No. 1986/635) - WP000635

In the light of research on organizational design, the paper outlines an effective design for the strategic organizations of developing societies. Strategic organizations are defined as those organizations with the mission of further growth and development of the sectors they are serving. The data on 31 leading Indian central public sector enterprises indicate that the postulated effective organizational design for Third World strategic organizations is feasible. The data on 5 strategic Indian organizations indicates that rapid, sometimes spectacular improvement in productivity and other indicators of performance accompany management changes towards the design postulated to be effective for strategic organizations.

- 24 Casual linkages among dimensions of perceived organizational environment by Pradip N Khandwalla (Working Paper, No. 1986/604) - WP000604

The paper highlights the importance of environmental perceptions of management for a strategic theory of organizational functioning. Based on data from 75 Indian organizations, the paper examines the temporal stability of environmental perceptions and the potential causal linkages between perceptions of ten dimensions of the organization's operating environment. Based on identified casual linkages, the environmental dimensions are classified into strategic, transmitter, instrumental, and isolated. A causal network is constructed. Distinction is drawn between the direct and network organizational effects of changes in environmental perceptions. Implications are drawn for a dynamic organization theory. The paper concludes with some emergent hypotheses.

- 25 Organizational behaviour research in India: a review by Pradip N. Khandwalla (Working Paper, No. 1987/667) - WP000667

The paper defines Organizational Behaviour (OB) and indicates its relevance to management. It briefly describes some global trends in OB. Next, it discusses trends in OB research in India vis-a-vis quantity of OB research, the OB product-mix, shift from academic to socially relevant research, diversity in the use of research methods, and the emergence of Indian OB models. The paper next indicates cumulation in the areas of work motivation, conflict and conflict management, and the management of organizational dynamics. Finally, after noting the achievements of OB research in India the paper identifies several gaps and suggests several directions future OB research should take. In particular, it pleads for a sharper social focus, involving studies of the organizational consequences of major Indian realities and greater priority to the study of strategic organizations and individuals. It suggests greater effort at relating macro-OB variables to micro-OB variables, at relating macro-OB variables with one another, and the examination of a number of under-investigated micro-OB variables. It pleads for much greater use of natural experiments based research, and concludes by listing the sorts of help practitioners want from OB academics.

- 26 Strategic developmental organizations: some behavioural properties (Working Paper) - WP000767

OB research in the Third World has not been sufficiently socially responsive. It can make amends by focusing on the organizational behaviour of strategic developmental organizations. The latter are organizations that have or adopt responsibility for the growth and development of their operating domains. Three types of SDOs are identified, namely, the apex, the spearhead, and the catalytic ones. In the Third World they generally share missionary, developmental goals, resource dependency on the government, and pioneering, risk-laden, uncertain tasks. These characteristics lead to some unusual strategies, such as of getting the domain's compliance, learning to cope, innovation diffusion, autonomy seeking, and domain devices to be simultaneously organic and mechanistic and entrepreneurial and conservative. The successful ones tend to fuse proactive and professional modes

of management. The intrinsically schizoid character of SDOs tends to breed high intrapersonal and interpersonal blocks and difficulties. A style of leadership marked by accentuation of superordinate goals, intensive communications with stakeholders, credibility building through a stream of quick pay off actions, task oriented but nurturant supervision, utilization of national or local cultural mores, and spirituality may be particularly relevant for SDOs. The study of the organizational dynamics of SDOs should lead to large gains for all of OB.

- 27 Gearing strategic public public enterprises for internationalization: the Indian case by Pradip N Khandwalla (Working Paper, No. 1990/892) - WP000892

In the context of chronic balance of payments problems in most Third World countries, public enterprises (PEs) of the Third World are a major under-utilized source for stepping up exports. In many Third World countries PEs produce an impressive array of goods and services. But their domestic orientation tends to shackle them to domestic rather than global levels of efficiency, enterprise, and customer response. With the help of a successful Indian case of internationalization, and questionnaire data gathered from 119 senior and top level PEs of nearly 50 Indian PEs, it is argued that Third World PEs can be internationalized provided they adopt certain kinds of goals, policies, and practices. Internationalization would result not only in increased foreign exchange earnings, it would also raise the domestic level of efficiency and entrepreneurship of PEs. Several suggestions are made for enabling Indian PEs to get more internationalized.

- 28 Regeneration of strategic organizations by Prdip N Khandwall (Working Paper, No. 1990/900) - WP000900

One way of increasing the social responsiveness of OB, especially in the Third World, is to increase its contribution to the effectiveness of strategic organizations, that is, organizations set up to, or desiring to, achieve social priorities, such as public enterprises. These strategic organizations have pioneering missions but they are often subjected to severe regulatory pressures because of their dependence on or control by the government. They tend, therefore, to malfunction. In this paper the successful regeneration of an international sample of a dozen public enterprises is analysed and compared with the regeneration of an international sample of 30 private enterprises. The study indicates that even very sick public enterprises can be regenerated with the right kind of management. While there are some commonalties between the management of regeneration of public and private enterprises, there are also sharp differences, with the former exhibiting much more of a participatory, Theory Y orientation. The tools of action research, OD, behavioural science can, therefore, be more easily and successfully employed in regenerating public enterprises. OB should devise additional tools that can help the managements of sick public enterprises to turn around their enterprises. Also, OB experts wishing to contribute to the regeneration of public enterprises should enlarge their familiarity with tools of the management sciences to avoid over-reliance on just behavioural bias in diagnosing the ills of the organization.

- 29 Management education in India by P.N. Khandwalla (Working Paper, No. 1994/1223) - WP001223

The paper briefly sketches the history and special features of Indian management education. It offers an analysis of its strengths, weaknesses, threats, and opportunities. It concludes that while the prospects are uncommonly bright, there may be rough passage for weak schools.

- 30 Cult of vishnu and Indian's economic development by Pradip N Khandwalla (Working Paper, No. 1994/1160) - WP001160

The nature of the work ethic of a society may significantly shape the character of its economic development. It is argued that the cult of Vishnu and its associated work ethic have played a notable role in the economic development of India during the past 2000 years or so. The cult of Vishnu appears to be a fusion of the cults of the Vedic God Vishnu, the cosmological deity Narayana,

Vasudeva of the Vrishnis who promoted the Bhagvata cult, and the cowherd boy Krishna. Vishnu that has emerged as a fusion of these cults, and elaborated in his avatars or incarnations, appears to have a pragmatic, business friendly, resourceful manager orientation, who may preach high spirituality but in practice uses pragmatic means to achieve ends. The Bhagavada Gita, the centerpiece of Vaishnava spiritual philosophy, while excoriating greed, provides a powerful structure of the work ethic that upholds the necessity of effort and legitimises every manner of mundane pursuit including commerce provided it is pursued with detachment and is dedicated to God. This work ethic bears some striking similarities to the Protestant Ethic described by Weber and suggested by him to be a major impetus to the rise of capitalism in the West. The emergent cult of Vishnu may have originated in coastal trading communities of southern and western India, in view of the many marine associations of Vishnu, and then have spread to the rest of India. It may also have been influenced by contacts with West Asian civilizations. Several hypotheses are stated that follow from the main hypothesis of the cult of Vishnu influencing India's economic development.

- 31 Effective management styles: an Indian study by Pradip N. Khandwalla (Working Paper, No. 1995/1241) - WP001241

Management style is defined to be the distinctive way the management of an organization carries out its various functions, in this exploratory study, ten archetypal styles of top management are described, operationally defined, and measured vis-vis a sample of 90 Indian corporate organizations. The ten styles are the conservative, entrepreneurial, professional, bureaucratic, organic, authoritarian, participative, intuitive, familial, and altruistic. The data on the relationship between these ten styles and ten indicators of perceived organizational effectiveness are presented and discussed. The participative, professional, and altruistic management styles had the most correlations with the indicators of effectiveness. Implications for management excellence are drawn.

- 32 Meta processes for organizational excellence in developing societies by P.N. Khandwalla (Working Paper, No. 1995/1258) - WP001258

As societies in transition, involved in modernisation, nation building, socio-economic transformation, and increasing globalisation of their economies, developing societies must evolve forms of organizational excellence appropriate to their context. Several meta processes drawing their strength in part from the organizational and behavioural sciences are presented. These are: revitalisation of sick organizations, institutionalisation of durable excellence, nurturance of creative excellence, development of competitive excellence, and nurturance of missionary excellence. These processes can be combined in various ways to raise organizational quality. A better understanding of these meta processes may contribute to evolving high performing organizations in developing societies, possibly in the rest of the world also. These meta processes can enlarge current notions of organizational development, human resource development, and transformational leadership.

- 33 Availability and work targets of bulldozers by P. N. Khandwalla, Girja Sharan and M. Krishna Kumar (Working Paper, No. 1995/1263) - WP001263

Setting work targets for machines is an important task for engineering managers, especially where they operate large fleets with machines of different makes and ages. Setting uniform work targets is easier but it does not take into account operating characteristics of machines which could differ with make and change with age. It is suggested here that using analysis of availability of machines can provide an alternate basis to set work targets. Availability analysis of bulldozers is reported here which suggests the feasibility of achieving higher work targets compared to the present 1000 hours per season.

- 34 Towards effective management of economic restructuring by Pradip N. Khandwalla (Working Paper, No. 1995/1287) - WP001287

Among developing countries there has been a widespread shift during the past decade from state control of the economy to deregulation and liberalization. The World Bank has played a leading role in promoting this change. Evidence suggests that nearly as many developing countries have experienced a decline in growth rate as the number that has experienced improvement. There is, however, some evidence that substantial deregulation by relatively statist economies improves the growth rate, though there is no evidence of a monotonic relationship, positive or negative, between deregulation and improvement in growth rate. There is a wide variation in the economic response (as measured by growth rate) to liberalization, not only overall but also in every major region. This suggests that not just the content of economic restructuring but its phasing and management may critically determine whether liberalization yields positive or negative economic consequences. Several country cases indicate alternative modes of restructuring, and a critique is offered of the World Bank's structural adjustment programme in the light of these case studies and other research findings. The role of the state in economic liberalization is discussed and it is argued that appropriate phasing of economic restructuring and its management by the state may significantly improve the growth rate of the economy. It is argued that economic restructuring is not just an economic but also a political and social process and must be anchored in a wider range of motives besides the economic motive, and attention must be paid to the effective management of not only the macro but also micro aspects of economic restructuring. In particular, the benefits of having dynamic professional managers head various organizational instrumentalities of restructuring are highlighted, as also the benefits of various innovations in governance. Several hypotheses on the successful decontrol of highly controlled developing economies are offered.

- 35 Effective corporate response to liberalisation: the Indian case by Pradip N. Khandwalla (Working Paper, No. 1996/1300) - WP001300

In most developing societies there has been a decisive shift towards economic liberalization, that is, towards deregulation and globalization of the economy. Liberalisation has two major consequences for the corporate world: intensification of competition and increase in growth opportunities. Increasing competition subjects competing corporations to many partially conflicting pressures, such as the need for sharper awareness of market developments and competitive moves of rivals, greater compulsion to cut costs, to respond to special needs of customers, quicker responses to the moves of rivals and the demands of customers, better coordination between various management functions, greater decentralization to meet effectively local contingencies, greater resourcefulness and innovativeness, greater access to diverse expertise, etc. Greater growth opportunities cannot be seized without increased entrepreneurial spirit. These pressures require a complex organizational response which is partly systematic and partly strategic. The systematic response needs to be the greater deployment of uncertainty coping, differentiation, and integration mechanisms. The strategic response requires clearer conceptualization of a short term strategy based on core competencies and a longer term strategy based on learning and adaptive capacity. The deployment of appropriate systemic and strategic mechanisms consequent on liberalization should lead to greater efficiency, better product quality, more innovation, faster growth, and greater profitability. However, in several countries liberalization does not appear to have produced the hoped for results, possibly because of institutional barriers to effective corporate response. In India, however, several indicators suggest that the corporate response to liberalization has, by and large, been quite satisfactory, as judged by corporate growth rates, increased profitability, greater quality consciousness, increased exports, etc. Available evidence suggests that both systematic and strategic responses tend to be in the expected direction. The reasons for the better corporate response to liberalization in India as compared to such countries as Russia are explored. Some management challenges for coping with liberalization, such as institutionalizing effective management styles and policies indicated by recent studies, are described.

- 36 Thorny glory: towards organizational greatness by Pradip N. Khandwalla (Working Paper, No. 1996/1333) - WP001333

It is argued that organizational is worth probing because it may play a significant role in human evolution. Organizational greatness is postulated to require both performance excellence vis- -vis organization centered, conventional indicators and exalted conduct or contribution of a moral, spiritual, ethical, idealistic, or socially beneficial nature. Five alternative approaches to the design of performance excellence are discussed, namely, environmental determination, organizational attributes, strategic choice, synergy between organization elements, and synergy between contextual variables and organizational variables. A model of performance excellence in a competitive domain is presented, which argues that in such a domain inescapable adaptive responses by the organization to a powerful contingency or a strategic choice do not augment relative performance, unless they are supplemented by uncommon but appropriate discretionary responses. Nine alternative paths of exaltation are discussed, namely, stakeholder orientation, corporate social responsibility, strategic domain development orientation, institution building, organizational ethics, spirituality. Several examples are given of organizations that have excelled both on conventional indicators as well as in terms of exalted conduct or contribution. It is argued that in a competitive context exalted conduct or contribution can be pursued by the organization at three alternative levels. At the lowest level it amounts to compliance with legal requirements or strongly held social expectations about moral, altruistic, or socially responsive conducts. At a modest level it can be pursued to cash any synergy exalted conduct or contribution may have with the pursuit of conventional performance excellence. At still higher level sacrifices may well be required in terms of indicators of conventional performance excellence. The pursuit of the sublime along with the mundane increases the organization s operating complexity and requires more differentiated strategies, structures, know-hows, and rules. For excellence on both mundane as well as sublime indicators, the organization needs to deploy uncommon and complex forms of integration, and needs to pursue creatively strategies and styles that produce additional slack to cushion initial failures. It is argued that certain kinds of contexts reinforce exalted conduct and contribution, such as times of societal regeneration, of disillusionment with capitalism, and social and political ferment. Increased professionalization of the work force may also reinforce such conduct and contribution. The perspective of organizational greatness offers major challenges to both managers and organizational researchers.

- 37 Revitalizing the state: 1. models of the modern state by Pradip N Khandwalla (Working Paper, No. 1997/1400) - WP001400

In this paper the complexity of the modern state is examined with reference to the pressures under which it operates, and the mechanisms it employs of differentiation and integration. The reasons for the very large increase in the size of the state in this century, both in the developed countries and in the developing countries, are examined, as also some differences in the patterns of growth of the state in these two sets of countries. The major forces shaping the state in the 20th century are briefly discussed, resulting in the evolution of four models of the state. These are: the democratic interventionist-welfare state, commonplace in many Western societies; the developmental state that evolved in the Soviet system, and spread with some modifications to many developing countries; the liberal, market-friendly state espoused by the World Bank which has found a footing in most developing countries that have taken structural adjustment loans from the World Bank and IMF; and the businesslike, managerial state promoted by Margaret Thatcher, Ronald Reagn and others. It is contended that innovations in any kind of state can, with suitable modifications, be adapted in any other kind of state, and that innovations in governance systems and adaptive borrowings are powerful keys to state excellence

- 38 Revitalizing the State: 2. resharing the bureaucracy by Pradip N. khandwalla (Working Paper, No. 1997/1401) - WP001401

In Virtually any king of modern state, there is a huge role for the bureaucracy. The bureaucracy is intended to be a rational system of administration. But it is prone to many bureau pathologies, and increasing size tends to aggravate these bureau pathologies. Since the state in the 20th century has grown rapidly, it has become increasingly prone to malfunctioning on account of various bureau pathologies. Various attempts at bureaucratic reform have generally failed, especially in developing countries. Several pitfalls in administrative reforms have been listed. But there are also several success stories, from developed countries, newly industrialized countries, and developing countries, and the lessons of these successes can help recharge bureaucracies elsewhere. The experience of several East Asian countries that experienced rapid growth in the sixties and onwards, suggests how bureaucracy can be made growth oriented. Malaysia's experience suggests how values like quality, productivity, innovativeness, discipline, integrity, accountability, and professionalism can be institutionalized in a bureaucracy. The experience of Britain, Australia, New Zealand, Singapore, Canada, etc. suggests numerous ways of substantially improving the performance of bureaucracy. Several conditions are discussed for supporting sustained public service reform, derived from a study of administrative practices in a number of Commonwealth countries.

- 39 Revitalizing the State: 3. fragmenting the state for innovation by Pradip N. Khandwalla (Working Paper, No. 1997/1402) - WP001402

Organizational research indicates that large organizations involved in many different activities can counteract the diseconomies of size and complexity, tendency to bureaucratization, and to increasing resistance to innovation by breaking up into relatively autonomous, self-contained units such as relatively autonomous, self-contained divisions, retaining mainly policy control at the centre and a powerful MIS as a monitoring device. States too can enhance their administrative capacity and innovativeness highly by decentralizing and by fragmenting themselves into relatively autonomous, self-contained units headed by professional managers with clear accountability and clear mandate. Such unbundling must, however, be in the pursuit of an integrating, shared vision of national excellence like social justice, economic growth, and improvement in the quality of life. Several case studies from a number of countries of government departments, agencies, and projects that were decentralized along the foregoing lines under a shared vision of state excellence demonstrate the efficacy of this strategy of fragmenting the state in certain effective ways. Several additional mechanisms can institutionalize the culture on innovation in governmental bodies, such as progressively higher goals, with potential conflict among goals. The operationalization of a strong serving the customer commitment, an operationalized commitment to cut costs, to make increasingly technologically sophisticated offerings, to benchmarking, to entrepreneurship, to global scanning for innovations, trends, and opportunities, to periodic diagnosis of the organization's functioning, to participative decision making and brainstorming for novel but workable solutions, to periodic, exnovation, and to a daunting developmental and growth vision are powerful mechanisms to make government bodies highly innovative.

- 40 Revitalizing the state 4. reinventing the democratic state by Pradip N. Khandwalla (Working Paper, Naper, No. 1997/1407) - WP001407

Although democracy evolved in the West, in this century it has been adopted by scores of developing societies, with several relapses to despotism and recoveries from it. The most common form of democracy is liberal democracy, with several distinguishing characteristics. However, there are several variants of liberal democracy. The more sustainable forms may be those that incorporate elements of associations, deliberative, and direct democracy. In poor countries, democracy may be sustainable if there is also reasonable macro-economic stability, welfare measures for the poor and the insecure, and effective strategy of rapid economic development whose fruits increasingly go to the poor and the under-privileged, and administrative effectiveness. Empirical research suggests that democratization, in conjunction with civil liberties and social empowerment though investment in education, health, etc. of the masses, enhances rather than inhibits economic growth. A number of mechanisms are available to make the democratic state and its organs more innovative and effective. These include innovations for fairer representation of the people in the legislature, for a more stable

tenure of elected government, for improving the quality of people's representatives in the legislature, and for improving the competence and quality of political executives. It argues that democracy has many advantages and some disadvantages also vis-à-vis competing forms of the state, but it can be made sustainable, and the emerging world values are more in consonance with it than with the other forms

- 41 Revitalizing the state: 6. the performance of the Indian state by Pradip N. Khandwalla (Working Paper, No. 1997/1419) - WP001419

The performance of a state depends upon how effectively it copes with its crisis points. These crisis points can arise because of arbitrariness, excessive bureaucratization, insufficient democratization, insufficient participation of the people in the management of public purpose, incapacity to cope with international expectations, etc. A revitalization strategy for a state needs to be tailor-made to its context, based on an assessment of the state's performance in a global context. There are special challenges in revitalizing the Indian state. The Indian state is a vast, enormously differentiated, loosely coupled, development-oriented, federal democratic system. An assessment of its performance in a global context supports two contradictory propositions: that the Indian state is a disaster; and that the Indian state is one of the world's more effective developmental states. The assessment indicates that while there is nothing to be ashamed about the performance of the Indian state after India's independence, and there are many strengths, there are also many dark spots that need to be tackled, and several options need to be considered for removing these dark spots.

- 42 Revitalizing the state: 7. options for India by Pradip N. Khandwalla (Working Paper, No. 1997/1420) - WP001420

Successful experiments in governance the world over suggest a number of options for revitalizing the Indian state. Several options are first considered for revamping the political system. These include options for achieving fairer representation in the legislature, for selecting in good and selecting out bad candidates for election, for professionalizing politics, for stabilizing fragile governments, and for professionalizing political executives. Based on the lessons of successful efforts in several Commonwealth and East Asian countries, options are discussed concerning the revitalization of the Indian bureaucracy. These include creative fragmentation of the monolithic bureaucracy, options for strengthening the responsiveness of public agencies to the public, options for revamping justice, options for energizing the management of social development, selective privatization, and selective deregulation. Next, the cancer of corruption and the way corruption manifests itself in developing countries are discussed, and a number of options for vanquishing corruption are presented. The case for a corporatist but democratic Indian state is presented, involving deliberation councils and modifications to comprehensive state planning. The emergent model of the Indian state is compared and contrasted with the model of the state promoted by the World Bank. A case is made for a strong but democratic hub of India's federal structure. It is suggested that the options for revitalization of the Indian state are expendable to many other developmental states.

- 43 Revitalizing the State: 5. slimming the state for effectiveness by Pradip N. Khandwalla (Working Paper, No. 1997/1413) - WP001413

Beginning with the eighties there has been a growing perception, in developed and developing countries alike, that the modern state has extended itself beyond its governance capacity. In many countries the state is perceived as soft and ill-governed. One response to the ill-governed state has been slimming, in the form of privatization and deregulation. In the paper four forms of slimming are examined: privatization of state-owned enterprises (SOEs), privatization of public services, privatization of the state's governance functions, and deregulation. Several cases of privatization SOEs, both in the developed and the developing economies, point to complex compulsions, politics, motives, and consequences of such privatization. While empirical studies do not indicate that

privatization strikingly improves the performance of privatized SOEs, there are other pragmatic reasons for a programme of selective privatization of non-strategic SOEs. The many modes of privatization and some considerations in its management are discussed. Privatization of public services seems to have considerable potential for cutting costs and improving the quality of services to citizens. There are many options in privatizing public services, and the problems associated with privatization of public services can be addressed effectively. Although in its infancy, selective privatization of the state's governance functions holds much promise for harnessing of society's management capabilities for effectively furthering the public interest. Certification, licensing, and justice are promising areas for selective privatization. Democratically functioning associations of organizations can play an especially important role in this sort of privatization. While neither regulation nor deregulation are panaceas, appropriate deregulation in statist societies or in over-regulated sectors can reduce corruption and black marketing, and bring down the operating and transactions cost of business. If some regulation is necessary, the institution-light alternative may be generally preferable to the institution-intensive alternative. Several effective ways of getting rid of excessive regulations are presented. It is concluded that slimming is likely to be effective when it is pursued for pragmatic rather than doctrinaire reasons, and that selective privatization is a powerful way of bringing private sector initiative and efficiency in the public domain and public purpose in the private domain.

- 44 McKinsey versus "Movement" change management: Kurukshetra of the 21st century? by Pradip N. Khandwalla (Working Paper, No. 98-10-03/1475) - WP001475

The paper contrasts two paradigms of management change that may increasingly compete for management allegiance: the professionalist, a analytical, bottomline oriented McKinsey mode and the participatory, collectivist, emotive, improvisation-oriented, values-based movement mode. Both are relevant for bringing about needed changes in liberalising and globalising emerging markets like India. The McKinsey mode is heavily influenced by Western management gurus and international consultants. It emphasises top down strategic repositioning, restructuring and downsizing, profit centre, operating decentralization, MIS and other management systems, strong leadership that firmly implements the change strategy, and generally a stronger commercial orientation. The movement mode in corporate management emphasises broad-based diagnosis, development and implementation of strategies of change, collective pursuit of causes like much better quality, productivity, innovativeness, customer or stakeholder service, environmental friendliness, human development, or social responsibility, and visionary, transformational, participative leadership. Five examples, four from the West and one from India, illustrate the operation of the movement mode. The circumstances under which each mode may be particularly acceptable are discussed. Also discussed are implications for management education.

- 45 WIMC versus innovative self-help modes of restructuring and revitalisation by P. N. Khandwalla (Working Paper, No. 99-06-06/1527) - WP001527

Restructuring activity has picked up in corporate India, and many of the largest Indian companies have been opting for the services of Western international management consultants (WIMC). The writings of some of these consultants indicate the sort of restructuring they tend to favour. Recent restructuring examples, of BILT and SBI, in which WIMC were hired, indicate the strengths and weaknesses of the WIMC mode. The WIMC mode of restructuring is contrasted with an innovative, self-help mode of restructuring pursued by several Indian and Western corporations. This mode relies on participative diagnosis of the strengths and weakness of the organization, mobilization of the stakeholders for change and for identifying needed changes, improvisation by the stakeholders of the way changes are to be brought about, and participative implementation of changes. There is only very limited reliance on external consultants, and top management plays more of a catalytic than a directive role. Two examples are discussed, the first of the restructuring of SAIL in the mid-eighties, and the other of the restructuring of Siemens Nixdorf, the German IT major, in the mid-nineties. Some implications are advanced for Indian corporates wishing to restructure.

- 46 Recharging Indian bureaucracy by P N Khandwalla (Working Paper, No. 2000-01-05/1575) - WP001575

Failure of bureaucracy has prompted many efforts at reforming it. But administrative reform has failed in many developing countries, including India, for a variety of reasons. The costs of the bureaucracy's malfunctioning are huge. Any attempt to recharge the Indian bureaucracy would need an examination of its design flaws. The first design flaw is a merit system that does not select for needed administrative capabilities. Second, short uncertain terms of members of the elite services. Third, overloading and centralization. Fourth, a monolithic state. Successful recharging of administration in Britain, Canada, Malaysia, Singapore, New Zealand, etc. indicate that a large part of the state needs to be broken up into semi-autonomous executive agencies. These need to have competitively selected heads on fixed tenures who operate autonomously within the constraints of an MoU with the government. The process adopted in Britain to set up and run executive agencies is described, and example of Passport Agency is given to illustrate how a government body may get transformed after its conversion into an executive agency. The contrasting performance after liberalization of India's central government public enterprises, whose management structure resembles executive agencies, and the states-owned public enterprises with politician chairpersons and IAS managing directors on short, uncertain tenures supports fragmentation of the bulk of the Indian state into executive agencies for revitalizing administration.

- 47 Creative restructuring by Pradip N Khandwalla (Working Paper, No. 2001-03-01/1642) - WP001642

In the context of liberalization of globalization of economy, the changes required in the functioning of corporates need to be vast. Corporate restructuring has become an important means for achieving such changes in India and elsewhere. Corporate restructuring is defined as a major, synergistic re-alignment of the corporate's work culture, vision, values, strategy, structure, management systems, management styles, technologies, staff skills, etc. Such re-alignments can, however, vary greatly, depending on choices made as to what to change, in what way, and how much. The restructuring paradigm of Western international management consultants (WIMCs) has come into vogue among large Indian public and private corporates. Several concerns with this paradigm are discussed. One major restructuring choice is between the WIMC paradigm and a creative, participatory, largely self-help mode of corporate restructuring. Creative restructuring is illustrated by three case studies, namely, of British Air, Clariant (India), and Bharat Petroleum Corporation. Another major restructuring choice is between creative and non-creative modes. Based on a study of 120 turnarounds from a number of countries, 42 creative restructurings for turnaround are contrasted with 47 non-creative restructurings for turnaround along 14 categories of turnaround action. Not only are there major management-related differences, the post-turnaround growth and profits performance of creative restructurings is found to be superior that of non-creative restructurings. The necessity of creative, participatively improvised restructuring to institutionalise adaptive capabilities and achieve quantum leap in corporate excellence in a hypercompetitive environment is highlighted. Several steps are suggested for practitioners seeking effective creative restructuring.

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