

**ORGANIZATIONAL CHANGE: A COMPARISON OF FOUR OF THE BEST
MODELS OF ALL TIMES**

By

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Introduction

Change has been described as the primary task of leaders. An abundance of models exist for accomplishing change. These models include Kotter (1996), Price Waterhouse, (1995), Block (2000) and Cooperrider (2003). With all these models in mind, consultants advise leaders on how to implement change within organizations. I have Synthesized the philosophies of Kotter, Price Waterhouse, Block and Cooperrider with regard to the processes of leading change in organizations as a consultant.

Organizational change was a lot more difficult to discuss than I had originally expected. For those who are interested in organizational change and see it essential to know how organizational change works, this piece of research is for you. There are so many good change models out there to study. I have chosen these basic four because I and my doctoral committee believe them to be among the best. There are so many components to discuss, not-alone to compare and contrast.

I am thankful to my committee for choosing these four models for me to study, because together, they help me to understand what is needed to be done. My organization has gone through a great deal of change over the past decade and a half that I have been with them. As frustrating as organizational change has been to me, I am comforted to know that organizations of every type must be constantly changing in order to stay competitive and in existence. Also, it is comforting to know that I am not alone with my frustration with organizational change.

Likewise, I am further comforted in knowing that there will always be work for change specialists. This paper gives me a foundation of understanding change models and will help me to learn more so that I can someday be a key contributor to positive organizational change.

Change basically can be derived from six primary core competencies: Ability to manage the consulting process; Ability to analyze and diagnose systems to see root causes, effectiveness and personal skills of organizational members and self; Ability to design and choose appropriate interventions for change; Ability to change facilitate consulting process; Ability to develop client's capability to plan and implement future change; Finally, ability to evaluate the organization's change, design, implementation; and effects of change.

I liked all of these four change models and saw similarities in each. However, I like Appreciative Inquiry the most, because it seemed to be the most basic, yet powerful. Cooperrider's Appreciative Inquiry model of change is specifically different because it focuses on changing the whole organization systemically by using the collective wisdom of the organization through facilitated group dialogs.

Appreciative Inquiry focuses on four basic questions to guide change:

1. What is your overall change agenda?
2. What form of engagement will best suit your needs?
3. What is your overall inquiry strategy?
4. What steps will you take at each phase of the 4-D Cycle?

The 4-D Cycle has five primary phases: **Affirmative Topic of Choice** or choosing what is to be specifically studied; **Discover Phase**, which involves searching to understand what has happened and is currently happening within the organization—done through individual interviews for the purpose of mapping out the organization’s positive core. The third phase is the **Dream** or the development of seeing what collective hopes are within the organization for the organization as far as relationships are concerned. This is done through large group meetings. The fourth phase collects the documented dreams and **Designs** what the organization should be. The final stage is called **Destiny**. It focuses specifically on personal and organizational commitments and paths forward. Each of these phases is centered around the organization’s positive core or wisdom, knowledge, strategies, positive attitudes, best practices, skills, resources and capabilities. Essentially, it is the source of the organization’s potential.

I appreciated learning that it is human nature to fear and avoid change as each author seemed to indicate, including Bridges (1980). Effective communication, thinking big, setting targets and benchmarks; monitoring transformation, proper support, as well as creating a vision are themes that are similar within each of these change models.

Organizational development consultants are faced with the job of helping businesses adapt to their business climate while maintaining and increasing sales volume, employee satisfaction, customer satisfaction, and profits, which constitute just a few of their many challenges. Because of this consistently growing need for organizational change, there is a huge body of literature centered on the topic and too much to discuss in detail for the scope of this paper. Instead, four primary sources will be the center of discussion for this paper. The authors of these theories are Cooperrider (2003), Block (2000), Price Waterhouse (1995), and Kotter (1996), each of whom are briefly introduced in the following paragraphs.

According to Smith (2000) the basis for organizational change, defined as a timely process and not an event, must be client-centered and based around four basic questions. The first question should assess what changes must occur. The second assesses what the necessary conditions must be like in order for the changes to flourish. Thirdly, an assessment of collective conditions, including culture will enable the change. Finally, the mechanisms for fostering the conditions need to be assessed. These assessments can best be accomplished through a knowledgeable practitioner.

Cummings and Worley (2001) believe that successful organizational change must be derived through facilitation of an organizational development consultant who understands six primary core competencies. The first competency is the ability to manage the consulting process. The second is the ability to analyze and diagnose systems to see root causes, effectiveness and personal skills of himself and the people that work in the systems. Thirdly, the consultant must be able to design and choose appropriate interventions to move the organization from its current state to the desired future state.

Forth, the consultant must be able to facilitate the consulting process. Fifth, the consultant should have the ability to develop the clients' capability to plan and implement future change processes. Finally, the consultant should be able to evaluate the organization's change, including the design, implementation, impacts, and effects of change intervention, interpreting performance outcomes. Leadership is the primary vehicle that consultants should focus on for fostering change through these six core competencies which are expressed as integral among the change theorists discussed in this paper (Smith, 2000).

Brief Introductions of Change Theorists

David Cooperrider (2003), Diana Whitney and Amanda Trosten-Bloom, write about Appreciative Inquiry (AI), which is defined as “the study and exploration of what gives life to human systems when they function at their best” (p. 1). The authors go on to explain that “appreciative inquiry suggests that human organizing change, at its best, is a relational process of inquiry, grounded in affirmation and appreciation” (Cooperrider, Whitney, & Trosten-Bloom, 2003, p. 1). Much of Cooperrider and colleagues' (2003) change agenda is similar to the philosophies of Peter Block (2000), though Cooperrider (2003) differs in that his theory focuses on changing a whole organization systemically by using the collective wisdom of the organization through facilitated group dialogues. Block (2000), on the other hand, focuses primarily on fixing only a single problem at a time.

Price Waterhouse's (1995) and Kotter's (1996) change models are nearly identical in many aspects. However, Price Waterhouse (1995) takes an approach that requires

nearly every person to be on board with the organization's change program, whereas Kotter (1996) implies that the leader primarily focuses on stakeholders. A comparison of Kotter (1996) and Cooperrider (1995) indicates that terminology and phrasing are the primary differences in their books. Whereas Block (2000) focuses on smaller pieces of organizational change and works directly as a consultant to one primary client-contact; while conducting joint interviews to members of the organization who are directly related to the problem. Synthesized, these four books written by some of the top experts on change will give consultants of organizational change an impressive body of knowledge to guide current and future businesses and non-profit organizations.

Price Waterhouse

Price Waterhouse (1995) describes the nature and function of better change in their book *Better Change: Best Practices for Transforming Your Organization*. To summarize the central argument of this text, change is integral to and focused on the organization's strategy for continued growth and organizational prosperity, as characterized by being progressively profitable and productive. Better change leads to high performance, dramatically improved results, and measurable differences when "fueled by the brightest energy and most creative ideas of your people" (Price Waterhouse, 1995, p. 3). Moreover, better change is supported by "properly empowered and motivated employees [and] is driven by specific needs of the customer" (ibid., p. 4), guided by only a limited set of balanced performance measures and characterized as building revenue while not solely obsessed with cost. Finally, better change, according to Price Waterhouse (1995) is "institutionalized in a culture that values continuous improvement" (p. 4).

Price Waterhouse (1995) also suggest that successful companies can be identified by their continual efforts to respond to changing customer needs and their competitive environment. However, all too often, outmoded business practices, organizational boundaries, cultural impediments, functional versus customer perspectives, and a legacy of aging technology systems constrain the effects of the organizational change that companies implement. It is these constraints that lead to a significant gap between organizational potential and actual performance, which companies cannot afford (Price Waterhouse, 1995). Bridges, (1980) suggests that humans face change consistently in every aspect of life, yet change is still feared and avoided.

According to Price Waterhouse (1995), implementing successful organizational change can be best accomplished using their *15 Guiding Principles* as described further in Table 4.1, which is found in the appendix of this paper. According to this model by Price Waterhouse (1995), if processes are redesigned, jobs and procedures must also be changed. Likewise, systems and technology must be changed in order to keep up with the demands of the changing organization and the needs of customers. When this is done, it is crucial to train employees in the new processes and to remove any barriers to implementing the change (Smith, 2000). It is also crucial to make sure that mandates for change are not communicated using broad, non-specific language; change mandates should be translated into real performance measures and corresponding stretch targets (Price Waterhouse, 1995; Smith, 2000).

Price Waterhouse (1995) describes the process for mandated change in terms of organizational leaders, but consultants could also adapt the process. The process for creating a powerful mandate for change is initiated with a sponsor who assigns it to a

change team, which, in turn, builds a case for change. The team then sells it and marshals the necessary resources while setting goals and establishing milestones. As this takes place, the change team leader becomes the person whose face is associated with the program within the organization. It is the job of the team leader to reiterate the change message for the relevant departments in the organization in order to focus people's vision on the bigger picture of transformation.

It sometimes becomes necessary to change the person in charge of the change if he is not doing the job satisfactorily. Although changing a culture does not generally occur rapidly, it can be done effectively when key people in leadership positions turnover. However, not everyone might want to follow the new leader (Price Waterhouse, 1995). As a result, consensus building for implementation must be an integral part of creating change and must be incorporated at every level of the organization. This involves calling for support of top management and consistently and frequently checking for levels of consensus. If consensus is low on any level of the organization, it might be necessary to repair it immediately (Price Waterhouse, 1995).

Sensible caring leaders sometimes have to repair consensus, which should be done the same way as building it. Congruent with Kotter (1996), Price Waterhouse (1995) outlines the five steps for building and repairing consensus, the first of which involves identifying who the stakeholders are. The second step is identifying their key wants and needs, while identifying how they view the proposed change. This can be accomplished through open and frank communication grounded with effective listening skills and honesty. With effective listening, people can be better motivated to support the changes (Kotter, 1996; Maurer, 2004; Price Waterhouse, 1995). Leaders and consultant

who practice effective listening skills assess where others are in agreement and disagreement. If there is disagreement, it must be determined the significance of the disagreement, how differences can be resolved and also costs associated by moving forward with existing disagreements (Maurer, 2004).

Communicate, Communicate, Communicate

Accountability should be also addressed during this stage of change management (Price Waterhouse, 1995), and effective communication to all involved in the change process is required (Maurer, 2004). Price Waterhouse (1995) outlines five basic “Cs” to draw up successful communication plans:

1. Candidness: telling the truth with employees.
2. Contextual: providing stakeholders with a look into what the bigger picture and explaining the relevance of the project to the company.
3. Constructive communication: guarding against counterproductive comments that do not work well with the team or threaten stakeholder unity.
4. Consistency: actively supporting messages with oral, nonverbal, and written communication.
5. Continuous: ongoing reinforcement of commitment to making the proposed change happen.

Other types of communication that change leaders and organizational change members must share are what Price Waterhouse (1995) describes as “Thinking Big, Acting Big” communications (p. 151). These conversations start with believing that large-scale change is both possible and imperative. They also involve setting stretch performance targets and supporting people in knowing how things such as organizational

culture, responsibilities and performance will be improving, promoting people who support ideas that will facilitate the change and never punishing those who try but do not succeed (Price Waterhouse, 1995).

Thinking big involves succeeding at creating teams with diverse talents and backgrounds to support innovation and make new systems work and while phasing out systems that do not (Kotter, 1996; Price Waterhouse, 1995). Likewise, change leaders and their diverse teams should benchmark to find best practices and test to find new solutions with innovative ideas (Kotter, 1996; Price Waterhouse, 1995). Giving feedback to change leaders and their teams will help the changes work more smoothly, especially if the feedback includes setting measurable targets and helping others take risks through the use of focus groups to test solutions (Kotter, 1996; Price Waterhouse, 1995). When targets are met and solutions to problems are found, change leaders might find giving rewards will help members see how their work is directly connected with making the organization more profitable (Kotter, 1996; Krause, 2004; Price Waterhouse, 1995).

Table 4.2 in the appendix shows perspectives from Kotter (1996) who expresses a similar perspective to Price Waterhouse's implementation strategy in his third stage of major change, which might help implement change mandates. Stage three involves developing a vision and strategy to assist in directing the transformation effort, as well as developing the strategies for achieving that vision.

John Kotter

In his book *Leading Change*, Kotter (1996) appears to have much of the same perspective as Price Waterhouse (1995) when it comes to culture, organizational change in general and vision. Kotter (1996) shows that change can be implemented better when it

is “anchored” in the culture (p. 145), which involves knowing that most alterations in norms and shared values will occur when the transformation process is near completion. Successfully showing how new ways are superior and will help the culture adjust to the transformations by changing people’s paradigm (e.g., Maurer, 2004). Anchoring change also requires that leaders give plenty of verbal instruction and support, which Kotter (1996) explains is because “people are often reluctant to admit the validity of new practices” (p. 157). Finally, change leaders of successful companies must develop a known succession plan so that “promotion processes are compatible with new practices and the old culture will not reassert itself” (p. 157).

According to Kotter (1996), an effective vision will have the following characteristics: (a) imaginable, conveying a picture of what the future will look like; (b) desirable, appealing to the long-term interests of employees, customers, stockholders and others who have a stake in the change efforts; (c) feasible, with realistic and attainable goals; (d) focused and clear while providing guidance in decision making; (e) flexible and general enough to permit others to take individual initiative when needed; (f) and communicable, both “easily expressed and explained in less than five minutes”(p. 72). Once established, these effective vision building characteristics fit nicely into Price Waterhouse’ s (1995) process of mandating change, which was explained above.

The 15 steps to better change identified by Price Waterhouse and depicted in Table 4.1 are very similar those of Kotter (1996) in his “Eight Stage Process of Creating Major Change,” as illustrated by Table 4.2 in the appendix, which suggests that organizational change leaders begin by confronting reality, while establishing a sense of

urgency in dealing with change related to competing more effectively with other similar organizations.

It is important to note that this process involves identifying the primary stakeholders in the project (Kotter, 1996; Maurer, 2004; Price Waterhouse, 1995). The stakeholders include customers, employees, owners, suppliers, business partners and the change team. They may experience a resistance to change based on past experience with dealing with change. Therefore, the key to gaining support of stakeholders who resist change is a combination of patience and involving them in assessing the need for change and implementing organizational change itself (Maurer, 2004). They will have more buy-in when they feel more prepared to commit to the change because they have contributed to it (Kotter, 1996; Maurer, 2004; Price Waterhouse, 1995).

Each of these stakeholders will need different types of support, which Kotter (1996) defines as “empowering broad-based action” (p. 101). Stakeholders will need to know how change will affect them and that the change will not affect them negatively (Krause, 2004). They must be shown how the change might bring potential wins and, specifically, why they should not fear any potential losses (Price Waterhouse, 1995). Stakeholders need continuous invitations to become involved, accompanied by continuous reassurance that they will get their wins (Price Waterhouse, 1995; Smith, 2004). Kotter (1996) suggests that “by keeping the bosses on board, [it] provides those higher in the hierarchy with evidence that the transformation is on track” (p. 123). Also, positive relationships must be built and maintained so that they do not change their minds about supporting the proposed organizational change. Therefore, once the stakeholders have been identified, they must be given sound performance measures (Price

Waterhouse, 1995; Kotter, 1996), goals, and challenging targets to quantitatively measure milestones. Without the milestones, “change efforts to improve business performance may quickly become slogans without substance” (Price Waterhouse, 1995, p. 12).

Kotter (1996) refers to these milestones in his sixth stage in the process of creating major change. He describes the role of short-term wins in six parts. First, provide evidence that sacrifices made in the name of the organization are worthwhile because wins do help justify the costs involved. Second, reward change agents with gratitude and feedback in order to build motivation and morale (Smith, 2004). The third part of generating short-term wins is that they help fine-tune the vision and strategies for putting it in action. Fourth, a short-term win undermines cynics by showing that clear performance improvements do have the power to keep the change moving forward. Fifth, part is that a short-term win keeps management supporting the changes and propelling them forward. The final role of a short-term win is that it builds momentum in supporters, including anyone who was previously neutral (Smith, 2004).

Developing a common goal can be derived through being sensible, caring and listening deeply (Maurer, 2004; Smith, 2004). Kotter (1996) refers to consensus-building in his second step in his eight-stage process for creating change, which he refers to as “Creating the guiding coalition” (p. 51). Consultants should also be considered members of the guiding coalition. This phase of the change process involves finding the right people, creating trust, and developing a common goal. The right people are in positions of power and maintain broad expertise, leadership and management skills, as well as high credibility. Creating trust for these individuals requires involvement, “with lots of talk and joint activity...through carefully planned off-site events” (p. 66).

Kotter (1996) expresses a similar perspective to Price Waterhouse's (1995) implementation strategy in his third stage of major change, which will help implement change mandates. Stage three involves developing a vision and strategy to assist in directing the transformation effort, as well as developing the strategies for achieving that vision.

Similar to Price Waterhouse (1995), Kotter (1996) also describes his theory of change as “requiring a lot of talk” (p. 157) and involving turnover. The person heading the transformation leadership must be almost evangelical, showing determination to knock down every barrier that gets in the way of creating the change (Price Waterhouse, 1995). As Kotter (1996) puts it, “using every vehicle possible to constantly communicate the new vision and strategies” and “having the guiding coalition role model the behavior expected of employees” (p.21) are essential. This is the fourth stage of Kotter's (1996) process for creating major change. Essentially, communicating the change vision means being organizationally supportive “using every vehicle possible to constantly communicate the new vision and strategies” and “having the guiding coalition role model the behavior expected of employees” (Price Waterhouse, 1995, p. 21). One cannot over-communicate in this process.

In addition to constantly communicating the vision, diversity too must be supported, which Kotter (1996) explains diversity as “putting together a group with enough power to lead the change” (p. 21). Diversity of change teams must be characterized by members who differ in disciplines, functions, personal capacities, and technology, leadership, and communication abilities (Price Waterhouse, 1995). Likewise, it is important to note that when it becomes necessary, team dynamics and personnel

must sometimes change. Team members who do not have what the team needs to implement the proposed change need to be reassigned elsewhere. It is important that all members of the change team be seen as role models and thoughtful leaders, well-respected and trusted by their organizational community (Krause, 2004; Price Waterhouse, 1995).

Kotter (1996) shows how the diversity of the team members directing the change should have four essential characteristics: (a) “position power”, (b) “expertise”, (c) “credibility”, and (d) “leadership” (p. 57). Power positions should include line managers, while expertise should include those with experience and perspectives that will inform decisions. Credibility functions similarly to the “role models” in Price Waterhouse’s (1995) change model. These people are the movers and shakers of the organization, people who will be taken seriously by other employees. Finally, leadership gives the group proven power to drive the change (Kotter, 1996; Price Waterhouse, 1995). The changes can then be followed by transformation monitoring (Price Waterhouse, 1995) or through creating short-term wins (Kotter, 1996).

Monitoring the transformation (Price Waterhouse, 1995) or working with short-term wins (Kotter, 1996) is a necessary step in the creation of organizational change. Monitoring transformation involves gathering information that determines: (a) whether the desired improvements are occurring, (b) if potential problems resulting from the transition process are being diagnosed, (c) whether change milestones are on schedule and budget, and (d), if feedback is being provided adequately to the stakeholders in order to maintain their support (Kotter, 1996; Price Waterhouse, 1995). Ideas might arise from the monitoring processes that could assist the change process or even alter how original

plans are carried out. With the new information, a plan of action might vary from its original design. This process of redesigning a refinement procedure involves drawing a plan to clearly define and specify performance goals and timetables (Krause, 2004; Waters, Marzano & McNulty, 2004).

Comparing Price Waterhouse and John Kotter: Communication and Empowerment

A comparison of the theories of communication outlined by Price Waterhouse (1995) and Kotter (1996) demonstrates that although effective communication does reinforce effective leadership, it does not fuel the empowerment that is needed to make organizational change happen. According to Price Waterhouse (1995), empowerment has five primary imperatives, which are displayed in contrast to Kotter's principles in Table 4.3 found in the appendix. Each of these imperatives is built on a leadership premise that is initiated with awareness, followed by dialogue, and fulfilled by participation that leads to empowerment (Burdett, 1991; Waters et al., 2004).

Price Waterhouse (1995) reminds readers that change and empowerment do have their associated costs, though those costs should also be accompanied by even greater benefits. Three critical factors for success should be remembered:

1. Long-term commitment: this involves targeting quick wins and thinking of empowerment as a new way of managing.
2. Well-managed staff expectations: staff personnel need to know that transformation does not happen overnight and there will always be some pains associated with the gains.
3. Reliability: senior executives must do what they say they are going to do and what they expect to be done. All people who are involved in and creating the change need to know where change begins, who it will affect, and how.

For Price Waterhouse (1995) connecting the dots—analyzing and maintaining ongoing change programs—is not a game. Connecting the dots means leadership through empowerment, for instance, “not just having the authority to do the job, but also the appropriate knowledge and tools to do it well” (ibid., p. 119). Empowering individuals to assume leadership in every situation that benefits organizational change is crucial. Such empowerment might be supported by helping individuals understand the benefits of their parts in organizational change and how that change benefits the whole organization. Likewise, individuals need to be confident that their contributions will be respected by others and that others can recognize how their contributions fit into the bigger picture (Price Waterhouse, 1995).

Although he does not use the language of connecting, Kotter (1996) also believes empowerment has its benefits and costs. “Empowering broad-based action” (p.100) is Kotter’s (1996) fifth and entails removing obstacles, altering systems or structures that inhibit the change vision, and “encouraging risk-taking and nontraditional ideas, activities, and actions” (p. 21). The benefits are directly tied to the costs; when one feature is removed from the model, another is either added or allowed to function in the interests of creating positive organizational change (Smith, 2000).

Kotter (1996)’s model does have an organizational change step that resembles that of Price Waterhouse (1995), the seventh stage entitled “Consolidating gains and producing more change” (p. 21). Like connecting the dots (Price Waterhouse, 1995), this stage involves “using increased credibility to change all systems, structures, and policies that don’t fit together and don’t fit the transformation vision” (p. 21). This stage also involves hiring, promoting, and training people to execute the organizational change

vision while “reinvigorating the process with new projects, themes and change agents” (ibid., p. 21).

Key organizational members and agents of change must be reassured that they will have access to the proper tools, information, and resources to make connecting the dots work well (Kotter, 1996; Price Waterhouse, 1995; Smith, 2000). In addition, they will sometimes need to have management support in resolving disputes that will arise (Price Waterhouse, 1995). Each of these steps to leadership empowerment will not always be openly welcomed by project leaders and must be supported delicately through guiding that is not pushy (Maurer, 2004).

Supporting project leaders does involve careful supportive communication and guidance (Maurer, 2004; Smith, 2000). Communication to project leaders and every member who is affected by change should be made with honesty and specificity in order to solve and avoid any problems that might arise (Kotter, 1996; Price Waterhouse, 1995). This open communication must be done in a timely manner, even if it involves discontinuing programs and teams that do not support the goals for organizational change (Smith, 2000). This difficult communication might involve finding places within the organization to put displaced employees. Again, this difficult task should involve a demonstration of how the changes fit into the bigger organizational picture. The complexities of organizational communication for change, as explained by Kotter (1996) and Price Waterhouse (1995) can also be used in conjunction with transition facilitated by consultants who utilize Block’s (2000) method of change.

Peter Block

Block (2000) suggests that the initial step in effecting change should be to define the problem, which is very similar to the theories of Kotter (1996) and Price Waterhouse (1995), (see Tables 4.1 and 4.2 in the appendix). Defining the problem can be done by simply asking the client what the problem is (e.g., Maurer, 2004). Block's (2000) second step for an organizational change consultant is to decide whether or not to proceed with the project, while the third step is to select the dimensions to be studied. The fourth step concerns deciding who will be involved in the project, followed by selecting the method for collecting data and then actually collecting the data (steps five and six). The next four steps involve funneling the data, data summary, and data analysis, followed by providing feedback results. Finally, steps 11 and 12 involve making recommendations and decisions for action (Block, 2000).

Block (2000) agrees with Kotter (1996) that trust is essential and that consultants build trust with their clients. He also acknowledges that it is important that feelings need to be analyzed when dealing with leaders and change. In particular, the consultant needs to be aware of the client's feelings, as they may play a part in showing how the organization is being led (Maurer, 2004). Ethical consultants will decline work that they do not philosophically agree with or that does not fit between the client, the client's needs or the capabilities of the consultant.

Block's (2000) Discovery Model is used as a component of facilitating change, it has six primary components. The first is presenting the problem, followed by redefinition of the problems. The third component calls for providing a clear and simple picture of what is happening. The next phase involves a simultaneous examination of how the

problem is being managed and the technical or business aspects of the problem. The final stage involves giving recommendations (See Figure 1).

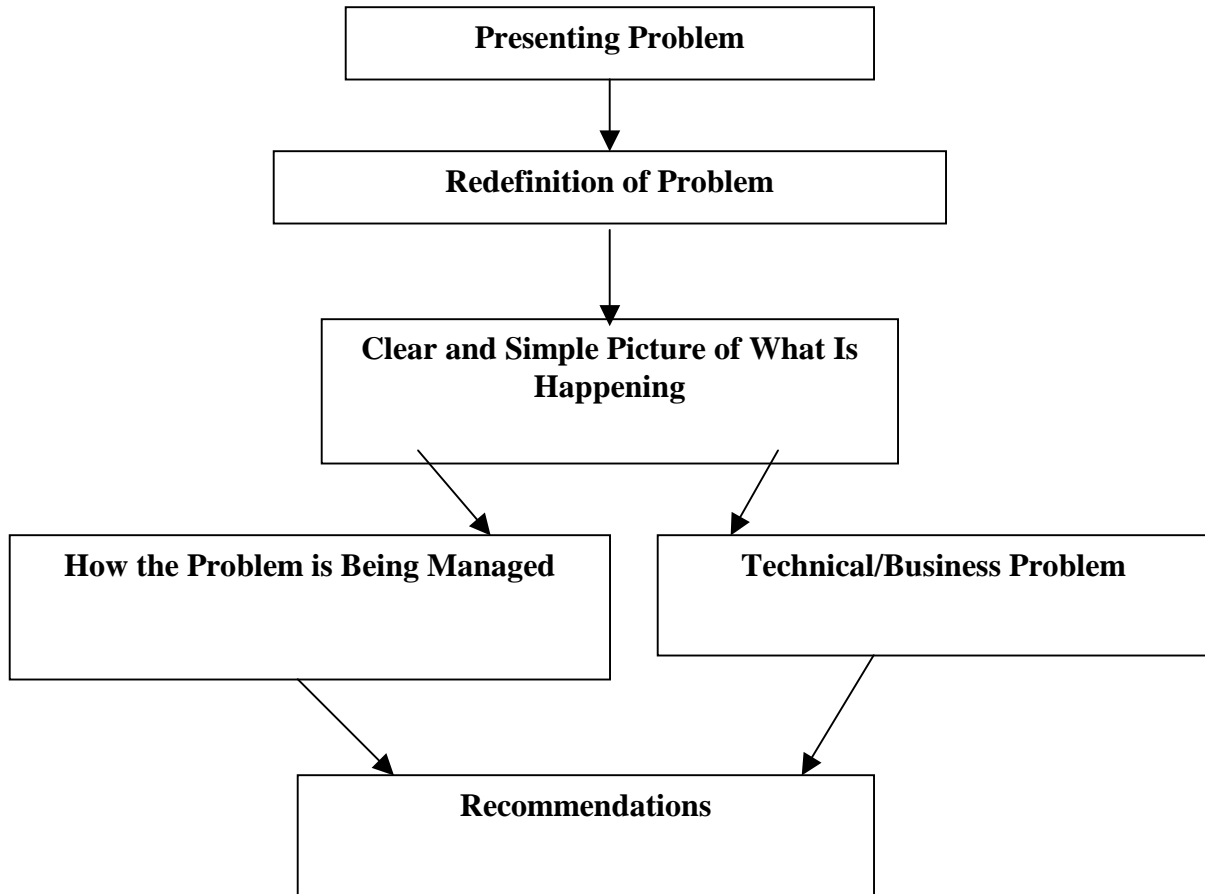


Figure 1. Discovery Model (Block, 2000, p. 178).

Block (2000) suggests that the discovery phase in consulting can best be done in a series of questioning and analyses that includes: (a) asking about the client's personal role and the role of others in causing or maintaining the problem, (b) client and consultant both planning the data collection process, (c) client and consultant both interpreting

collected data, (d) identifying the client's management style by working with the client and studying how he manages within the organization, (e) condensing the data to a limited group of issues, (f) using language that will be understood by the majority of those involved, (g) distinguishing between the obvious and implicit problems, and (h) seeking and describing the technical problem and its management. This series is intended to give a "clear and simple picture and does not need to include specific recommendations" (Block, 2000, p. 186).

Obtaining data using Block's (2000) change consulting model is accomplished through multiple modes of data collection, including interviews, questionnaires, evaluating documents, direct observation, experiencing the client's management style, and self-discovery. The process of data collection is a part of Block's (2000) change model, which has 13 primary parts, as illustrated in Table 4.4 in the appendix.

Similar to the other three change models discussed in this paper, Block's (2000) process of change includes a data collection process that asks questions about the following areas: (a) objectives for uniting the group on goals; (b) relationships among differing sub-groups and how they interact with each other; (c) how support is expressed and by whom; (d) whether people know where they stand and how they can find answers to their questions; (e) the role of gender and sex discrimination within the organization; (f) the impact of status differences on attitudes and problems within the organization; (g) the roles of authority and power in organizational problems; (h) how people consider multiple viewpoints and how groups make decisions; (i) individual norms for interacting, disagreeing, asking for help, taking risks, and other similar behaviors; (j) how management identifies problems and resources, monitors progress, and evaluates

movement; (k) the impact of leadership style exhibited by informal and formal leaders on the problem; (l) management of conflict situations, in terms of how they are confronted, compromised, or ignored; (m) how situations are dominated by one or more persons; and (n) attitudes about the project and the consultant to determine people's perceptions of whether the problem can be solved and how. Block's (2000) change consulting questions will work well with the Appreciative Inquiry model, described next.

David Cooperrider and Associates

An affirmative approach is suggested by Cooperrider, Whitney and Trosten-Bloom (2003), who believe that Appreciative Inquiry (AI) is a positive method for pursuing organizational change. AI takes a holistic approach to change, based on the premise that "human systems, individuals, teams, organizations, and communities grow and change in the direction of what they study" (Cooperrider, Whitney & Trosten-Bloom, 2003, p. 6). Cooperrider and colleague's 4-D cycle is very similar to Block's (2000) Discovery Model. The primary difference between them is that Block (2000) focuses primarily on a single targeted issue, while the AI model focuses on the whole organization.

There are four basic questions that guide the creation of change in AI:

1. What is your overall change agenda?
2. What form of engagement will best suit your needs?
3. What is your overall inquiry strategy?
4. What steps will you take at each phase of the 4-D Cycle? (p. 14)

The 4-D Cycle in the AI change model has five primary phases, the first of which is the Affirmative Topic Choice. Affirmative Topic Choice simply refers to choosing

what is to be studied. The second phase is Discovery, which involves searching to understand the best of what has happened and is currently happening in the organization. Discovery is usually done via one-on-one interviews, large meetings, or focus groups. The results of the Discovery process will map out the organization's positive core. It is in this second phase that stories of best practices and exemplary actions are shared, yielding increased knowledge and wisdom for those involved. Concluding this Discovery process, an emergence of changes to be planned is documented, taking AI into the third phase for organizational development.

The third AI phase involves the Dream, which encourages people within the organization to “collectively explore hopes and dreams for their work, their working relationship, their organization, and the world” (Cooperrider et al., 2003, p. 8). The Dream phase is generally conducted in large group meetings that serve the purpose of elevating the sense of organizational purpose and cultivate a yearning for finding positive potentials, as well as currently unrealized and innovative strategic visions. Once these dreams and ideas are collected, they are documented for further use in the fourth phase.

The fourth phase involves Design, during which activities and conversations take place in large forums to help devise proposals to encourage the organization to be “what it should be” (Cooperrider et al., 2003, p. 9). Like every phase in the AI model, propositions are written in proactive affirmative language.

The final stage in the change model is Destiny, which “focuses specifically on personal and organizational commitments and paths forward. In many cases, Appreciative Inquiry becomes the framework for leadership and ongoing organization development” (Cooperrider et al., 2003, p. 9). Destiny phase meetings are begun in large

groups and continue in smaller discussion groups. In the end, this phase aims to result in the development of new organizational practices, procedures, processes, and structures (Waters, et al., 2004).

Each of these phases is centered on the organization’s “positive core” (ibid., p. 67). Cooperrider et al. (2003) describe the positive core as “the wisdom, knowledge, successful strategies, positive attitudes and affect, best practices, skills, resources and capabilities” (p. 67). The core is said to be the source of the organization’s creativity, capabilities, resources, and life-giving potential, around which the phases revolve (see Figure 2).

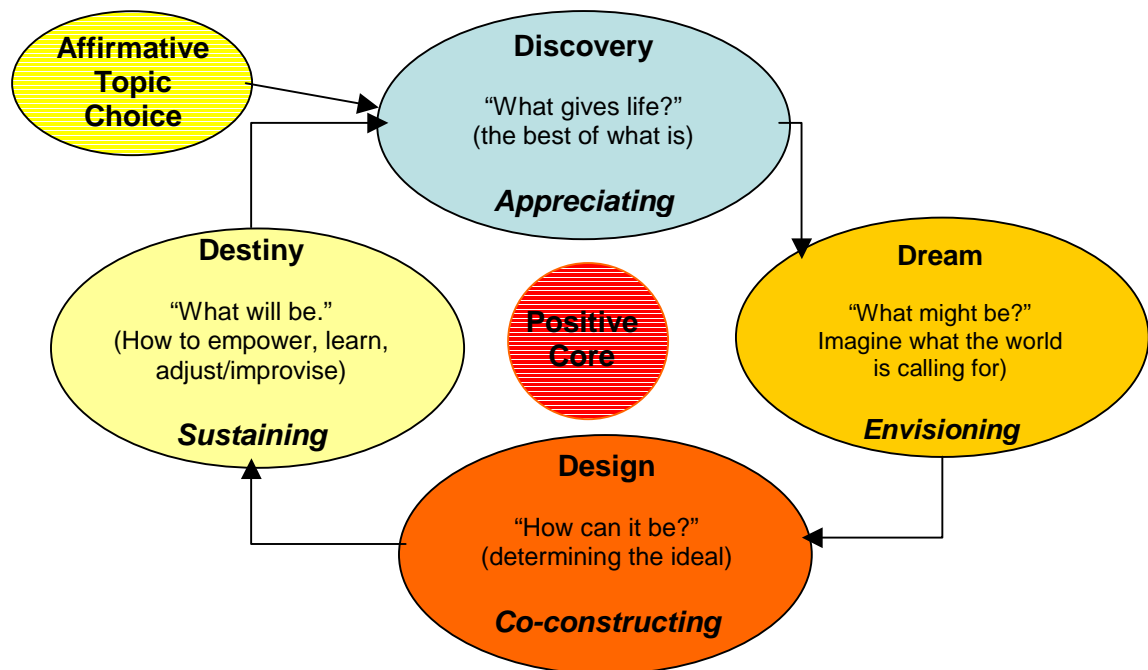


Figure 2. Appreciative Inquiry: The 4-D Appreciative Cycle (Cooperrider et al., 2003, p. 6).

Conducting an AI Summit is one way in which large-scale change can be approached by an organization. The AI Summit is generally a four-day event that invites all of the

organization's stakeholders to participate. In some cases, anywhere from 50 to 2,000 participants are involved (Cooperrider & Whitney, 1999). The AI Summit uses the 4-D Cycle phases (usually one phase per day) to design and develop the future of the organization. The 4-D Cycle and AI Summit are summarized in Table 4.5 in the appendix.

In order to better understand how AI works and what it can do, Table 4.6 in the appendix depicts the processes, results, and who does what before, during, and after an AI Summit. The positive philosophy of the AI Summit helps promote organizational learning through optimistic collaboration and inspired action (Cooperrider & Whitney, 1999).

According to Cooperrider and colleagues (1999), AI works best when there is a high level of “process integrity” (p. 255). This is characterized by every person involved in the change moving toward a whole-systems approach while the “positive core” (Cooperrider et al, 2003, p. 67) or most positive potential provides a collective wisdom about organizational strengths, capabilities, resources, and assets (Cooperrider et al., 2003; Cooperrider & Whitney, 1999). Theoretically, AI is effective because “people constructively adopt the power of the positive core and simply let go of negative accounts” (Cooperrider & Whitney, 1999, p. 256). This moves the organization forward to identify areas for improvement and ways to improve them without being held back. Some of the human and organizational aspects affected by Appreciative Inquiry are also expressions of the positive core, shown in Table 4.7 in the appendix.

AI has a documented track record of successful organizational transformations, as found in the numerous publications co-authored by Cooperrider. One such example is

British Petroleum's (BP) Pro Care. According to Cooperrider and colleagues (2003), after using AI's transformational model, BP's Pro Care customer surveys showed "95% of all customers were 100% satisfied" (p. 11). Interestingly, the Pro Care division of BP found that when they focused on the ideas of the 5% who were dissatisfied, business and customer satisfaction ratings dropped. However, they reached new high levels of customer satisfaction when they focused on the ideas of the other 95% who were completely satisfied customers and who also shared their ideas in small AI focus groups (Cooperrider et al., 2003).

Basically, the primary difference among these change models is that Kotter (1996), Block (2000), and Price Waterhouse (1995) use a problem solving approach. The AI model does not. In fact, the power of AI is sustainability; because it does not just solve problems. In fact, the AI model focuses on building what is wanted by the organization, as suggested through the creation of questions. This is contrasted, by all other models discussed in this paper which start with an urgency of focusing on a problem to be solved or by creating a problem to be solved.

Conclusion

Although Price Waterhouse (1995), Kotter (1996), Cooperrider and colleagues (2003), and Block (2002) use different language to express how organizational change can be facilitated, they can be assimilated for use by consultants to create positive organizational transformation. Each change model, with an exception of the AI model, as discussed in the previous paragraph, suggests use of an assessment process by asking key questions of stakeholders and confronting what is actually happening in the current organization (Block, 2000; Cooperrider et al., 2003; Kotter, 1996; Price Waterhouse,

1995). Through this process, support for any change proposed by the consultant can also be a net result derivative of the consulting questioning and analysis (Block, 2000; Cooperrider et al., 2003; Kotter, 1996; Price Waterhouse, 1995). Hence, the consultant becomes a facilitator of processes, and the organization's stakeholders become communication facilitators and the sources of knowledge and analysis (Block, 2000; Cooperrider et al., 2003; Kotter, 1996; Maurer, 2004; Price Waterhouse, 1995).

The AI approach to change might hold the answer for creating positive organizational change (Cooperrider et al., 2003). This approach can incorporate the questions suggested by Block (2000), Kotter (1996), and Price Waterhouse (1995), also asking questions with a positive spin from stakeholders who can share stories and dialogue about the organization's strengths, successes, values, hopes, and dreams. In turn, this inspires collaborative action to change (Cooperrider & Whitney, 1999). It should be noted that the AI process is particularly powerful because of its ability to create valuable thought-provoking questions to create and enhance the change process and systems. This is because the organization will move in the direction of what it studies. Once a question is asked, change is then set in motion. The AI process should empower organizational leaders and members to see how change benefits them and how their input and support will make a difference in the organization in the broadest sense (Kotter, 1996; Price Waterhouse, 1995).

Consultants should demonstrate and recommend to leaders that communication be facilitated in a positive manner, with consistency and honesty (Block, 2000; Cooperrider et al., 2003; Kotter, 1996; Price Waterhouse, 1995). Direction must be provided, but discovery must also be encouraged (Cooperrider et al., 2003; Price Waterhouse, 1995;

Smith, 2000). Consultants must encourage leaders to be honest with themselves and others and to pay careful attention to what the stakeholders are saying (Block, 2000; Cooperrider et al., 2003; Kotter, 1996; Price Waterhouse, 1995). The process of analysis should include the input of the stakeholders through focus groups (Block, 2000; Cooperrider et al., 2003; Price Waterhouse, 1995).

Consultants should recommend that organizational leaders use benchmarks, measurable and attainable targets, and “short-term wins” (Price Waterhouse, 1995, p. 122), which should be set, recognized, and rewarded when targets are met (Kotter, 1996). First and foremost, consultants should facilitate change that has the customers’ best interest in mind (Kotter; 1996; Price Waterhouse, 1995). The benefits of the AI 4-D model in facilitating positive conversations among stakeholders—including customers—should also be conveyed to the organization’s leaders to help break down any roadblocks that could inhibit the creation and implementation of a vision (Block, 2000; Cooperrider et al., 2003; Kotter, 1996; Price Waterhouse, 1995).

Finally, once a vision has been determined from the data and decisions have been made by leaders and stakeholders for the future and direction of the organization, the vision should be implemented and anchored in the culture with positive reinforcement using every vehicle possible (Block, 2000; Cooperrider et al., 2003; Kotter, 1996; Price Waterhouse, 1995; Smith, 2000). Necessary corrections should be made to systems and to attitudes that are not in line with the organization’s transformation plan (Kotter, 1996; Price Waterhouse, 1995). Consultants and organizational leaders alike should realize that the order or specific change model used is not as important as how the stakeholders view the change itself (Waters et al., 2004). Therefore, organizational change will occur best

when stakeholders are given a voice in the processes of change and won over by helping create the change with supportive-empathetic leaders and proper timing (Smith, 2000).

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Appendix

Table 1. *15 Guiding Principles to Better Change*

Principle	Description
Confront reality	We are highly vested in the seductive notion that what we have built will continue to flourish. However, the new reality creeps up as new business models emerge and our competitiveness falters.
Focus on strategic contexts	Knowing where to invest in change—where to seek improved performance—will determine success. Focus your efforts where the payback will be greatest.
Summon a strong mandate	Change mandates must be provided by management but should be amplified by customers. Without them, you may “double the cost of change and halve the impact” (p. 4).
Set scope intelligently	Improve performance in areas most important to the organization and its stakeholders. If you overreach your sphere of influence, you can

fail, but if you define a scope that is too limited, success may not matter.

Table 1. (*continued*)

Principle	Description
Build a powerful case for change	You will need to build a case for change to persuade resisters, then work to generate consensus, beginning with management and radiating to the organization.
Let the customer drive change	Serving customers is a powerful common denominator in your organization; customers are the <i>raison d'être</i> of the organization. Their needs should dictate change.
Know your stakeholders	Powerful individuals and groups have stakes in your changes. You will need to understand and prioritize their needs and motives.
Communicate continuously	If your change program is to succeed, you must communicate continuously with stakeholders to convince them to act anew. Use

	clear, succinct, and honest messages.
Reshape your measures	You must examine carefully your organization's performance measures. Build your vision, dismantle outdated measures if necessary, then design new measures consistent with its strategies and goals.

Table 1. (*continued*)

Principle	Description
Use all of the levers of change	Use all key levers: your markets and customers; products and services; organizational structure; human resources, (e.g., reward programs); and supporting technologies. Large-scale changes require coordination of all of these levers.
Think big	The change leader must persuade the change team to think big and draw positive innovations from others in the organization. People

Leverage diversity	<p>need to feel free to think out of the box in order to come up with a few powerful ideas.</p> <p>It is difficult to think out of the box because we are the ones who built it. Opportunities for innovation await as numbers of women, minorities, and foreign nationals increase in our organizations. Their perspectives help to revise the old paradigms.</p>
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Table 1. *(continued)*

Principle	Description
Build skills	<p>Build skills at all levels by expanding people’s technical, problem-solving, decision-making and leadership capacities.</p> <p>Strengthen the facilitation, managerial, delegation, communication, and diversity skills of those at the top.</p>

Plan	You must develop a detailed action plan to effect change, which should cover all major actions required.
Integrate your initiatives	Change programs of various types continuously surface in successful organizations.

Note: Adapted from *Better change: Best practices for transforming your organization* by Price Waterhouse, 1995, Dallas, TX: McGraw-Hill.

Table 2. *Kotter's (1996) Eight Stage Process of Creating Major Change*

Stages	Description
Establishing a sense of urgency	Examining the market and competitive realities and discussing crises or major opportunities
Creating the guiding coalition	Assembling a powerful group to lead the change and work together as a team
Developing a vision and strategy	Creating a vision for the change effort and developing strategies to achieve it

Communicating the change vision	Constantly communicating the new vision and strategies and having the team model the expected behavior
Empowering broad-based action	Removing obstacles, changing structures that undermine the vision, and encouraging risk taking
Generating short-term wins	Planning for and creating clear improvements in performance, recognizing people who made the wins possible

Table 2. (continued)

Stages	Description
Consolidating gains and producing more change	Using new credibility to change systems that do not fit the vision, hiring and promoting those who can implement it, and stimulating the process with

	new ideas and change
	agents
Anchoring new approaches in the culture	Creates enhanced
	performance with customer-
	and productivity-oriented
	behavior and better
	leadership, articulating
	connections between new
	behaviors and
	organizational success

Note: Adapted from *Better change: Best practices for transforming your organization* by Price Waterhouse, 1995, Dallas, TX: McGraw-Hill.

Table 3. Empowerment Communications: Comparing Price Waterhouse (1995) to Kotter (1996)

Price Waterhouse	Kotter
Building the case for change	Establishing urgency
Changing leadership behavior	Creating the coalition
Eliminating bad systems	Eliminating obstacles

Demonstrating that empowerment is possible	Empowering others to produce changes
Institutionalizing change	Anchoring new strategies in the organizational culture

Note: Adapted from *Better Change: Best practices for transforming your organization*.

Dallas, TX: McGraw-Hill.

Table 4. Flawless Consulting Change Model

Flawless Consulting Process	
<u>Component</u>	<u>Description</u>
Identify the Presenting Problem	Begin with a conversation about a concern that line managers have about their organization, termed

Deciding to Proceed	<p>the <i>presenting problem</i>. It is usually only a symptom of the real problem, and data collection will elaborate the manager's pronouncement.</p> <p>The consultant and the client decide collect data, which often involves several people who work for the manager. Motivation should be based on improving the organization, not just conducting research.</p>
Selecting Dimensions	<p>Select a limited number of questions within the technical realm of the consultant's specialty. For example, a financial person will select questions about financial information and control. Dimensions should not exceed 20 because too much data will be overwhelming.</p>

Table 4. (*continued*)

Component	Description
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Deciding Who Will Be Involved

Decide what levels of the organization will be included in the discovery. Keep in mind that participants will expect to be informed of the results.

Selecting the Data collection Method

Select a method that fits with the time available, the motivation of management, and the severity of the problems.

Collecting Data.

Options include questionnaires, interviews, observing meetings, and studying reports. Collect data until it starts to repeat.

Funneling the Data

Reduce information to manageable proportions because analysis should focus energy, not describe the universe.

Summarizing Data

Find a format that will summarize the data for others. The visual impact and understandability of your format is key.

Analyze Data

What does the information mean?

What is important?

Table 4. (*continued*)

Component	Description
Giving Feedback	Report the results to the organization. Consider who should be at the feedback meeting and how study participants will find out the results. Respond to resistance in a feedback meeting and make time for discussion, not just presentation.
Giving Recommendations	Recommendations often precede a feedback meeting; the group requesting the study should control this step.
Making a decision	The process is not complete until a decision has been made to do something.
Implementation	Stay around for this phase because after discovery, you may have the best feel for the problems.

Note. Adapted from *Flawless consulting* (2nd ed.), 2000, pp.190-193, Jossey-Bass
Pfeiffer.

Table 5. AI 4-D Cycle and the AI Summit

Day/Cycle	Focus	Participants...
1/Discovery	Mobilize a systemic or system wide inquiry into positive change core	Engage in appreciative interviews and reflect on interview highlights
2/Dream	Envision the organization's greatest potential for positive influence and impact in the world	Share dreams collected during the interviews; and create and present dramatic enactments based on the dreams
3/Design	Craft an organization in which the positive change core is boldly alive in all strategies, processes, systems, decisions, and collaborations	Identify high-impact design elements and create an organization design; and draft provocative propositions (design statements) incorporating the positive change core
4/Destiny	Invite action inspired by the days of discovery, dream, and design	Publicly declare intended actions and ask for support; and self-selected groups plan next steps

Note. Adapted from *The change handbook: Group methods for shaping the future* by P. Cooperrider and D. Whitney, 1999, p. 249-250. Copyright 1999 by Barrett-Koehler Publisher, Inc.

Table 6. Appreciative Inquiry Roles and Responsibilities

	Before	During	After
Consultants	<ul style="list-style-type: none"> • Introduce AI to the organization • Focus on the “business case” for AI 	<ul style="list-style-type: none"> • Train groups in AI • Support the Core Team • Facilitate the Summit 	<ul style="list-style-type: none"> • Assist the organization to integrate AI into daily practices
Sponsors	<ul style="list-style-type: none"> • Become knowledgeable in AI • Plant the AI seed 	<ul style="list-style-type: none"> • Champion AI in the organization • Participate—as an equal, essential voice 	<ul style="list-style-type: none"> • Ask, “How might we take an AI approach to this?” • Lead by affirmation
Core Team	<ul style="list-style-type: none"> • Become knowledgeable in AI 	<ul style="list-style-type: none"> • Select affirmative topics • Create interview protocol • Determine interview strategy • Communicate “best” 	<ul style="list-style-type: none"> • Use AI as a daily practice

		stories	
Interviewers	• Become knowledgeable in AI	• Conduct interviews	• Use AI as a daily practice
		• summarize “best” stories	

Table 6. (*continued*)

Summit	• Conduct interviews	• Engage in discovery	• Sustain AI organizational
Participants	or be interviewed	and dialogue	process and practices
	• Review interview	• Dare to dream	• Create new systems and
	report	• Design the ideal	structures using AI
		organization	• Share success stories

Note. Adapted from *The change handbook: Group methods for shaping the future* by P. Cooperrider and D. Whitney, 1999, p. 252-253. Copyright 1999 by Berrett-Koehler Publisher, Inc.

Table 7. Appreciative Inquiry Sample Core Expression Possibilities.

Sample Positive Core Expression Possibilities	
business best practices	positive emotions
core competencies	product strengths
elevated thoughts	relational resources
embedded knowledge	social capital
financial assets	strategic opportunities
innovations, patents and copyrights	technical assets
organizational achievements	values
organizational wisdom	visions of possibility
	vital traditions

Note. Adapted from *The power of Appreciative Inquiry: A practical guide to positive change* by D. Cooperrider, D. Whitney, & A. Trosten-Bloom, 2003, p. 67. Copyright 2003 by Berrett-Koehler Publisher, Inc.

