"In a general sense, the essence of each of the theories might be captured by considering whether the approach is more one of identifying and then implementing a predetermined outcome or experimenting and learning as you go."

# Planned and Generative Change in Organization Development

By Robert J. Marshak and Gervase R. Bushe

Organization Development (OD) has long been associated with, if not synonymous with, planned change. Early books such as *The Dynamics of Planned Change* (Lippitt, Watson, & Wesley, 1958) and *The Planning of Change* (Bennis, Benne, & Chin, 1961) helped establish planned change as one of the cornerstones of OD along with Beckhard's early definition of OD:

Organization development is an effort (1) planned, (2) organization-wide, and (3) managed from the top, to (4) increase organization effectiveness and health, through (5) planned interventions in the organization's "processes," using behavioral science knowledge. (1969, p. 9, emphasis added)

In recent years, however, an increasing diversity of ideas and methods in OD practice have emerged and begun to converge into an alternative "generative theory of change," and some of this has been conceptualized as Dialogic OD (Bushe & Marshak, 2009; 2014; 2015).

Concurrently, we have suggested that Dialogic OD is powered by attending to the generative nature of conversations (Marshak, 2004), of processes (Bushe, 2013a), of images (Bushe, 2013b; Bushe & Storch, 2015), and leaders (Bushe & Marshak, 2016). The purpose of this discussion is to compare and contrast planned and generative approaches to change and suggest the conditions under which either or both might be appropriate.

### Planned Change in OD

The roots of planned change in OD were planted early and run deep. Kurt Lewin considered his seminal approach to social change to be a form of planned change or social engineering.

(The) question of planned change or any "social engineering" is identical with the question: what "conditions" have to be changed to bring about a given result and how can we change these conditions with the means at hand? (Lewin, 1951, p. 171)

For Lewin and his followers, identifying what conditions needed to be changed, and the means to change them to bring about a "given result," involved conceptualizing behavior as a function of a field of forces that could be diagnosed and acted upon with targeted interventions to create movement towards a desired change goal.

A successful change includes, therefore, three aspects: *unfreezing* (if necessary) the present level, *moving* to the new level, and *freezing* group life on the new level. (Lewin, 1947, p. 34, emphasis in the original).

Without delving too deeply into all the underlying premises, nor exploring all the variations in practice, the main features of planned change in OD historically included:

» The current state is understood to exist as part of broader social, technological,

- economic, cultural, and political systems which influence existing conditions and action choices.
- » Dissatisfaction with the current state is recognized or induced.
- » The current state is presumed to be held in quasi-equilibrium by a field of social-psychological forces. Objective, fact-based diagnosis and analysis is used to distinguish the real problem from the presenting problem and to assess how to selectively alter the field of forces to unfreeze from the current state, create movement, and then refreeze the situation to stabilize a more desired state.
- » Diagnosis, assessment, and intervention choices and actions are carried out using participatory processes that involve those impacted by the change.
- » A desired future state is established as the goal of the change effort.
- » Change ideally occurs hierarchically working from top executive teams to middle and lower level teams and groups.
- » Leadership of the change is problem and performance oriented; and sanctions and directs change goals and processes.
- » The change agent partners with the system providing process consultation but not expert solutions.

This basic approach to planned change in OD is one form of "action research" and is usually considered to include the following steps in practice: entry, contracting, data collection, data feedback, diagnosis, action planning, interventions, and evaluation. The role of the OD consultant is as a change partner who recommends and facilitates client system processes and actions to insure valid data, informed choice, and commitment by those involved (Argyris, 1970). See *Figure 1* for one version of the OD planned change consultation model.

# **Generative Change in OD**

Cooperrider and Srivastva (1987) highlighted the essential "problem-solving" nature of this planned change process, arguing that the planned change model

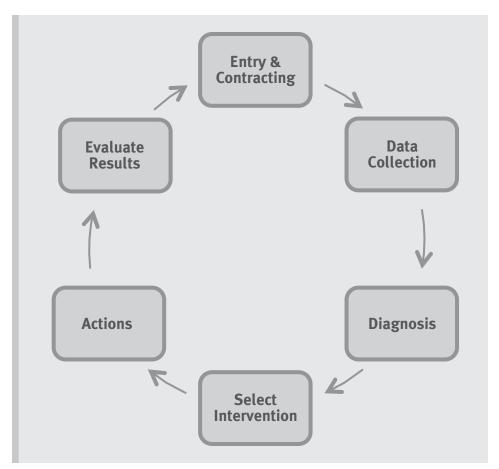


Figure 1. OD Planned Change in Practice

lacked the capacity to generate theories that led to new ideas and actions. They challenged OD with the question: If we made the search for "what could be," rather than "what is true," the focus of inquiry during planned change, would we create new and better theories? This broadside opened a field of inquiry and practice that led to the emergence of what we have called Dialogic OD.

Dialogic OD is a still developing mindset, reflective of a host of methods that represents the convergence of recent thinking about concepts of emergence and how social reality is constructed as applied to organizational change (Bushe & Marshak, 2014; 2015). Organizations are conceived to be complex, responsive, meaning-making systems, wherein narratives, stories, metaphors, and conversations continuously construct social reality through the day-today interactions of organizational members. Diagnosis of problems is eschewed in favor of inquiry and generative processes that help stimulate the emergence of new and potentially transformational insights and possibilities that are especially needed

when facing highly complex, novel organizational challenges (Marshak, 2013). Leaders and consultants can help foster, support, and/or accelerate the emergence of transformational possibilities by encouraging disruptions to taken-for-granted ways of thinking and acting and the use of generative images to stimulate new conversations and narratives. Because social reality continuously emerges through any and all interactions, the consultant is always part of the unfolding processes of stability and change rather than a neutral facilitator who stands apart from the system.

Generative change theory is based on different premises from those in planned change theory. These premises include:

- » An organizational dilemma, disruption, or compelling desire triggers a search for new, "adaptive moves" that are different from current ways of thinking.
- » Leadership recognizes the systemic context of the situation, is future focused, and open to possibility-centric framings of the issue.
- » Leadership is willing to enlist and engage a range of stakeholders in

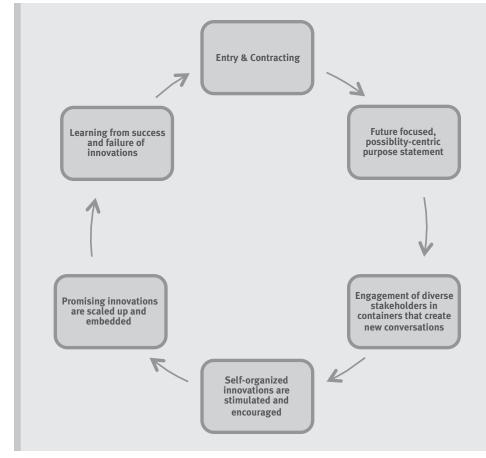


Figure 2. OD Generative Change in Practice

- interactions and inquiry, with a purpose » but not a goal or specific outcome in mind.
- » The current state is presumed to be fluid with the prevailing narrative(s) that guides thought and action being continuously socially constructed through ongoing conversations and social interactions.
- » A diversity of perspectives and narratives are enlisted and encouraged within safe containers to help challenge prevailing narratives and provide new insights, awareness, and possibilities.
- » New ideas, creative possibilities, generative images, and new shared narrative(s) emerge from those interactions stimulated, framed, and guided by generative leadership (Bushe & Marshak, 2015).
- » Change occurs through experimentation and iterative moves as emergent strategies, probes, and new adaptive ways of thinking and acting are carried out by participants throughout the system.

- Leadership assesses the systemic factors and forces impacting the situation and focuses not on identifying and directing the change, but on leading the processes of emergent change with special attention given to modeling, nurturing, and embedding changes that prove successful in a learn as you go approach.
- » The change agent partners with the system providing collaborative consultation but not expert solutions. Furthermore, the change agent is considered to be part of the on-going social construction of reality and not able to stand apart from it as a neutral, objective actor (Bushe & Marshak, 2015).

This basic approach to generative change in OD utilizes a variety of methods for creating containers where new kinds of conversations can take place, but generally has the following steps: entry and contracting; identification of a purpose that is future focused and possibility-centric; the engagement of diverse stakeholders in ways that generate new conversations; the

stimulation of self-organized innovations amongst those stakeholders; leadership actions that monitor, scale up and embed promising innovations; and learnings from success and failures lead to new adaptive moves. See *Figure 2* for a representation of the practice of generative change in OD.

# Comparing Planned and Generative Change

A brief contrast of some of the important differences between the planned and generative change theories is provided in Table 1 (next page). The emphasis here is on contrasting the two, but it is important to note that both theories are forms of OD sharing the same or similar bedrock values: a participatory, collaborative approach to working with client systems (Bushe & Marshak, 2015); and the use of engagement and inquiry to improve an organization while working on a specific issue (Bushe & Nagaishi, 2018). The dimensions in the table should be understood as the main tendencies or areas of emphasis for each theory rather than black and white dichotomies. Thus, a planned change approach might mainly use analytic methods such as survey research and quantitative data presentations but might also use an analogic method such as drawing a picture at some point in the change process to stimulate more creativity. Similarly, a generative change approach might mainly seek to stimulate innovations using creativity methods, but also augment that approach with some data analyses or scientific findings to further ground the discussions.

Approach. In a general sense, the essence of each of the theories might be captured by considering whether the approach is more one of identifying and then implementing a predetermined outcome or experimenting and learning as you go. Recall that Lewin himself referred to planed change as a form of social engineering. Diagnosing the factors and forces that need to be modified in order to realize a predetermined change goal and applying known social technologies are all central aspects of planned change practice and all are aspects of engineering an outcome. In

contrast, generative change practice places emphasis on stimulating experiments that go beyond current thinking and learning from and scaling up what works.

**Reasoning.** The planned change approach relies predominately on analytic reasoning where what to do and why to do it is driven by collection and analysis of valid data combined with diagnostic reasoning. While generative change practice might include use of data-based reasoning it relies more heavily on analogic methods to stimulate "out of the box" creativity and innovative thinking. These could include use of metaphorical reasoning; scripted or improvisational theater; sculpting, drawing, or otherwise constructing analogs representing the situation or challenge; re-authoring the story of why things are the way they are; inviting people to "café discussions" or to speak in positive not problematic ways; and so forth.

**Thinking.** Edward de Bono (1970) introduced the concepts of vertical (logical) and lateral (creative) thinking to describe two different thinking processes that also help capture some of the essential differences between planned (vertical) and generative (lateral) change thinking. According to de Bono:

- "Vertical thinking is selective, lateral thinking is generative" (p. 39).
- "Vertical thinking is analytical, lateral thinking is provocative" (p. 40).
- "With vertical thinking one uses the negative to block off certain pathways. With lateral thinking there is no negative (p.42).
- "With vertical thinking one uses information for its own sake in order to move towards a solution. With lateral thinking one uses information not for its own sake but provocatively in order to bring about repatterning" (p. 45).

Planned change fits with vertical thinking processes that break down situations into component parts and analyze data and experience to work through to solutions. Generative change works with lateral thinking processes that attempt to extract oneself

Table 1. Planned and Generative Change Emphases

| Aspects          | Planned Change  | Generative Change   |
|------------------|---|---|
| Approach:        | Social engineering                                      | Social innovation   |
| Reasoning:       | Analytic  | Analogic  |
| Thinking:        | Vertical  | Lateral   |
| Methods:         | Scientific and engineering oriented                     | Dialogic and social agreement oriented                      |
| Role of Leaders: | Performance oriented and directive                      | Possibility oriented and supportive                         |
| Outcomes:        | Solutions to problems and/or to achieve a desired state | Adaptive actions and/or transformation                      |
| Use when:        | State-of-the-art approaches and solutions exist         | Beyond state-of-the-art approaches and solutions are needed |

from the current framing of situations to develop fresh perspectives and solutions.

Methods. The methods or social technologies that have framed most of the OD planned change approaches over the years are based in scientific or engineering thinking. That includes an implicit embrace of positivism and that the social world and the people in it can be measured, analyzed, acted upon, and developed in predetermined ways to realize desired outcomes "using behavioral science knowledge" (Beckhard, 1969, p. 9). The prescription of data collection, diagnosis, and feedback methods as core elements of OD action research is a good example of this. The assumption is that based on objective assessment of the facts, leaders will make good decisions about what needs to be changed and be able to plan implementation of those changes.

Generative change on the other hand is not based on objectively studying and acting on something to realize predetermined outcomes. It is based on sociological thinking about how social interactions continuously create the world we experience and thinking in physics and biology about how systems self-organize to adapt under complex conditions. Conversations and social agreements amongst people create, maintain, or destroy "reality" anew each moment, and organizational change results from changing the on-going organizational conversations and implicit

social agreements about what is right and possible. Diverse and marginalized perspectives are intentionally included to disrupt established narratives and stimulate creative, generative possibilities. Since people act on how they make meaning out of their experience, and everyone creates their own experience, what emerges in any interaction is not fully predictable. The emergence of transformational outcomes can be intended and encouraged, but not pre-planned. The assumption is that through launching a variety of pilot projects, leaders will find out what will actually work and be able to scale up and embed successful pilots.

Role of Leaders. In planned change, leaders are predominately problem and performance oriented (Bushe & Marshak, 2016). When partnering with an OD consultant, they are open to ideas and inputs but usually maintain a directive role regarding specifying change outcomes and to a degree sanctioning change methods. They often assume the mantle of a visionary leader who analyzes and advocates for their desired outcome(s) with the help of a consultant. In generative change the leader acknowledges uncertainty about the complexity of the situation and his or her ability to analyze or direct effective actions. Instead the leader supports methods that encourage those who will have to change to identify and act on local innovations and learn as they go (Bushe & Nagaishi, 2018).

The leader therefore assesses the situation, acknowledges its complexity, and becomes supportive of engaging a diversity of actors in ways that sanction and encourage innovation. The leader may set boundaries (such as time and cost) to delimit the full range of possibilities to some degree but avoids the directive role. Once new possibilities are tested in small ways the leader then endorses, provides resources to support, and otherwise advances the most promising possibilities.

**Use When.** At this point in time, practitioners are using intervention approaches mainly based on one or the other change practice with aspects of the other approach perhaps included in some way. For example, a data-feedback, diagnosis-driven, team building intervention that might include some creativity activities. This makes it difficult to categorically assert which practice is being employed and when one approach might be better than the other. Most important of course is for practitioners to under-

Technical problems are considered to be easy to define, amenable to clear-cut solutions, require changes to one or a few variables, are usually accepted by those impacted, and solutions can be quickly implemented based on the authority of the leader or a recognized expert. Adaptive challenges, on the other hand, are difficult to clearly define, require changes to multiple variables in multiple parts of the organization possibly including with outside stakeholders, are frequently denied or resisted, and solutions or courses of action come from experiments and new discoveries suggested by the people impacted by the situation and cannot be implemented quickly or by command.

**Outcomes.** Especially in its early decades, planned change in OD, as described in the leading texts of that period, was intended to resolve problems or achieve a desired state. Following Lewinian thinking about force fields and refreezing changes, planned change approaches also explicitly or implicitly sought to comprehensively understand a situation and then develop an intervention approach that would lead to a lasting "solution." In the generative change approach, being able to comprehensively understand/diagnose a situation and seek a lasting solution does not make sense. Instead the approach is to bring diverse and marginalized perspectives together in ways that facilitate or encourage the emergence of agreed upon adaptive actions that are the best option in the moment knowing that organizing is a continuous iterative process of adaptation (Bushe & Marshak, 2018).

stand the premises and logic of whatever approach they are taking and why, besides personal preference, they wish to use it.

Two typologies of decision situations facing organizations and their leaders could help in thinking about which approach might be taken in a particular situation, with aspects of the other approach blended in as appropriate. In one model there are four types of decision situations: Simple, Complicated, Complex, and Chaotic (Snowden & Boone, 2007). In simple and complicated situations, leaders can assess and analyze what needs to be done based on known cause-effect relationships, whereas in more complex and chaotic situations cause-effect relationships are not apparent or known, and leaders need to try more innovative actions based on experiments and novel approaches. In another typology (Heifetz, 1998), leaders of organizations face two different decision

situations that call for different responses: technical problems and adaptive challenges. Technical problems are considered to be easy to define, amenable to clear-cut solutions, require changes to one or a few variables, are usually accepted by those impacted, and solutions can be quickly implemented based on the authority of the leader or a recognized expert. Adaptive challenges, on the other hand, are difficult to clearly define, require changes to multiple variables in multiple parts of the organization possibly including with outside stakeholders, are frequently denied or resisted, and solutions or courses of action come from experiments and new discoveries suggested by the people impacted by the situation and cannot be implemented quickly or by command.

Based on these typologies of the conditions and contexts associated with potential change efforts, the logics of the two change approaches suggest that OD planned change practices may be more applicable for addressing situations that are less complex, where cause-effect relationships can be predicted and where there are established methods for seeking to realize established outcomes. More complex contexts where cause-effect relationships are uncertain and unpredictable, and only knowable in retrospect, might be more amenable to generative OD change practices. These contexts create adaptive challenges that call for more innovative thinking and actions.

## **Examples of Each Theory in Action**

**Planned Change Example.** An example of planned change might be a consumer products company serving an identifiable and somewhat homogenous customer population. The leader seeks to improve their "consumer experience" based on survey reports for the past several years. The top team of executives is in general agreement that something needs to be done and there are some models from other rival companies that can be bench marked. There are also disagreements on exactly what is causing the poor survey results, what exactly should be done, how much it might be a systemic or one or a few units' issue, where responsibilities lie, and the like. There is

also initial general agreement of the kinds of consumer experience, as measured by the surveys, that is desired. In this case, a planned change approach sanctioned by the leader and top team that assesses the situation; involves relevant organizational actors; includes inputs representative of consumers; analyzes the forces for and against achieving the desired outcomes; identifies specific implementation actions such as improved coordination between several units, an improved IT sales system, adjustments to reward and incentive systems, and changes in budget priorities could be completely appropriate.

**Generative Change Example.** An example of generative change might be a health care organization serving a global customer base of medical practitioners and patients dealing with a range of difficult to address diseases and afflictions. There is concern by some that the organization is failing at its historic health care mission, but others think things are going as well as possible. Some important donors and stakeholders are supportive of the status quo and others want improvement. The medically trained members of the organization are vertically silo'ed by their specialties and agree on very little other than their specialty needs more money. What patients want and need varies by the nature of their disease and medical condition and is compounded by different health care practices and cultures in the global communities the company seeks to serve. There are also technological and medical innovations coming down the road that need to be considered, such as the greater use of IT and robots in health care. Unfortunately, the complexity of the situation, wide range of perspectives, lack of agreed upon criteria compounded by the lack of clear agreement on what the mission of the company should be going forward, whether more desirable outcomes are actually realistic enough to aim for, and a highly differentiated management team have made it difficult to agree on a planned change approach or specific desired outcome. Knowing something must happen, understanding the complexity of the situation, and being willing to adopt and support a change process

intended to lead to some productive, but unspecified, innovations, the leader of the organization sanctions a generative change effort. Instead of listing the problems to be addressed and resolved, the purpose of the change effort is broadly stated as: "Improve our ability to enhance the quality of life of all we serve and touch." A series of generative change approaches that bring together highly diverse groups of people from inside and outside the organization in settings intentionally designed and facilitated to encourage challenges to conventional wisdom and emergence of new ideas (possibly using creativity methods) are launched. At the first workshop after the initial round(s) of familiar ways of talking about the company, its mission and challenges, one of the participants gets up and says, "We have to be more like an aqueduct. Strong vertical pillars supporting lateral channels of life giving substance that flow from us to the people and communities we serve." The participant then drew a rough diagram of an aqueduct. Somehow this image captured something new and exciting in the participants who began to talk about how their company and what they do could be more like an aqueduct. Small groups were encouraged to form around some aspect of the organization that would help make it more like an aqueduct. These groups developed rough ideas never previously considered and were encouraged to continue working on them after the workshop. Some of these early ideas were considered highly promising and were endorsed by top leadership while others fell by the wayside. The image of a life-giving aqueduct had not started out as the desired end state but had emerged as an energizing generative image to create new ways to think and talk about the organization, its mission, and what needed to happen.1

The thoughts and reactions of potential client leaders is also a major consideration. Planned change might be more appealing and less anxiety-inducing to leaders wanting more assurances that an intervention approach will guarantee the desired outcome (Gilpin-Jackson, 2013;

Marshak, 2016). Generative change might be appealing to a change leader facing an intractable wicked-problem, knowing that current thinking and approaches have not worked and who is willing to pursue an innovation-oriented rather than engineering approach. Blended approaches are also possible as long as the change agents understand the premises and reasons behind their choices. For example, an overall planned change process might lead to the inclusion of a generative change approach for a particular aspect of the situation that requires more "out-of-the box" thinking. And, an overall generative change approach might lead to a promising innovation that could benefit from planned change thinking to fully implement.

# **Concluding Comments**

The purpose of this article is threefold. First is to attempt to delineate two viable theories of change that are currently underlying intervention approaches used by OD practitioners. One emerged during the origins of the field and is based on premises that assert that changes can be planned or engineered. The other emerged from more recent theories and premises that assert changes can be intended and encouraged, but not planned in the sense of being able to control and act on social situations.

Second is to stimulate the thinking, texts, and teaching within the OD community to recognize and articulate models of change that are effective, but don't adhere to all aspects of the traditional Lewinian planned change model. This might also encourage further development and innovations regarding these approaches, and perhaps other approaches appropriate to even more chaotic and disordered situations.

A third purpose is to stimulate the thinking of practitioners who currently may be using one, both, or a combination of these two theories of change in their practices. Greater clarity about the underlying premises of whatever change practices are being used or offered might help consultants to be more effective in their practices and more clearly and confidently explain to an anxious client

<sup>1.</sup> This example is inspired by Huzzard, Hellström, and Lifvergren, 2014.

why a particular intervention approach is being suggested.

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