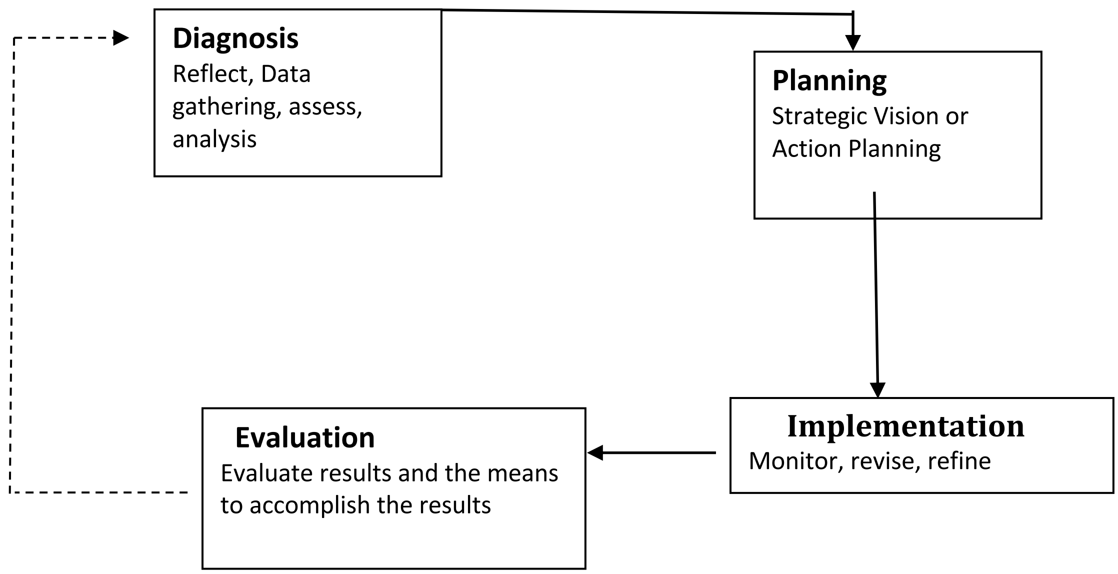
The Process of Planned Change

A PROCESS OF PLANNED CHANGE

The core process of planned organizational change can be described as four steps: diagnosis, planning, implementation and evaluation. It is an organizational improvement process.



To move through the steps or phases of the process you need to be clear about the scale and type of change being proposed. This sets the context for the whole process. Is this a long range attempt to change the service or product, increase productivity or transform the organizational culture or is this a more limited venture such as training employees to gather information from customers on the quality of the product and service, team building with a staff or enabling members to create their own discipline for self-care or spiritual development.
It may help to identify what kind of planning will be used. That will shape the diagnosis step. Is this process to create an action plan for staff development, is it a strategic vision to guide the total organization for the next three years or is it an operational plan for the coming year.

In preparing to move through the phases of the process it may be helpful to use a chart.

Phase	How to Do It	Who to Involve	Schedule
Diagnosis - Data Gathering - Analysis			
Planning			
Implementation			
Evaluation			

Leaders have the primary responsibility for structuring, initiating and facilitating the process of planned change in the organization. Organizational leaders have the legitimate authority needed to launch a variety of planned change efforts. The job of a consultant is to help the leadership facilitate the change process. The consultant may coach the manager, co-lead parts of the process or facilitate the whole process. Internal change agents may be concerned with influencing specific parts of the process

Diagnosis

In the diagnosis step the organization is doing two things:

1. Gathering information
2. Engaging in an analysis of the organization's situation, opportunities, problems, etc. A target might be to identify the current situation, the desired situation and the forces involved.

A. Gathering Information

1. **Methods of Data Collection**
   - Interviews (group or individuals)
   - Survey/Questionnaire
   - Observing/Sensing/Intuitive "hunches"

2. **Use of a Model or Conceptual Framework**
   Using a "lens" to gather information gives us a way to organize the information and identify patterns and issues quickly. A model might be used in the method of data collection or used to discern patterns from a more open-ended data collection process. It is important to fully understand the model being used and, to the extent that the model is normative, to be comfortable with the model's values and assumptions.

3. **Useful Information**
   We are seeking information that can be used in the development of the organization. So, the information we gather needs to be:
   - something the organization can use to effect change
   - able to be shared openly; "confidential" information is rarely useful
   - related to an area you are willing to make changes in, i.e., don't ask for information you are not going to be willing to act on.

B. Analysis

1. **Use Models and Conceptual Frameworks**
   Using models allows us to see a broader, more integrated picture. It may be helpful to use several models in developing your "hunches", "wonderments" and hypotheses.

2. **Explore Options**
   Investigate the process/opportunities/problems. Avoid jumping to solutions. Create several approaches or possible solutions.

3. **Stance**
   There are a few mental\emotional stances you need to take
   - Participant/observer or Anthropologist
   - Servant
   - Loving critic of the organization (not unloving critic or uncritical lover)

4. **Attention to the Dynamics**
   Assess issues such as:
   - How open is the organization to its own information?
   - How open are leaders/participants to hearing each other's information?
   - How open are they to information about external forces?
   - How open are clients with the consultant (if any)?

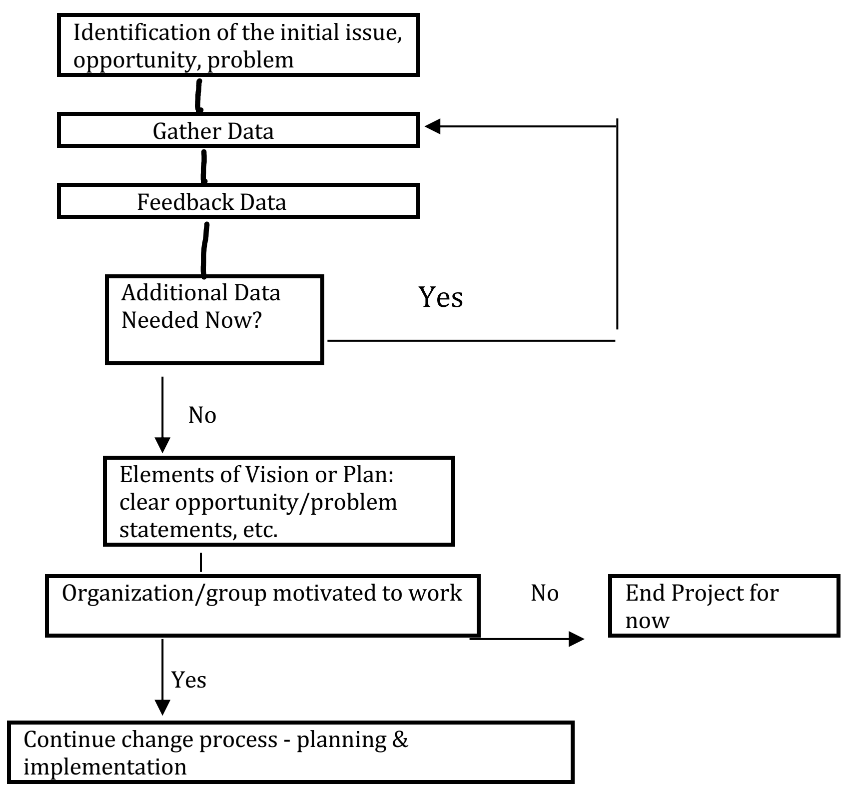
C. Building the Organization's Capacity

Diagnosis is in itself an intervention in the organization's life. How it is done can help the overall process or set it back. Three actions that help people's sense of commitment, skill and knowledge are:

- Publicly sharing the information you receive.
- Teaching conceptual models you are using in the analysis.
- Inviting people to join in shaping the information gathering and analysis process.

D. "Let the Data Speak"

Diagnosis involves data gathering; the interpretation of the information, and the identifying of developmental projects, strategic visions, goals, problems to solve, etc. The commitment of people in the organization to the change effort is critical for success. Is the data compelling? Will it motivate people? Diagnostic feedback is intended to increase readiness for strategic change and incremental improvement.



PLANNING

A. Objectives

1. Planning provides a sense of direction for the organization. It can motivate.
2. Planning gives shape to that direction through images and action statements.
3. Planning is an educational tool. It can help unify an organization.

B. Moving from diagnosis to planning

1. Sense of direction and priorities -- Your diagnostic work needs to be given focus in a set of statements that define an overall direction. It is a statement of what the organization will be and do.

2. Format -- Decide on a format for the written statement, e.g., mission statement, vision statement, strategic plan, project or program description, etc. Select categories to use for organizing your work. (See materials on "Outlines of Strategic Vision/Plans" and samples.)

C. Explore Options and Likely Consequences

1. It will produce a sharper sense of direction if there is an exploration of options for the vision, goals, strategies, solutions, project, etc.

2. At various points in the process, it is useful to project out likely results and consequences of a direction. How will it impact various subsystems of the organization? What role will each need to play? How are people likely to be affected? What is their likely response?

D. Revisit the Question of the Type of Planning

What kind of planning is involved in this situation? A strategic vision or plan, a program plan, an organization development project/intervention, yearly working objectives, etc.

E. A Strategic Vision

There are a variety of ways in which a vision might be created and drafted. Visions may be broad descriptions of an organization's hoped for future or more detailed presentations of how we will look and be in the next few years. Some visions draw more on images (e.g., "partnerships"), others on more of an icon (e.g., who the founder was, what the founder said.) Strategic visions may be most useful if they:

1. Include both what we are going to accomplish in production or service and who we are going to be.

2. Express the best values, hopes, and ideals of people with a stake in the organization.

3. Describe the organization at its best.

4. Show a gap between what "is" in the present and what is hoped for in the future.

5. Is grounded in the past and present life of the organization. If it is to be a vision and not a fantasy, it needs to be grounded in the history, strengths, weaknesses, and opportunities of the organization.

Visions can especially be a tool to enable:

- Self-management -- Individuals and teams can use the vision as a guiding resource that can be used to align their work to the larger organization and other working units.

- Commitment -- Visions are meant to engage our passion and increase our commitment.

- They need to be exciting, to get us going.

In the September - October 1996 issue of Harvard Business Review, James Collins and Jerry Porras wrote about "Building Your Company's Vision." Here is their opening sentence: "Companies that enjoy enduring success have core values and a core purpose that remain fixed while their business strategies and practices endlessly adapt to a changing world."

They present an approach to vision that proposes two major components:

1. Core ideology consisting of -
   - Core purpose, reason for being, e.g., to preserve and improve human life; to make people happy
   - Core values which are few in number and stand over time, e.g., honesty and integrity, social responsibility, etc.

2. Envisioned future -- which is a picture of what we want to become or to create and which will require significant change in the organization. The suggest or envisioned future that includes
   - BHAG's (or Big, Hairy, Audacious Goals) -- this is making a commitment to a clear, compelling, 10-30 year, huge challenge that will both engage people's imagination and change the organization's life
   - Vivid Description which creates a clear picture of the BHAG in people's minds

Another approach to envisioning is to create a statement with a three to five-year time frame that includes:

- Mission -- the business we are in now
- Core Values -- which guide long term life and direction
- Goals -- to achieve in the next few years related to productivity
- How We Will Live Together -- statements that describe the quality of life we seek together

F. Strategic Planning

As with strategic envisioning, the concerns are long range, systemic, significant capacity building or a crisis that threatens survival. In practice, there may or may not be much of difference between strategic envisioning and strategic planning. It is usually a mistake to expect hard and fast definitions here. Planning manuals seem to differ in their defining of planning tools and concepts.

Planning usually implies more attention to establishing long range goals and objectives. In this case goals being broad statements of results or outcomes and objectives being aspects of a goal that are stated in a clear, measurable and time limited manner.

In strategic envisioning or planning, it is important that the top leadership be directly involved in drafting the final document. This is a way of requiring leaders to think through, integrate and own the direction.

G. Operational Planning

Operational planning is used to make a strategic vision or plan operational. In the absence of a long-range vision or plan, it may simply be an organization's annual planning process which establishes the yearly activities for an organization.

Operational planning usually takes one of the following forms:

Annual plan -- Specific goals and objectives set to help the organization move toward its strategic vision or plan during the coming year.

A five-year plan -- Or it may be a three or four year plan. Some organizations like to work out a detailed year by year plan for moving toward their vision. If it is anything more than collected thoughts to possibly use in future years, it has the danger of locking the organization into too much detail and producing an inflexible response to changing conditions or needs.

Team planning -- Have each team or department do a yearly plan that is responsive to the overall vision/plan.

H. Organization Development Intervention/Project Plan

This is an action - plan (see "I") for an OD intervention/project. It might be an action plan for team building, conflict management, trust development, training in problem solving methods, training team facilitators, an action research process (in itself a form of the process of planned change), leadership coaching, intergroup cooperation, etc.

I. Action Planning

Action planning is used for taking quick action on a project, program, intervention, etc. Useful questions and method may be:

- What are the first three steps we need to take?
- What is something we can do in the next few days to move this along?
- Using force field analysis as a strategic formation method.
- Deciding on a general course of action along with the sequence and timing of steps.
- Use a chart.

Action	How	When	Who	Resources

Implementation

Implementing the plan is a time of transition into a new way, a new state of being for the organization. Managing that transition is the task.

Stay Focused on the Vision-Goals-Direction

The primary aspects of the plan need to be kept in front of the organization – post it, frame and hang it, expect people to know it, have leaders present it again and again.

Leadership

The leadership task includes:
- Keeping the new direction in front of the organization
- Showing commitment oneself (including dealing with one's own internal resistance to the change or one's role in facilitating the change)
- Asking others to commit themselves.
- Managing the political process involving various interests affected by the change.

Monitor the Process of Change

1. The organization needs a way to monitor the change process. This might include
- Providing time at the board or management team meetings to review progress.
- Having a team gather information and propose adjustments.
- Using a consultant to work with key leaders in reflecting on the implementation process.

2. Monitoring during implementation is an early form of the evaluation stage. You want to review all of the same issues you will deal with during the evaluation.

3. Many difficulties in the implementation phase can be traced to unresolved issues in earlier stages of the process, e.g., not involving relevant people in the entry or diagnosis steps.

Communicate – Communicate – Communicate

The implementation phase is a time to over-communicate. Keep repeating the vision, why we are making these changes, what is being changed, and what is not being changed. (People cope better if they know some things will remain stable, for now.) Provide regular updates on progress and difficulties.

Include People

Include people in implementing the plan. This can help reduce resistance, increase commitment, and provide needed creativity and energy. Leaders need to seek ways for people to play a role in the new direction.

Care needs to be taken in regard to the few people who are unable or unwilling to collaborate. Leaders need to beware of the danger of getting drawn into an emotional drama in which they try to convince or even force the strongest resistors to join in the effort. The whole organization can be held hostage to the sabotage of a few people. While leaders work overtime trying to bring them along, the organization remains stuck.

Help People to Define Success

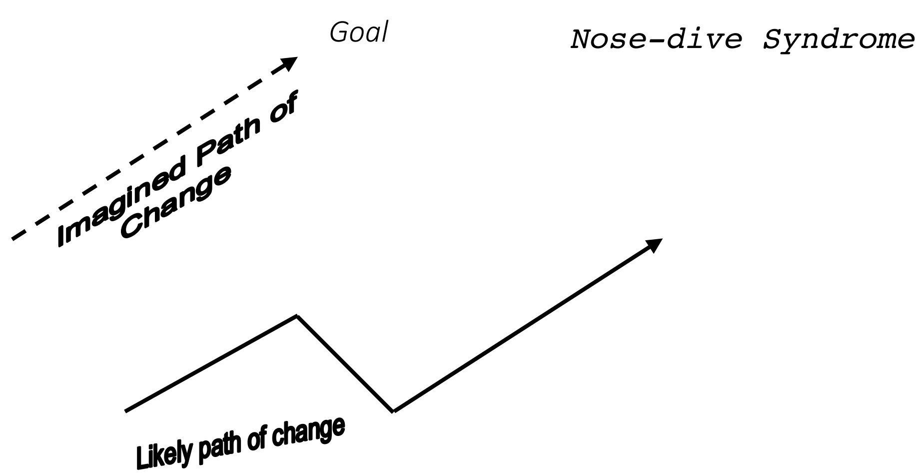
Defining success during the implementation stage is critical to helping people stay motivated. For that to happen it's important to take initiative in defining the signs of success at this stage.

- Acknowledge publicly each movement toward the vision, each event that advances the new direction.
- Be clear that success does not mean fewer issues, problems or opportunities to deal with, but new and different ones. Remind people of this process. As old issues fade and new ones emerge, hold it up as progress.
- Success will mean an increase in our standards, expectations and hopes. This is likely to show itself as an increased dissatisfaction with the organization or the progress being made. Also there is a phenomenon noted by Maslow of complaining shifting from "grumbles" about small things to "meta grumbles" about broader, long term issues.

It Will Not Go the Way You Imagined

Implementation will not go the way you imagined it would. Even if leaders have told themselves this "truth"; it will still come as a shock to experience the confusion, resistance, anxiety, slowness, twists and turns and unanticipated consequences of the change process.

One way of understanding what is happening is the "nose-dive syndrome"; another is in terms of resistance to change.



Karl Albrecht suggests that there is a "nose-dive syndrome that frequently happens when implementing major change. It goes this way – the leadership assumes that all will go well in the change effort. In fact, things get worse. People resist, grumble, fight and generally play the victim or cynic in regard to the proposed change. Resources that were to be available are slow in coming. Key people get caught up in other demands and give less attention to the effort. Productivity and employee or member satisfaction declines instead of improves.
The nose-dive doesn't always occur, but when it does, the organization's leaders face the choice:

- "this was a mistake; we misjudged what was possible" or
- "our reading of the situation and the possibilities is mostly correct; there will need to be some adjustments; but if we stay with it we will reach the hoped-for results."

Resistance to Change

Resistance is likely as changes begin to take shape and impact people's lives or that impact is anticipated. What may have been a vague uneasiness earlier becomes a fear of loss. Some who were initially in favor of change may become restive. The sources of resistance are likely to be multiple – social networks are disrupted, influence patterns change, reward systems are rearranged, there may be a sense of uncertainty about the future. The organizational culture – "the way we are and how we do things here" – may be seen as threatened.

Resistance will be reduced if the issues identified earlier are effectively addressed, e.g., clear vision/direction, leadership, a monitoring/management process, communication and including people. It is also important to listen to the resistance. There may be information in the resistance that can improve the change project.

Reinforcing and Stabilizing Change

Systems have a tendency to function like rubber bands. They are stretched under pressure, once the pressure is released, they snap back to the original shape. Organizations tend to revert to old behavior patterns unless efforts are made to institutionalize the changes. For example:

- Have a team continue monitoring and reinforcing the change.
- Key leaders need to "check in" occasionally on how well the new ways have become part of the organization's life.
- Train people in the skills and knowledge needed to competently function in the new way.
- Provide adequate resources.
- Change related policies and practices.
- Reward teams and individuals for making the new way work.
- If necessary, remove extreme resistors from positions of influence.

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EVALUATION

Evaluation Objectives

1. To see where you are and what to do next
2. To assess the effectiveness and value of the process you have completed
3. To learn from your experience, e.g., to increase your skills and knowledge for managing a change process
4. To help people in the organization integrate the changes that have taken place

What to Evaluate (This should have been determined in the planning stage.)

1. Movement in terms of the planned outcomes (goals, objectives, hoped for results, etc.)
   -- Improved, worst, the same?
2. The process of planned change
   -- Diagnosis, Planning, Implementation -- how well did we do in each stage?
3. You might use a system diagnosis tool in reflecting on your work
   --For Example: Use "Six Primary Elements of the System" -- Vision, People, Dynamics, Structure & Processes, Leadership, Environment
4. If a consultant was used -- Develop a mutually agreeable way to assess the consultant's work.

How to Evaluate

- Decide on ways to gather information, ie, interviews, survey, observations/sensing.
- Decide on who to involve -- Who will need to act on the results?, Who would you like to be influenced by the evaluation process and results? Who might provide information or opinions? Who might best interpret the information and draw conclusions on behalf of the organization?
- Decide on who should see the results.

Next Steps

The evaluation team needs to look at two follow-through areas.

1. What do we need to do to continue reinforcing and stabilizing the change?

2. Is this the time to terminate (for now) the formal process of planned change? Or, does the evaluation suggest the need to return to an earlier stage for additional work?

Celebration

Take time to celebrate what has been done together. Acknowledge special efforts and contributions to the work.

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PROCESS OF PLANNED CHANGE WITH A CONSULTANT

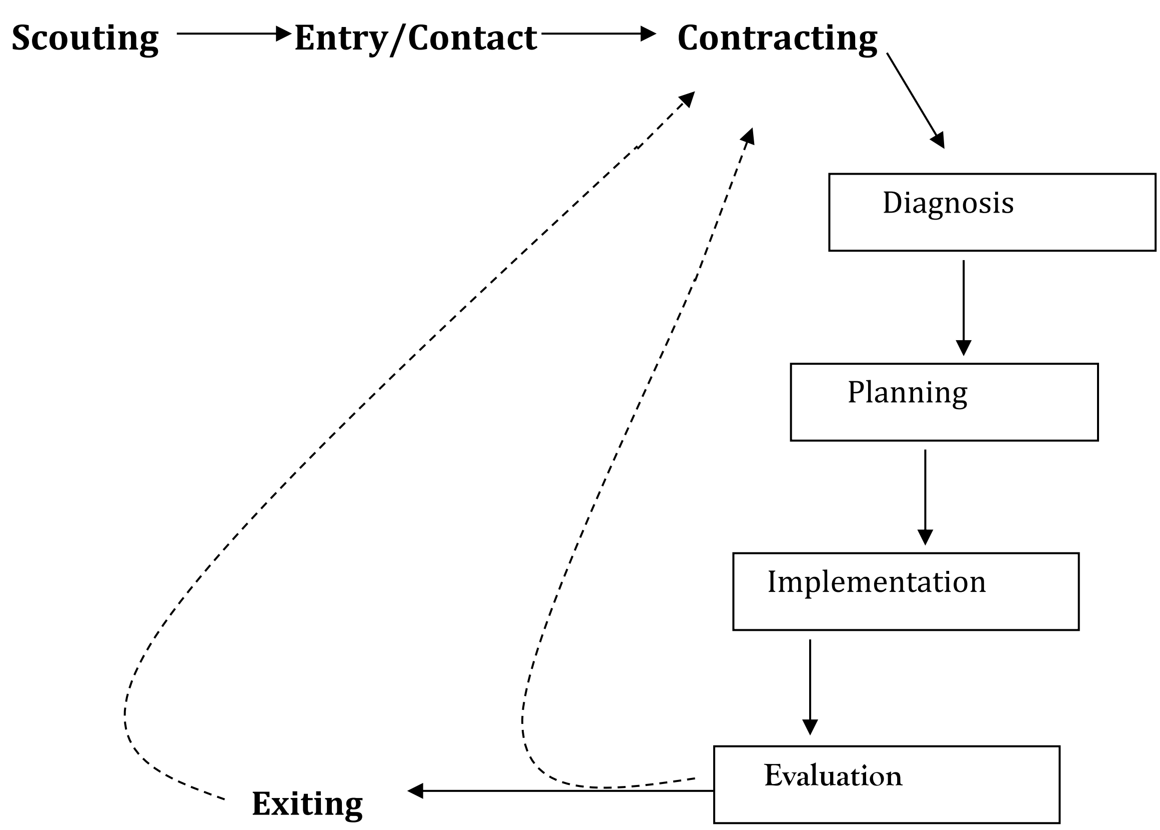
When a consultant is involved in helping the manager and organization in the change process there are additional steps to the process.

Before diagnosis:

1. Scouting - this involves the manager seeking a consultant or from the other end, the consultant seeking a client.
2. Contact and Entry - developing the relationship, making initial assessments, explore readiness for change.
3. Contracting - finding out what the client wants, what the consultant wants and making an agreement.

After evaluation: exiting - withdrawing from work with the manager and system. Re-contracting may take place after the evaluation if continued consultation is needed. Re-contracting may also take place after time has passed and the client requests new work.

The Process of Planned Change with a Consultant



SCOUTING

The objective of scouting is to create a pathway by which potential clients can contact you to do the type of work you do.

Defining the work you do

You need to be clear about the work you do. Here are some of the issues involved in defining your consulting practice.

1. Competence -- What do you have the training and experience to do well?

2. Commitment -- What type of work interests you? What type of work are you willing to do?

3. Lack Competence for -- What type of consulting work are you not able to do with adequate competence? Where would you be "in over your head"?

4. Low Interest or Willingness -- What work has little interest for you? Is there work you would be unwilling to do?

5. Geographical Scope -- How far will you travel?

6. Type of Organization -- What type of organizations are you willing and able to consult with?

7. Strengths -- What are your strengths as a consultant?

8. Weaknesses -- What are your weaknesses as a consultant?

9. Values -- What are some of your core values? How do they relate to your consulting work?

10. Contribution -- What contribution do you want to make as a consultant?

11. Achievement -- What do you want to achieve? How large a practice: income level, clients, staff/partners, etc.?

Shaping the Image People Have of You as a Consultant

Potential clients do have an image of you. It's made up of the sum total of their impressions and ideas about you as a person and as a consultant. You can take some responsibility in influencing that image.

Positioning

You need to set your consulting practice apart from others. Why would a potential client call you rather than someone else? The task is to position yourself in a way that builds on your strengths, fits your self definition as a consultant, reflects a realistic image and is sustainable over a long period of time. Clients may choose you because of perceived competence, or they like your values, or they think you understand them or their organization, or they may like your fee or think you are more available.

Communication

This is the pathway by which potential clients can contact you to do the type of work you do that also fits the work they need done. The single most important form of communication is a word of mouth recommendation from an existing client to a potential client.

1. Develop a list of potential clients. Identify the people and organizations you could reach out to, directly or through someone else.

2. Let existing clients know about your availability for more work.

3. Write articles for magazines or journals. Write a book.

4. Develop a list of services you provide (on your letterhead or in a brochure.) Give it to new clients, their board members and managers.

5. Have a reasonably current resume available in case a potential client asks. You may want to create a resume that is oriented to consulting work.

6. Network with other consultants.

7. Get stationery and business cards.

CONTACT AND ENTRY

Objectives in Contact & Entry

1. Begin to develop a trusting relationship with the client.
2. Do an initial assessment of the organization, the proposed work, and the organization's readiness for change.
3. Explore and decide your ability and willingness for working with this client. Is your involvement likely to help? Are you interested?
4. Identify next steps.

First Contact

Contact and entry usually begins with a phone call or an e-mail message. The potential client was referred by an existing client or heard about your work with a particular organization. Sometimes the potential client has had direct experience with your work, e.g., she was on the board of an organization with which you worked last year; she wants to explore the possibility of you working with the organization she directs.

The phone rings. A potential client is on the line. Stop! Ask yourself if you are prepared to have this conversation now. It's best if you can be responsive at this point. However, if you are distracted or ready to run off to another appointment, it is better to set a time to talk later.

Possible areas to explore in the initial talk:

1. The client -- What does the organization do? Customers, clients, membership? How large -- staff, budget, membership? Faces what significant opportunities, threats, limitations?
2. The project being proposed; background -- why this project? history? Is the project for a strategic vision/plan; for the whole system or subsystem; yearly planning, program planning, an OD project?
3. How they got your name
4. Your consultative style, fees and expenses, references
5. Set up an exploratory meeting -- time, location, who will be present. Take initiative in this. Be sure the right people will be present (participants in the problem/opportunity, authority to make a contract, etc.) Ask for the time you think you will need. Be clear with the potential client about any fees or expenses for this meeting.
6. Ask them to send background documents on the organization, e.g., mission, values, vision or plan, PR materials, etc. Get the organization's web site address.
7. Ask the potential client to do some background work, e.g., ask them to look at your web site or material you will send; give names of former/existing clients they can talk with; possibly send them to a site that helps them become more familiar with you field, etc.
8. It is possible that the work to be done is so clear and has a limited time frame that you may have a contract after the initial contact.

After the initial contact:

- How do you feel -- about the person you spoke with, the organization, the proposed work?

- Do a readiness assessment (see below)

- Are you ready to go ahead? If not, what do you need/want?

Assessing Client Readiness

During the contact and entry stage, the consultant needs to assess the client's readiness for the proposed project. After the initial contact and after (or during) the exploratory meeting, the consultant can review these issues:

1. The degree of openness -- does there appear to be a willingness to share information, investigate rather than assume, explore options, etc.

2. Makes sense -- there seems to be something to work on that makes sense to you

3. Appropriate use of a consultant -- what you are hearing about your role seems appropriate; you are not hearing assumptions about your role that concern you, e.g., client sounds too dependent or too counter-dependent, seeking a "quick fix", wants your affirmation of an already established course of action, etc.

4. Investment -- the client is ready to invest the necessary time, funds, people, etc. to set this up for success

The Exploratory Meeting

Those involved in the meeting should be:

- High up enough in the system to influence others
- Able to make a contract
- Familiar with the organization and the background for this project
- Open to using a consultant

Specific objectives of this meeting:

- Review the overall objectives for contact and entry (above). Focus on particular objectives as seems needed, e.g., if you are concerned about their "readiness" you could lead them through a readiness assessment.
- Exploratory meetings are often also contracting meetings. See the contracting section.

Contracting

In contracting, you are negotiating expectations for your relationship with a client. You are trying to find out what the client wants, to be clear about what you want, and to come to an agreement of what you will do together.

A. You need to find out what the client wants. Initially, the client may appear to be very confused and muddled or may seem clear and decisive. If she's uncertain about what she wants, your job is to help her increase clarity. In some cases, this may mean developing a contract to help the client become clear about what she wants to work on (sort of a pre-contract contract). Even if she seems relatively certain, you will still want to help her look more deeply at the implications of the work she's interested in doing.

1. You will need to use some means for eliciting the client's expectations. You might try some of the following questions. In time you'll develop your own list.

- What do you want to happen as a result of our work together?
- What do you want from others in your system?
- What do you need to do to get what you want?
- What do you need to change about you to get what you want?
- What do you want from me?
- What don't you want from me?
- What's the best/worst thing that could happen in our work together?
- What's your payoff/cost for things staying the way they are?
- How will you know when we're done?
- How might you sabotage yourself?
- What are you willing to do not to sabotage yourself?

2. Instead of asking questions, you might try testing your hypotheses. Tell the client what you imagine she's most interested in having happen, or what you've heard her say about the best thing that could happen. Make a statement, then check it out with the client. Testing hypotheses can reduce the wariness and defensiveness that can build when asking question after question.

3. Is the client trying to use you for some hidden reason? Is there someone she wants fired? You find your real contract being to help the manager get up her courage, or to help gather the data that will show the firing to be justified. Or is she hoping that you will come to her support in some ongoing struggle between her and the Board or the staff, and hoping that you will help show how wrong they've been and how right she has been? Such hidden agendas are traps for the consultant and client alike.

4. Find out more about the organization. You may need to know more than you discovered in the contact and entry stage. You need to know enough to make a sound contract and to begin the diagnosis step. There is likely to be some repetition, e.g., you might do a broad system assessment with an exploratory – contracting group and then do the same assessment later with a larger group.

B. You need to know what you want.

Take time to identify your own hopes, desires, fears and needs regarding this contract and client. What's the best/worst thing that could happen for you? Share and negotiate as appropriate.

Review what the client wants from you. Are you willing to contract for that? Do you want to work with the client? Do you have the energy and excitement for it? Do you have the skills? Are you free to say "No"?

You need to know what you need from the client to "set it up for success." Your own awareness and assertiveness are important in contracting. You need to know what you want from the client and be able to ask for it.

A good bit of your contract is worked out in the give and take of "A" and "B" above. You are seeking an adequate level of mutual confidence that you can work together on this particular project.

C. Making an Agreement

1. Being Clear

Consultants handle this in a variety of ways. Some like to put everything in writing. Others only put it in writing if the client requests it or if they are still uncertain about how clear the client is, or if the contract is complex. Using newsprint to record elements of the agreement in public may help. Using communication skills of para-phrasing and summarizing may be adequate. If the agreement is being made over the phone, take notes for yourself so you don't forget what you've agreed to.

2. Things to be Clear About in an Agreement

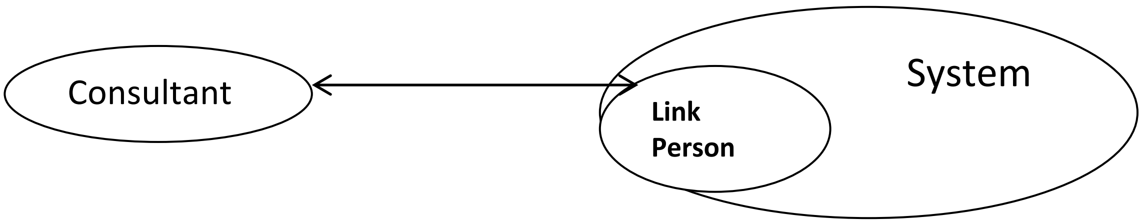
- The objectives of the consultation.
- Who will be involved; how they will be recruited/informed.
- Location
- The process and methods to be used.
- The style in which it will be done.
- Time frame, schedule.
- Consultant fee and expenses.
- Possibly, lists of things the client and the consultant have agreed to do in advance of the intervention or as part of the intervention.
- How the relationship will be terminated, e.g. time for mutual assessment of the work, understanding on early termination, etc.

3. Does this Person Have the Authority to Make an Agreement?

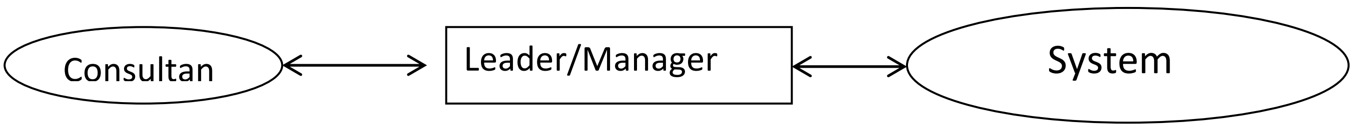
D. Types of Contracts

1. Responsible to work with the system

(an organization or group). Need to be clear about which person or small group is your connection with the system.

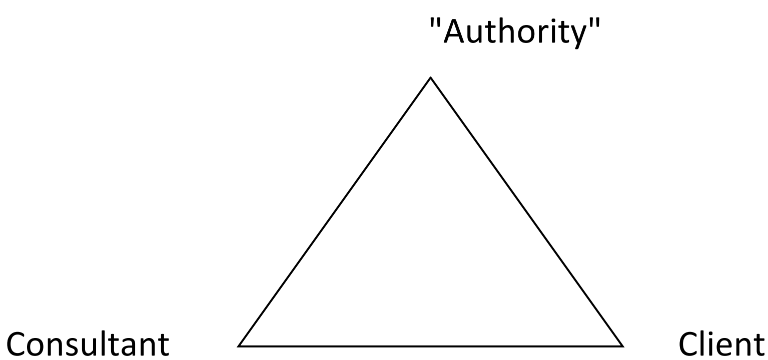


2. Responsible to work with a leader/manager. This may be a coaching role in regard to the person's behavior as a leader/manager. The system may or may not be aware of the contract.

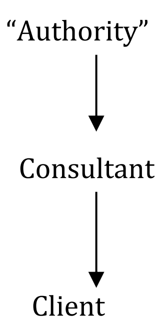


A danger in this type of work is that you end up focusing only on the issues in the organization rather than on the leader/manager's behavior in the organization.

3. A "three-way contract" in which someone with legitimate authority is sending you to work with a group or organization. The consultation is to some extent "forced" or required.

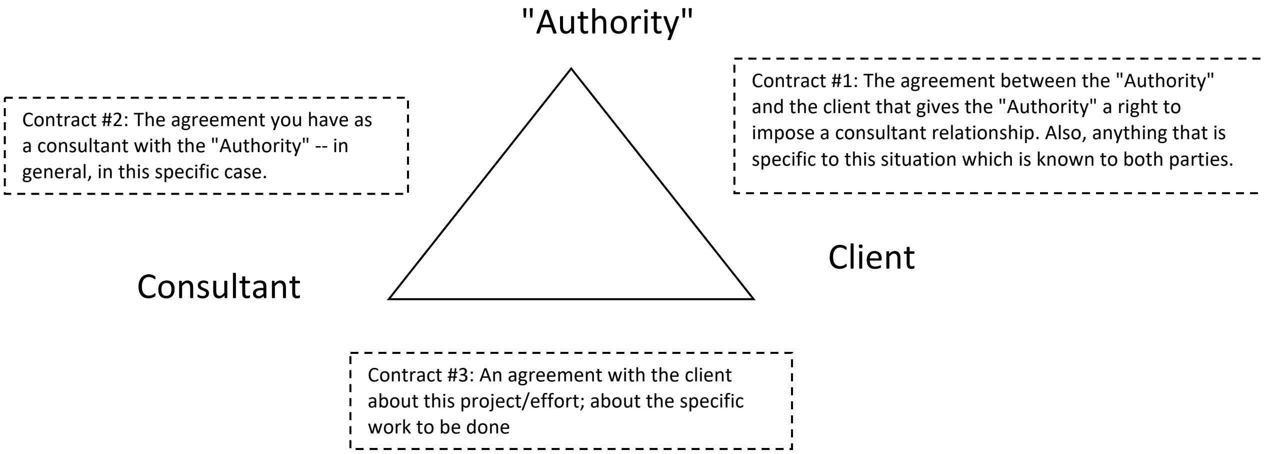


The danger is this will be perceived as:



Managing a “three-way contract” can be done by:

a. An awareness of the basic triangle - by each of the parties. It is the consultant’s job to share the triangle and the three “contracts” that are involved.



b. In clarifying your relationship with the client you might try:
   1) Sharing the triangle.
   2) Sharing the contract (#2) that you have with the “Authority” - “Here is what I’ve been asked to do. These are the agreements I have with the ‘Authority.’ ”
   3) Ask about the relationship and any agreements (Contract #1) between the client and the “Authority” - “What have you been told? What do you expect?”
   4) Then focus the conversation on working out the agreement between you and the client (Contract #3) - “What would you like? Where might we start? etc.”

c. If there is so much anger about doing the consultation that it will be difficulty to move ahead, try:
   1) Having a meeting with the client and the “Authority” present.
   2) Take them through the steps in “b” above. Help them to acknowledge the feelings involved.
   3) Test out with the client a possible agreement for your work together (contract #3)

4. Shadow consulting in which you are consulting with someone who is a consultant to someone else. That party would not normally be aware of your existence in that role.

This relationship shares the same potential problem as mentioned in #2 above. Your client is the other consultant. The focus of your work together needs to be on your client’s functioning; her commitment and competence level; her behavior in the relationship with her client. You might help your client reflect on her work, explore alternatives, clarify her feelings, etc. You might do some coaching or help her design some of the work she will do with her client. Be careful about how much of your time together is given over to discussing the issues and dynamics of her client. It is necessary to some degree. But it can also be a trap

E. Client Categories

Schein answers the question “who is the client?” by using a set of categories, which addresses the fact of multiple clients and shifts in the contract.

- Contact clients - the initial contact person
- Intermediate clients - a group that may be involved initially and have a reduced involvement later, e.g., top management, a strategic planning committee, etc.
- Primary clients - where the interventions are made; those who “own” the problem.
- Ultimate clients - others in the organization and external to the organization who are affected by the interventions.

F. Contracting is a Continuous Process

1. Some contracting work is done in the “Scouting” and “Contact/Entry” phases of the relationship. Your description of the scope and style of your work in a brochure or over the phone sets the basis for building the contract. Who is included in the first exploration influences the development of the contract.

2. Throughout the consulting process the consultant and the client will make dozens of mini-contracts that shape a specific step or revise the original contract.

3. The consultant’s own awareness and assertiveness is critical in the contracting process

At every step the consultant needs to be open to hearing the client’s needs, hopes and desires; has to know what he or she sees as needed to keep the work going well; and needs to be able to ask the client for what is needed from the client (e.g., time, money, access to information or people, a change in the client’s behavior or role, etc.).

EXITING

The consulting relationship is by its nature temporary. It is intended to both address the client's stated, current problems and visions; and also to improve the client's ability to adapt, learn, and solve problems. If the client is not to become overly dependent on the consultant, there needs to be a clear exiting process.

Working yourself out of a job

The temporary nature of the consulting relationship can help keep the consultant focused on building the capacity of the client system. The improved functioning of the client is to be internalized by the client and not dependent on the consultant's presence.

The dynamics of exiting are not as clear for an internal consultant who continues to be part of the organization's daily life. Exiting is from a specific department, event, or project.

Working yourself into a job (the external consultant becomes "internal")

There are situations where the external consultant may play a role in the organization's life that calls for special attention to the issue of dependency and building the client's capacity. For example --

- The consultant is asked to lead each year's board or management team retreat. It becomes predictable.

- The consultant is asked to function for the long term as a trainer of new staff, facilitator of special meetings, coach and co-strategist with directors and managers, etc.

Such situations often serve legitimate client needs. However, they also require special attention on the part of both client and consultant. The consultant may need a shadow consultant to reduce the extent of absorption into the organizational culture. Exiting rituals can be modified and used. The client should be asked to evaluate the relationship with a team or another third party without the consultant being present.

Exiting Rituals

1. Reduce presence -- As the contract moves into its last stages, the consultant usually needs to begin to reduce the amount of time with the client system. Don't disappear suddenly like "the Lone-Ranger"; also, don't hang on, and on, and on.

2. Assess -- Provide a process for assessing the consultant's work, the work done together, and the relationship. If some of this has happened in the evaluation stage, this should be a brief review of that assessment.

3. Celebrate -- Seek some way of celebrating the work and the relationship, e.g., have dinner with those you have worked most closely with or simply ask everyone present in the last meeting to applaud for the work done together.

4. Follow up letter -- It may be appropriate to send the client a follow up letter or note that says thank you for the opportunity to work together.

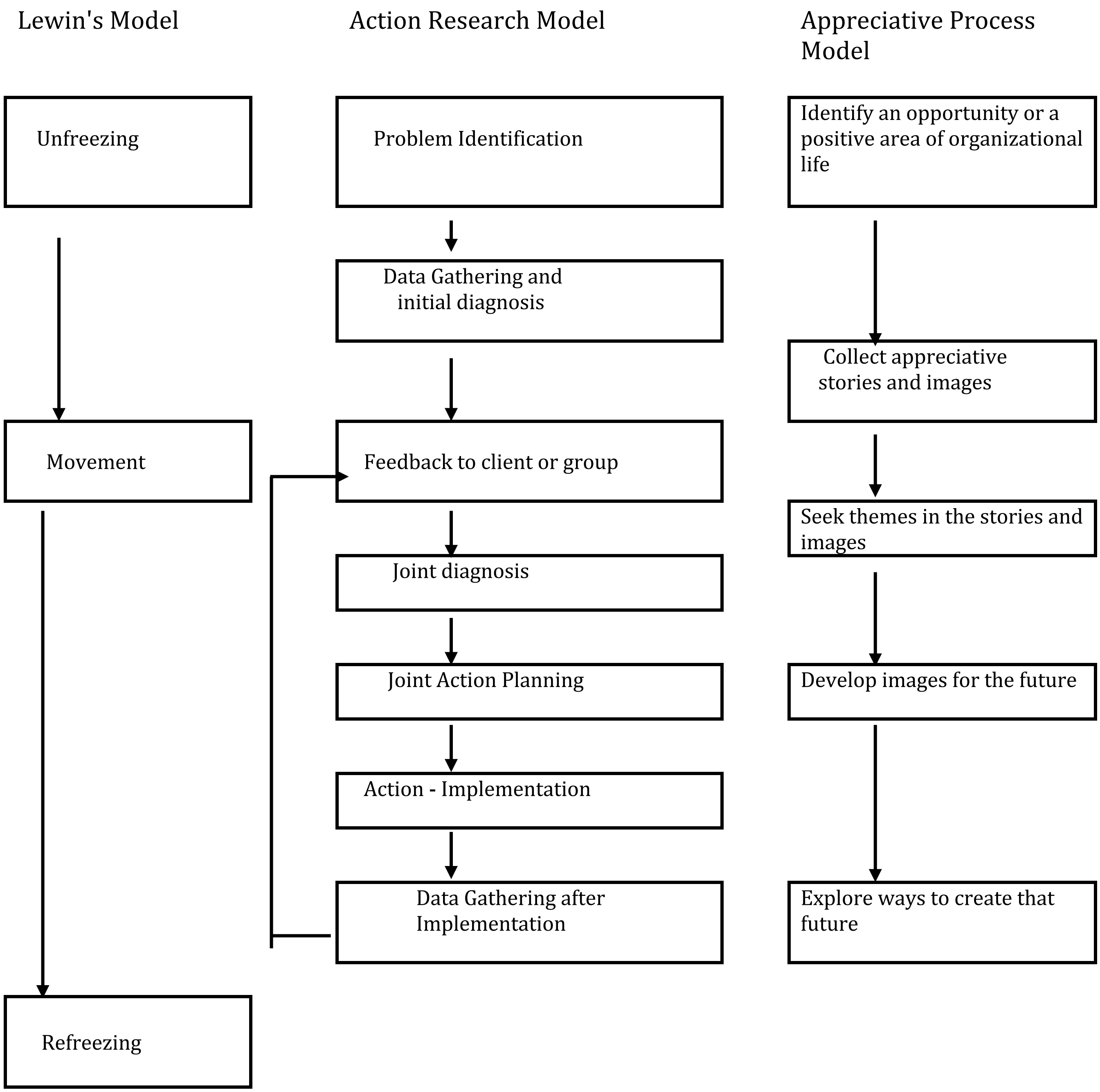
Success and Failure

Success feels better than failure. If the project has "failed", there may be a tendency on the part of both the consultant and the client to avoid an assessment and avoid each other physically and/or emotionally. The consultant will serve both client and self by engaging the exiting rituals as much as possible. There is something to be learned in the failure. A good exiting process can also enable each to move onto future work with less "unfinished business."

There is also a danger that if the consultation is seen as successful, people may see no need for a real assessment or may want to avoid any critical comments toward the end of the relationship.

Three Approaches to Planned Change

This is a very broad overview of three different ways of approaching planned change. Each has been effective. They all assume broad participation in the process.



An Intervention Theory

The following is largely based on the work of Chris Argyris in *Intervention Theory and Method*. It can be seen as the underlying "process outcomes" the consultant is seeking in an intervention, i.e., valid and useful information, free choice, and internal commitment.

Valid and Useful Information

- Information that can be publicly verified; that can be tested with a broad range of people; that can be openly gathered and discussed.
- Is useful in the sense that something can be done with it to effect change

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Free Choice

- The task is for the client to select the option with the highest probability of succeeding (within cost limits).
- The process needs to enable that choice to be:
  - based on an exploration of options
  - voluntary, not from habit or coercion
  - proactive, not reactive

↓

Internal Commitment

- The target is for as many people as possible to have a high level of commitment to the option that was chosen.
- A high ownership and feeling of responsibility. That people are acting under the influence of internal decision rather than external forces.
- More likely to hold over time and under stress
- Open to re-examination (our commitment to "valid and useful information" may bring new information and new choices)

The theory assumes that one element builds on the other. The more the information is valid and useful, the more likely the free choice, the more there is truly free choice, the more likely there will be internal commitment.

The theory also assumes that the consultant is not just trying to help the client solve a particular problem or engage a specific opportunity; but is also concerned with two other matters:

- that people end up with high internal commitment to the direction, and
- that the organizational culture is enabled to increasingly value and have the ability to generate valid and useful information, encourage free choice, and seek internal commitment.

There is a tension in an intervention between addressing the opportunity or problem at hand and pursuing the values in this intervention theory. Organizational leaders may decide to give more attention to one need over the other because of time limits, financial costs or due to holding different values.

The Facilitative Intervention

The facilitative intervention, and the related types of interventions, is part of Edgar Schein's process consultation approach. The practitioner, leader or consultant, is focused on helping the group make movement in the direction the group has decide on. This calls on the practitioner to set aside her own needs for showing how insightful or strategic she is; and to serve the group by facilitating the group's capacity for insight and strategy. If the practitioner is also an organizational leader, she will need to manage the need to facilitate the group and thereby build its capacity and ownership, with the need for the action to be taken to also reflect her best judgement. Not an easy task, but frequently a necessary one. Schein writes "The key tenet of process consultation philosophy is that the clients own and must continue to own their own problem.

Types of Interventions

In general, the early interventions named require less trust and relationship then the later ones. Also, in practice the interventions overlap each other.

Type of Intervention	One-on-One Use	Group & Intergroup Use
Active, interested Listening (exploratory)	Empathy, work to see the issue from the client's perspective	Observe process forces -- patterns of communication, decision making, and behaviors that assist the task or relationship maintenance, etc. Practitioner might then intervene by clarifying, summarizing or consensus testing.
Forced Historical Reconstruction (diagnostic)	Ask the client to reconstruct some of the events that led up to the current situation	Might use when the group is confused about the results it is getting; e.g., group can't come to agreement about direction. Intervention - could we reconstruct the past 2 hours to see what we've been doing?
Forced Concretization (diagnostic)	Moving the client from broad, general statements of the issue to more concrete expression, e.g., when did that happened, who was in the room?, how has that expressed itself in other places?, etc.	Facilitate concrete descriptions to fill out general comments about the group or meeting, e.g., our problem is communication! Practitioner might ask -- What brings you to say that? Would you share a few examples? How would you describe the type of communication we have been having?
Forced Process Emphasis (diagnostic)	Moving the client from primarily describing the issue in content terms to process terms, e.g., what were the phases of what happened?, please reconstruct the flow? Etc.	Asking the group to describe the process in concrete ways.

Diagnostic Questions & Probes (diagnostic, action oriented)	Practitioner test his own understanding of the issue by offering tentative statements, i.e., offers his own hunches about the situation. For example, Is this happening because ...?"; What I hear happening to you is ...? OR Invites the client to go deeper, e.g., What is your hunch about why this is happening? .. about the underlying assumptions driving this behavior?, etc.	Practitioner tests hunches with the group OR invites the group to share its hunches.
Process Management & Agenda Setting (confrontive)	Getting the client to focus the discussion or a meeting in specific content or process areas, e.g., "John, when we meet next week I'd like us to explore how you see your own ability to stay connected with those you find frustrating.	Many OD interventions fit this category, e.g., intergroup exercise, mirroring, survey-feedback processes, open systems planning, etc. Practitioner stays focused on managing the process not offering his own solutions.
Feedback (confrontive)	Practitioner offers the client feedback in relationship to the goals the client has for herself (not just reactions the practitioner has toward the client).	Survey-feedback processes. Need to be careful about the kinds of questions asked and to whom the information is fed back. You don't want questions in which members or employees are telling management what is wrong - with the assumption being that it is management's responsibility to "fit it." This encourages abdication of responsibility and reduces a sense of empowerment. The group you gather information from needs to be the group that will act to improve the situation after the feedback session.
Content Suggestions & Recommendations (confrontive)	Offering suggestions in the content area, e.g., "How about stopping sending any more e-mail messages to him? You might try that and see if it reduces the tension between you and your own stress level. " Possible try offering a range of options the client might consider.	For example, "I'd propose that you focus your attention on building the spirit of hospitality you discussed before you begin advertising for new members."
Structure Management (confrontive)	Change the structure of he situation, e.g., a different meeting time or place.	For example, arrange the physical space to better serve communication & decision making. Suggesting that the group membership be changed in some way.
Conceptual Inputs (potentially confrontive)	Education the client. Offering theory, models, etc. that may help the client's sense of perspective, ability to see new choices, etc. Probably avoiding making connections for the client; letting the client make his own connections between the theory and what is happening.	Educate the group ...

Based on the work of Edgar Schein in *Process Consultation*, Vol. II, Addison-Wesley, 1987

Roles from which OD efforts can be initiated

The parish role you are in will make intervening easier or harder. In each role the person is using change agent knowledge and methods in a process of parish improvement.

THE ROLE	***CHARACTERISTICS***	***BENEFITS***	***COSTS***
The Rector The Rector (or vicar, priest-in-charge) is somewhat comparable to an executive director or the manager of a department. These are all people with the primary responsibility to take action for system improvement. Parish Development Team - an extension of the rector's authority; team shares responsibility for improvement effort. This would be similar when there are clergy or lay people on the parish staff who have been delegated some responsibility for system improvement.	Has the legitimate authority for shaping processes, structures and climate; also for initiating and monitoring. The person is visible and accountable.	Easier to make entry into the parish system. More focused on results. Has a very defined place in the parish.	May be drawn away from the improvement effort by other demands. Can become the target of the parish's cynics and those resisting changes.
Internal Consultant A role not usually seen in parishes though it can be done effectively under the right circumstances and by a person with the needed training and experience. In other organizations this person has a defined position within the organization that carries responsibility for consulting and training activities toward improvement. In such cases the person is not a manager with the authority to initiate OD efforts.	Visible. Is accountable to several sources (the internal client, the client's "boss"). Needs contracts with others in order to function.	Is part of the parish. Can develop a highly integrated sense of how to do an CD effort in this particular parish.	Less status than external consultants. Dependent on others for authority to function. Low influence. Political binds. May be under pressure to do projects or do them in a manner that violates own sense of good practice.
Internal Change Agent Any member or employee in the parish that acts for improvement on their own authority. Has no formal authorization for the effort.	Role is not formally defined or authorized. May call for low visibility. May be risky.	Acting on own values. Sense of purpose.	Risk of punishment - being ostracized, loss of job or membership.
External Consultant Not part of the parish's on-going life. Is contracted with to provide services to facilitate improvement. Generates own clients. Most commonly works alone.	High visibility. Temporary in the system. Has a formal contract.	Clear contracts. May see things the insiders fail to see. May be able to productively use dependence.	May be unfamiliar with the parish and its ways - may lead to misunderstandings, lack of integration in approach.