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THE BRAIN TRUST MODEL: A PROPOSED CHANGE

TO MODERN CHANGE MANAGEMENT

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Brian R. Epperson
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THE BRAIN TRUST MODEL: A PROPOSED CHANGE TO MODERN
CHANGE MANAGEMENT

A Dissertation APPROVED FOR THE
GRADUATE COLLEGE

BY

_____
Arthur VanGundy – Chair

_____
Chan Hellman

_____
H. Dan O'Hair

_____
William Ray

_____
Brigitte Steinheider

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both, unconditional in your love, perpetual in your support, and a sure and constant foundation. You are an unvarying source of strength and are my heroes. You have taught me how to lead.

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DEDICATION

To
Eden

ABSTRACT

The study of change management and innovation is a perplexing and challenging undertaking. A review of the literature revealed that change management practices and methodological frameworks are currently insufficient to counteract the challenges associated with leading and driving change within organizations. This exploratory study endeavored to ascertain the viability of a new, alternative organizational change and innovation model, the Brain Trust Model (BTM). The BTM combines the benefits of reliable NPD (New Product Development) processes, creative problem solving processes, and organizational change management principles to provide a robust and prescriptive methodological approach to change management. A three round Delphi study was conducted with leaders and experts within the profit, non-profit, non-secular, government and educational sectors to not only assess the practical utility of the model, but to realize improvements based on their expert participant feedback. Findings indicated that the BTM was considered a viable alternative to the traditional change management methodologies and could help mitigate the common obstacles to leading change. Finally, the study forwarded recommendations on steps to further augment the model and assess its applicability in varying organizational contexts.

TABLE OF CONTENTS

LIST OF TABLES

LIST OF FIGURES

Chapter I

Introduction

Change and change management are watchwords of modern day business and topics continually headlining business reviews and pop-culture business literature. The notion of the necessity for change has taken a persuasive hold in organizational systems. Furthermore, it is a phenomenon that invades all facets of the human existence and stands as a matter that must be contained and understood.

The nature of change and its relative place in society has changed very little from the beginning of time. History has provided a vast disparity of theoretical orientations aimed at defining and conceptualizing change in its most primitive form. The Greek philosopher Heraclitus (536 - 470 BC) advanced the conception that everything changes but change itself. While speaking of the nature and dynamics of change, he writes, "Everything flows and nothing abides; everything gives way and nothing stays fixed…You cannot step into the same river, for other waters and yet other go ever flowing on. It is in changing that things find repose" (Retrieved March 24, 2004 from http://community.middlebury.edu /~harris/Philosophy/Heraclitus.html).

This concept has remained resilient through the two millennia that followed. In *The Prince*, Niccollo Machiavelli's 1513 treatise on how to secure and maintain political power, he addresses the complexities of change by warning that "there is nothing more difficult or dangerous, or doubtful of success than to introduce a new order of things" (Machiavelli, 1513/1998, p. 21). Three hundred years later Darwin stated "It's not the strongest species that survive, nor the most intelligent, but the ones most responsive to change" (Retrieved March 02, 2004 from http://www.css.edu/users/ dswenson/

1

. More recently, Quinn (1996) contends that "all action systems must expand and grow, or they will contract and fall into a state of decay" (p. 168).

The origin of current change management theory has roots in the writings of Heraclites, Machiavelli, and Darwin. History has clearly mandated the necessity of change for survival. Failure to adapt will lead to obsolescence or extinction. The mandate is clear and while theoretically feasible, implementing change programs within an organization often fails to become reality.

Regardless of the perceptions held, the philosophical framework of the ancient Greek philosophers, the methodology of building kingdoms in the 16th century, or the business literature today, one can easily observe that throughout the span of the last 2000 years that change and the nature of change is continuous and quixotic.

As a businessman and officer of a corporation working in the field of industrial engineering and organizational change, I am responsible for designing, leading, and implementing five to six major organizational change initiatives each year. Because of this, organizational change is of particular importance to me both personally and professionally. The problems associated with leading organizational change are prevalent and the implications of a successful change management methodology are significant. The need for organizational change is apparent to me as I witness first hand the demands placed upon executives who possess a sincere desire to improve the state of things and generate a positive benefit as a result.

At the outset, business leaders eagerly cast a vision for improving a business function or process, set a plan in order to achieve the vision, and then quickly discover that although the change is necessary, they are uncertain as to how to achieve the vision.

Frequently they discover their employees resist the change and the time and money invested to turn their vision into success falls on deaf ears with chaos finally ensuing.

The demands to produce are acute. The desires of these executives are well intentioned. Nevertheless, more often that not, the efforts of these executives will fail without intervention and guidance. My role is to intervene and provide consultative expertise on change leadership and ensure the successful completion of change initiatives. Even with my experience in leading change, knowledge of change methodologies and the understanding of the cultural impact on employees, leading change and providing business leaders with solid results remains a daunting undertaking. The harsh reality is that these well-intentioned leaders, even with my expertise and assistance, are more likely to fail than succeed.

While contemplating these issues and attempting to develop a solid methodological approach to ensure the successful achievement of change initiatives, I realized that many of the factors relating to successful implementation of change are beyond my control. The literature is full of change methodologies but not one adequately addresses solutions that fully mitigate the risks of such undertakings or change dynamics at play in organizational change.

Change is an interesting phenomenon considering the diametrically divergent forces at work. One force, the inevitability of change, exists as a basic component of life and business. The equal and opposing force is the nature of individuals. It is an interesting problem when one considers that although the longevity of an organization depends on its ability to adapt to change; this tendency stands in stark contrast to the basic nature of individuals.

The purpose of this study will be to offer an alternative to the myriad of problems associated with the current body of change management literature and address the relative absence of what I believe to be viable solutions to leading change successfully within organizations. The bleak success rates (e.g. Anderson & Anderson, 2001; Maurer, 1996; Reger & Mullane, 1994; Strebel, 1996) of such a critical part of organizational life and society calls for a continued focus on developing and providing theoretical alternatives to the current change management literature.

The issue of change management is a unique phenomenon because while it is a necessity, it elicits powerful emotions and resistance. It is difficult and requires proactive senior leadership. It leads one to seriously consider the impact and vulnerability change brings to an organization. This is not to say that in the absence of sound theory, change will not otherwise occur as a by-product of an organizational initiative. Change will occur. The overriding question that remains is whether that change will result as a planned undertaking or one imposed by external forces, robbing control from leadership and shifting ultimate control and destiny of the organization to those external forces.

This study will also examine the nature of change within organizations and demonstrate why change is necessary and must be embraced. It will examine the individual effect of change on individuals. Also, it will detail the need for a leadership-driven change model, highlight the consultative and advisory role of change experts, propose a model to increase the chances of successful change implementation, and provide a structure to help mitigate the pitfalls of leading change.

Background of the Problem

Even nature itself stands in opposition to this ancient fact of life: Natural resistance to change. French chemist Henry-Louis Le Chatelier (1885) illustrates nature's resistance to change with his principle of mobile equilibrium. He writes, "If a system in equilibrium is disturbed by changes in determining factors, such as temperature, pressure, and concentration of components, the system will tend to shift its equilibrium position so as to counteract the effect of the disturbance" (Retrieved from www.bartleby.com/65/. May 23, 2004). Moreover, the change will be annulled by the system to the measure it is able to do so (Bourdieu & Coleman, 1991).

Although the literature on organizational change is in its infancy (Ketz de Vries & Balazs, 1999), we know the demand to progressively change is critical in order to adapt to an ever-evolving business environment. Despite the need or demand, the modern assault on objective reality as it pertains to organizational change continues even today. More often than not, we are left swimming in a swamp of subjective viewpoints on change with little ability to hang our hats on a theoretical hook that will bear the weight of our views and the burden of our endeavors.

Organizational armchair consultants, the popular project management literature, and the Organization Development field have all but turned organizational change into a subjective quagmire. Subjective impressions, experiential knowledge, and feelings about the nature of change are indeed valuable, but much of the literature lacks the objective, theoretical vigor required to establish a reliable and practical perspective of change and make it applicable in the modern business environment. The ever-increasing demand for answers is fleeting.

Years of research in the field of change has produced a vast disparity of theoretical orientations directed at increasing productivity through change and change management (Werr, Stjernberg, & Docherty, 1997). Yet, the proliferation of change literature has done very little to counteract the lingering problem of organizations' inability to produce change to ensure long-term organizational viability (Reger & Mullane, 1994). The bottom-line is that a majority of practices and methodologies devoted to change are wholly inadequate in their ability to drive successful change initiatives (Anderson & Anderson, 2001). These inadequacies are evidenced by a dismal failure rate – a failure rate that equates to one-half to two-thirds of all major corporate changes failing (Maurer, 1996). Strebel (1996) provides an equally pessimistic outlook when he states, "Change management isn't working as it should. In a telling statistic, leading practitioners of a radical corporate reengineering report that success rates in Fortune 1,000 companies are well below 50%, some say they are as low as 20%" (p. 86). Atkinson (2005) reports a much bleaker situation when he reports that organizational development research cites a 90 percent failure rate for change initiatives requiring culture change. Moreover, *Business Week* cites innovation firm Doblin, Inc. which contends that "96% of all innovation attempts fail to beat targets for return on investment" (Nussbaum, 2005, p. 63). This obviously is not satisfactory considering the critical role effective change management plays in organizational functioning and longevity. Change and innovation management methodologies directed at leading change are simply inadequate today. This inadequacy is based partly upon the management mechanics associated with leading change initiatives, but more periously, variables of change are often unknown or simply too complex to manage.

Nadler (1997), a leading expert on organizational change, writes, "The truth is that change is inherently messy. It is always complicated. It invariably involves a massive array of sharply conflicting demands. Despite the best-laid plans, things never happen in exactly the right order-and in fact, few things rarely turn out exactly right the first time around. Most important, the reality of change in the organizational trenches defies rigid academic models, as well as superficial management fads" (p. 3).

The inevitability of change, its unacceptable failure rate, and its complicated nature all demand a change. Organizations and their leaders cannot sit idle. The pressure to remain competitive is driving organizations to reconsider the subject of change and its application in day-to-day operations (Allaire, 1992). It has all but become a societal and economic requirement; either change or perish (Abrahamson, 2000; Reger & Mullane, 1994). Long-term competitiveness requires appropriately leading major change (Iskat & Liebowitz, 2003). A new model is necessary.

Consider the evidence of leaders in the change management field; "…the current change management paradigm actually increases bureaucracy, reinforces top down management, and increases cynicism and resistance, thereby making change more difficult than it needs to be. Although revolutionary at its inception, the change management paradigm is no longer sufficient for today's workforce and rapidly changing environment" (Axelrod, 2001, p. 22). In 1997 Pascale, Millerman, and Gioja state, "Most of what's been written about transformational change is either too conceptual and therefore too impractical, too inspirational, and therefore too vague, or too company specific and therefore, too hard to apply to one's own situation" (Pascale, Millerman, & Gioja, 1997, p. 127). Finally, "Hundreds of books and millions of dollars in consulting

fees have been devoted to leadership and organizational change. No issue of the past 15 years has concerned more managers or a wider spectrum of organizations" (Kanter, 1992, p. 15).

The discipline of organizational change was born out of the escalating demand to address change-based challenges within organizations and is now emerging as a fundamental focus for researchers (Dacin, Goodstein, & Scott, 2002). Organizational change has been traditionally viewed as an event, an incident, a one-time experience. However, the literature reveals that not only is change a core competency of strong companies; it is also a requisite for longevity. In short, organizational leaders who seek to successfully run organizations in this complex and ever-changing environment require the organization to not only handle change effectively, but also navigate the process of changing rapidly (Allaire, 1992; Dess & Picken, 2000).

In 1994, initiatives to drive change programs resulted in investments roughly equivalent to $30 billion dollars (Champy, 1996). The acceleration of modern day business norms and the increasingly dynamic nature of business demand a sense of urgency on leadership to not only understand change and its distinctiveness, but do so or face the possibility of extinction (Abrahamson, 2000; Amabile, 1996; Baird, 1990, Pollock, 1994; Reynierse, 1994; Quinn 1996). According to Kotter and Schlesigner (1979), organizations experience moderate to transformational changes every four to five years and this trend continues to increase (Cushman & King, 1994).

The ability to change and capitalize on the dynamic nature of business has become a competency that has elevated individuals like GE's former Chairman and CEO Jack Welch to a deity-like position among the business savvy. Welch has all but

rewritten the book on leadership in profit organizations and has, at least for today, created a cult following in the discipline of management. He possessed key distinguishing characteristics that precipitated his success and possessed a keen ability to foresee and drive change within GE, a legacy he will be remembered for well beyond the success of his changes.

Regardless, organizations must change to survive and the demand on leadership is great. A simple example is the railroad industry. A once unrivaled industry found themselves at the mercy of government bureaucracy and to the whims of whatever senator was willing to take on its cause. All things considered, this decline in prominence was brought on by the railroad's inability to anticipate the future and make the necessary changes to compete with the emerging technologies of that time. As mentioned before, the ability to change is paramount not only for improvement but, in many instances, survival. The market expects a return on investment reflecting current economic conditions. Shareholders demand dividends. The Board of Directors of most for-profit organizations seldom allow a leader or an organization to rest on its laurels.

Statement of the Problem

The problems of change are simple. Traditional organizational structures can be impediments to change, the complexities involved in the current organizational paradigm can prevent effective communication and knowledge sharing of actionable, useable data and can negatively influence buy-in, responsiveness, and adaptability.

Next, the phenomenon of change has been decreed as necessary but managed poorly. As previously mentioned, a new and business savvy change model is necessary. Change, in reality, cannot be managed; it must be actively led and it must be led from the

top. This may fly in the face of some of the current pop-culture business books, but ultimately one person has to make the tough decisions and lead change.

Finally, leaders are not fully equipped to lead change. They need a new tool to appropriately position the organization for a changing society and the mercurial business environment. Perhaps change management remains an enigma because the change management body of knowledge is incomplete. Change in change is mandatory.

Purpose of the Study

This research will attempt to provide a viable solution to the challenges of leading change by proposing a new organizational model and by leveraging the strengths of this new model to overcome the traditional organizational pitfalls associated with leading and managing change in today's marketplace. It will do this by examining the feasibility of an additional functional unit within organizations: An organizational think tank/brain trust. This model, and a corresponding functional entity, will serve as an alternative to the common use of internal and external management consultants for the purpose of instituting effective change.

The Brain Trust Model (BTM), as it is proposed here, as a problem solving tool, is a new addition to the modern organizational structure. Its purpose is to equip the CEO to lead and serve as a catalyst for change. Through utilizing change agents directly employed by CEOs and Boards of Directors, a viable solution to the problems of change is offered. This model will rely on the ability of leaders to drive change from the top.

If one accepts the notion that change must be driven from the top, it is only rational to support and equip CEOs and Boards of Directors in their quest to generate the ideas of change. The BTM is made up of individuals (e.g. internal consultants) who will

serve the CEO by framing challenges, generating ideas, solving organizational problems, enhancing the quality of decision making, and scanning the environment for changes outside the organization that will adversely affect the organization. The BTM will also seek to avoid the primary barriers to change. It should be noted that managers are not always open to change and often fight to maintain the status quo (Hambrick, Geletkanycz, & Fredrickson, 1993). However, in order to be truly effective, the culture of organizations must be established to create "buy-in" from mid-management who ultimately run day-to-day operations. Third, the model will seek to capitalize on the notion that wide-scale change must originate from the top. Finally, another benefit of the model is that it will capitalize on the strengths of group decision making and leverage for competitive gain.

The criticality for executive leadership support is looming on the horizon. It is projected, that as early as 2010, more than 50% of the workforce in the U.S. will be over the age of 40 and the undiscovered effect of the tens of millions of retiring baby boomers remains unseen both organizationally and socially (Fisher, 2005). A day of reckoning seems inevitable as "There's an imminent leadership crises at many big companies….they have less management bench strength than any time in memory" (Fisher, 2005, p. 124). This future leadership vacuum must be filled.

While the concept of internal organizational think tanks has not been utilized in organizations as proposed in the research, this new model has the potential to provide business and industry with a practical approach to reducing the common but multiple problems associated with innovation and change. It also will facilitate the assumption of the necessary traits for an organization's long-term survival.

Research Question

This study will examine the perceptions of the BTM as a new paradigm in leading change. More specifically, this study will examine the question:

RQI: "Is the Brain Trust Model (BTM) perceived to be of greater value than traditional change management methodologies in enhancing innovation and the quality of decision making".

Research Hypotheses

The traditional approach to change management and its associated literature has failed to yield successful change (Reger & Mullane, 1994). Current change methodologies are insufficient (Anderson & Anderson, 2001) and result in a 50-80% failure rate (Maurer, 1996; Strebel, 1996; Wellins & Murphy, 1995). The current change management methodologies are simply insufficient and unusable for today's business environment (Axelrod, 2001; Pascale, Millerman, & Gioja, 1997).

The BTM will be based on the assumption that groups develop a greater quantity and higher quality ideas than individuals (Hambrick & Finkelstein, 1987; Hollman, 1972; Shaw, 1976; Smith, 1989). However, the executive level of most organizations depends very little on team work and, instead, relies heavily on the decision making of the CEO (Katzenbach, 1998). Robert Reich (1987) writes, "Rarely do even big ideas emerge any longer from the solitary labors of genius. Modern science and technology is too complicated for one brain. It requires groups of astronomers, physicists, and computer programmers to discover new dimensions of the universe; teams of microbiologists, oncologists, and chemists to unravel the mysteries of cancer. With ever more frequency,

12

Nobel prizes are awarded to collections of people. Scientific papers are authored by small platoons of researchers" (p. 126).

Based on the review of the literature, four research hypotheses will be developed. The BTM will be presented as a framework and structure to facilitate idea and/or change innovation from its inception to implementation. The following hypotheses are proposed:

H1: The Brain Trust Model (BTM) will be perceived as fostering in organizations greater degrees of innovation than those organizations without the Brain Trust Model (BTM).

H2: The Brain Trust Model (BTM) will be perceived as enhancing in organizations the quality of decision making more so than those organizations without the Brain Trust Model (BTM).

The notion that change must be driven from the top is well documented in the literature (Burns, 1978; Cummings & Worley, 2001; French & Bell, 1999; Hambrick, Nadler, & Tushman, 1998; Kotter, 1995; Kouzes & Posner, 1997*;* Levesque, 1998; Nanus, 1989; Tichy & Devanna, 1986*;* Yukl, 1998). "Leadership produces change. That is its primary function" (Kotter, 1990, p. 35). The pressure is immense in today's business environment for leaders to bring change to their organization (Axelrod, 2001). However, the executive existence is harried and the position does not readily lend itself to contemplation and focused, structured decision making (Kotter, 1982; Mintzberg, 1973), thus increasing the likelihood of failure (Maurer, 1996; Strebel, 1996; Wellins &

Murphy, 1995). Traditional change management models simply do not adequately address the contextual reality of business.

Compounding the change leadership quandary, organizations in the profit, non-profit, non-secular, and educational sectors are unique in their individual characteristics and nuances. In the context of oversight, these different sectors require different leadership styles and approaches (Hooijberg & Choi, 2001). At an operational level, profit organizations are principally accountable to the achievement of financial performance while public (government) organizations are bound to policy and process requirements (Mulgan, 2000). Still, publicly traded organizations are held to the stipulations of the stock exchange on which they are traded. In the educational sector, "All public institutions are evaluated by boards of trustees and statewide governing and coordinating boards on their effectiveness in meeting public needs….. Nonprofit colleges must meet many standards that for-profit businesses do not" (Heller, 2003, p. 8).

The chief purpose or central activity of religious or non-secular organizations is worship, followed by the education of its membership (Jeavons, 2003). In addition, a further distinguishing characteristic of non-secular/religious organizations and secular nonprofits is the recipients or beneficiaries of their organizational initiatives. Non-secular/religious organizations tend to service the elderly while secular nonprofits tend to stress service to children, families, and building the skills of the labor force (Twombly, 2002).

 Like profit organizations, non-secular/religious organizations are primarily resource independent and are typically able to chart their own course, while non-profit organizations are often forced to alter their goals and mission in order to secure external

funding. [Note: According to Jeavons (2003), unlike non-profit organizations, at least 80% of non-secular/faith based organizations' financial support is generated from within.]. This is not insignificant since faith-based entities tend to be financially healthier than their secular counterparts (Twombly, 2002). This financial independence provides a great degree of autonomy and self sufficiency in strategic direction and decision making.

As it applies to resource dependency, religious organizations differ from secular organizations since religious organizations rely heavily on volunteers (Jeavons, 2003), which undoubtedly has implications on operational effectiveness. However, according to Twombly (2002), faith-based organizations allocate more financial resources toward management than do secular organizations.

Differences in sectors can also be manifested in job satisfaction and commitment (Steinhaus & Perry, 1996). Nonprofits tend to deal with sophisticated and complex politics in how and where financial resources are invested, tend to be more conservative, and tend to assume a more risk averse stance. Profit organizations tend to be more male, hierarchical and competitive than the female, participative and cooperative culture of nonprofit organizations. Organizationally, nonprofits are primarily made up of a number of autonomous, sovereign organizations while profit organizations are centrally managed (Berger, Cunningham, & Drumwright, 2004). Relative to leadership styles, leaders in the public sector tend to manifest less of a goal orientation and gravitate toward a more facilitative leadership style than private, for profit leaders (Hooijberg & Choi, 2001).

Research indicates significant differences between organization types, most notably, differences in the public and private sectors (Denhardt, 1984; Harmon & Mayer,

1986; Hooijberg & Choi, 2001). Addressing the individual performance nuances between profit, nonprofit, and government entities, Peter Drucker (2004) contends that business can abandon activities and is often forced out due to competition and market forces. This characteristic has forced business to embrace change and take on a more nimble and dynamic philosophy (Drucker, 2004). Equally, the immunity to competition and market forces has weakened government in the areas of operational performance. Drucker states, "Government has to regain a modicum of performance capacity" (p. 54). He goes on to write that all institutions other than profit enterprises were created initially to prevent or slow change and only experience change as an imposed requirement (2004).

There is little question as to the "results-based" successes that competition can foster within organizations. The management philosophies of public and educational institutions have been greatly influenced by the management techniques of private, profit organizations. In fact, business process reengineering,—a technique for improving operations and increasing efficiency in manufacturing,—has taken prominence as an operational efficiency method in the public sector (MacIntosh, 2003). In the public sector, competition and multiple customer options are generally not a significant issue that they must contend with for their success (Mulgan, 2000). As a result, they are typically less responsive to customers and dissimilar to profit organizations in that they can discontinue purchasing a product or pull their investments out of the company. As a result, profit organizations are very much at the vagaries of the consumer or investor; thus forced to be more responsive and adaptive.

However, the profit model is not without its share of challenges. Letza, Smallman, & Sun (2004) argue that the popular privatization trend as a means to increase

16

efficiency is unproven. The inadequacies of the profit operational context can be manifested in a variety of ways. For example, in a controversial study reported by Bell (1999), for-profit health organizations apparently do an inferior job of caring for patients. This inevitably hurts the quality of health care patients receive. In a 2002 study cited in *Modern Healthcare*, "researchers found in the analysis that investor-owned hospitals had fewer skilled personnel – such as physicians, nurses, and pharmacists – per bed. For-profit hospitals….cut corners and minimize the staffing of skilled personnel because they have two fiscal pressures – earning good returns for shareholders and paying income taxes – that not-for-profit hospitals don't face" (Galloro, 2002, p. 10).

Nonprofit organizations have many notable exceptions to the profit business philosophy and management techniques. They possess less latitude in decision making and leading than private organizations and stress goals and the achievement of goals less than private organizations (Hooijberg & Choi, 2001). Moreover, private or for-profit organizations differ from public (government) sectors in that private organizational goals are more concrete and specific as a result of the economic implications of their delivery. Additionally, turnover tends to occur more in public than private organizations and public organizations often provide greater job security (Baldwin, 1987). Hickson, D. J., Butler, R. J., Cray, D., Mallory, G. R., and Wilson, D. C. (1986) found that decision making in public organizations is manifest more by a sporadic, ad hoc approach than their private counterparts. Of course, public organizations are subject to external rules, laws, regulations, and formalization more so than private organizations due to the population they serve.

The operating environment that is created as a result of the constraints of nonprofits may be viewed as less than optimal and may result in a "second class" operating stature in comparison to its highly efficient profit counterparts. Despite it being relegated to an inferior caliber relative to their management techniques and efficiency, over the last several decades, non-profit organizations have increased their scope of activities and have grown to play a significant and positive influence on the economy in societies where their growth is being realized (Anheier & Ben-ner, 1997). Changing demographics (i.e., the retirement of the baby-boomers and the increased involvement of women in the work force) have given rise to a greater demand for non-profit and government services (Anheier & Ben-ner, 1997). In fact, nonprofits and public organizations have taken on a more humanitarian, altruistic persona as older managers are more esteemed than those in profit organizations (Hooijberg & Choi, 2001).

The differences in the aforementioned sectors are not trivial. In fact, research has borne out that the operating philosophies of organizational sectors are so disparate that different organizational types (i.e. profit and non-profit) will struggle to work together as a result of the discord caused by differing objectives, values, cultures, management style, and approaches to management (Berger, Cunningham, and Drumwright, 2004).

H3: The Brain Trust Model (BTM) will be perceived to increase the capabilities of leaders to drive effectively change programs within profit, non-profit, non-secular, government, and educational organizations more than traditional change management models.

Effective decision making has become an increasingly important skill in organizations as individuals are perpetually required to make immediate decisions with little time to reflect on potential outcomes (Russo & Schoemaker, 2002). However, there is a perpetual lack of decision making/innovation discipline in organizations which has resulted in unpalatable failure rates. One factor is the inability of organizations to discontinue projects once they have begun (Cooper, Edgett, & Kleinschmidt, 2002). One of the primary causes of project innovation failure is the lack of structured, disciplined decision making and innovation models (Russo & Schoemaker, 2002). This lack of decision quality often sets projects up for failure. While the leadership and decision making of management does play a critical role (Drucker, 1993), it is not just in exceptional situations that leaders are making decisions on projects based on deficient knowledge (Seglin, 2000). The composition that a structured decision making and innovation model can provide is preeminently important to quality decisions and organization change success. There must be a critical method of "framing" a problem in a structured and methodical format (Russo & Schoemaker, 2002).

Decision making methodologies should not be perceived as a surrogate for corporate executive decision making; on the contrary, methodologies for decisions are intended to enhance and improve the quality of decision outcomes, thus enhancing the likelihood of success. The BTM is designed to provide a structured approach to decision making based on a knowledge base previously only modestly applied in most change management methodologies. The structured approach will likely precipitate a higher likelihood of success as a result of a systematized, disciplined approach to decision making.

H4: Change initiatives using the Brain Trust Model (BTM) will be perceived as having a higher likelihood of overall effectiveness than those not using the Brain Trust Model (BTM).

Potential Limitations of the Study

This research study does not seek to account for all the reasons individuals resist change within organizations or propose how resistance may be overcome. Nor will the research endeavor to empirically test a methodological approach on how change can be generated or implemented successfully. The purpose of the research will be to determine the perceived viability of the BTM by examining expert perceptions of the model in comparison to traditional change management methodologies.

Second, the generalizability of the study will be nominal, as the purpose of the research is exploratory and will be based on the expert opinions of individuals in the field of organizational change. An additional factor related to the generalizability of the study is determining the viability of this model working at the lower echelons of the organization. The study will not include research in these lower echelons.

Finally, a weakness of the research is that the sample will be regionally based and derived from a convenience sample. Nevertheless, the research will focus on organizations of all sizes and all types. The only delimiting criteria in the study are the use of organizations of 50 or more members and the inclusion of profit, non-profit, non-secular, and educational organizations in the study.

Definitions of Terms

For the purposes of this research, organizational change will be viewed as organizational-wide change, not incremental, small-scale change. Examples of

organizational-wide change may include a change in business plan, an organizational restructure in the adaptation of a new technology, or a major improvement of a business department.

Organizational Change: The term organizational change is used here to denote any alteration in the form, nature, content, or future course of an organization or organizational output. The focus will be on the phenomenon of organizational transformation, which may be defined as "a multidimensional, multi-level, discontinuous, radial organizational change involving a paradigmatic shift" (Levy & Merry, 1986, p. 5). Paradigmatic change is defined as an alteration to an organization's "beliefs, values, structure, policies, and operations" (Levy & Merry, 1986, p. 13).

Innovation: For the purposes of the research, innovation is defined as the commercialization and / or institution of creative ideas and strategies. It is usually contingent upon creativity and the generation of creative ideas. Innovation almost always includes a generic improvement of some activity or good and typically constitutes the introduction of something completely new or inventive to the observer.

Change Strategies: Change strategies are defined as methods used by those who would alter the practice of some organization, institution, or other group to incorporate new knowledge, products, procedures, or values toward improved service or results.

Think Tanks: "Think tanks" are independent organizations that aspire to improve policy and decision-making through consideration of relative advantages and disadvantages of ideas and innovation. They are defined by *The Encyclopedia*

Britannica (2003) as "an institute, corporation, or group organized for interdisciplinary research" (as in technological and social problems). Wikipedia.com defines think tanks as, "… a group of individuals dedicated to high-level synergistic research on a variety of subjects, usually in military laboratories, corporations, or other institutions. Usually this term refers specifically to organizations which support theorists and intellectuals who endeavor to produce analysis or policy recommendations (Retrieved February 7, 2005 from http://en.wikipedia.org/wiki/Think_tank).

Chief Executive Officer (CEO): The individual who holds the highest leadership, administrative position within an organization. This individual will have ultimate supervisory responsibilities over all functions within the organization as well as performance responsibilities to the Board of Directors and internal and external shareholders.

Summary

The role of the BTM as an alternative solution to the challenges of leading sustained change is of increasing importance as the standards of effectiveness and quality continues to rise in our mercurial economic market. This exploratory research will attempt to demonstrate the need for the services the BTM can offer and demonstrate its effectiveness as a viable alternative to today's change management methodologies.   The study will consist of the following topics: a review of the literature, a mixed methods approach to research design, an analysis of the research findings, and the results of the research findings. The review of the literature will focus primarily on three categories: 1) Change discipline methods, 2) Resistance to change, and 3) The role of leadership in

leading change and the various support alternatives available. Chapter Two will attempt

to define organizational change and provide the reader with a historical overview of the

various change methodologies. It will detail some of the most referenced change

management methodologies, illustrate and highlight the need for change, and provide a

synopsis of the various forms of resistance to change. Finally, it will address the

necessity of leadership in driving organizational change and discuss the role of

consultants in leading change.

The review of the literature will also highlight the predominant research in the

field of organizational change and will seek to critique the viability of the previous work

as well as provide a theoretical and pragmatic justification for the BTM. Finally, the

BTM will be introduced and the various applications will be outlined.

Chapter II

Review of the Literature

The focus of the research is to reveal the elements at play in the current change management system both in practice and theory. This chapter is organized according to the various components highlighted in Figure 1.

Warren Bennis (1989) states, "Change is the metaphysics of our age" (p. 25). Other organizational theorists contend change is a constant in all contexts (Drucker, 1995; Kanter, 1991).   The literature is replete with definitions of organizational change (e.g. Argyris, 1976; Mintzberg & Westley, Tushman, Newman, & Romanelli, 1986). Change management has its roots in Kurt Lewin's (1951) three-stage change model. Lewin's change model posits a three-stage process consisting of the following steps: 1) unfreezing the old behavior (or situation), 2) moving to a new level of behavior, and 3) refreezing, the behavior at the new level. Lewin viewed the change process as a fundamental alteration or change in the forces that kept a system in stasis (Cummings & Worley, 2001). According to Lewin, an organization will go through the process of making preparations for change, developing the impetus for change, implementing change, and then will strive to reestablish stability or reach stasis.

Lippitt, Watson, and Westley (1958) make an important contribution to the field of change literature by conceptualizing the origins of change through the categorization of change into types: spontaneous, evolutionary, fortuitous, accidental, and/or planned. More recent theorists have categorized change according to developmental change, transitional change, and transformational change (Anderson &Ackerman-Anderson, 2001).

Figure 1: Visual of the Review of Literature and Brain Trust Model
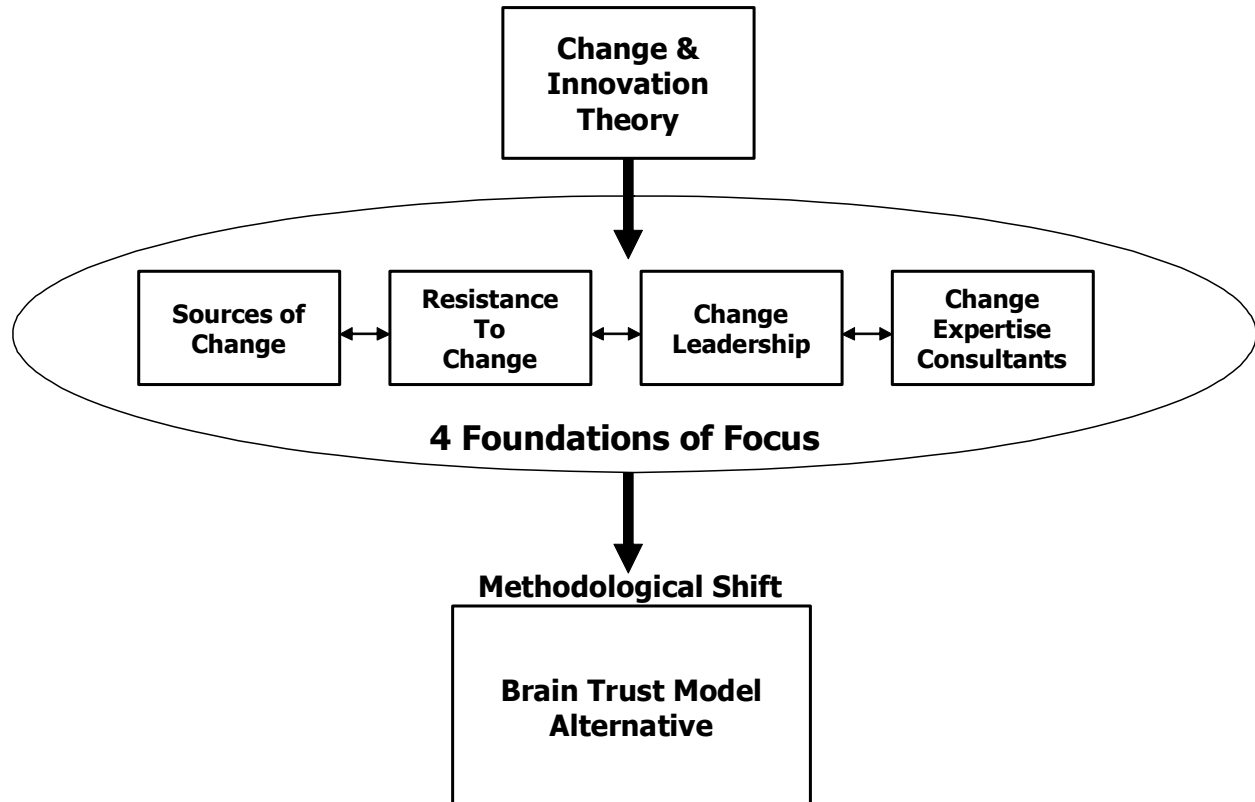
Based on a field study conducted in a sample of organizations, Elgin (1977) developed an organizational change model consisting of seven steps: 1) Growth and efficiency, 2) Decline, 3) Crises, 4) Muddling Through and Procrastination, 5) Chaos, 6) Back to basics, and 7) Transformation and revitalization. The overall premise of Elgin's work was based on the view that in any organization there is a predominant and overarching belief system or philosophy. This belief system is the underlying philosophy or manner by which operations and the organization as a whole are managed. In time, events or external factors challenge the legitimacy or viability of this belief system and crises ensues. The constituencies who believe the system or beliefs should remain solid call for a "back to basics" mindset. According to Elgin, if the situation or event demands it, conducting business as usual leads to further crises, thus precipitating change.

Supplementing Elgin's staged view of change, an equally respected view of change emerged from Nicoll (1980). He posits a model that seeks to explain the states of change. The model is based on the stages: Fertilization, Crises, Diffusion, Struggle for Legitimacy, and Legitimization. 1) Fertilization: Change is initiated through the process of new ideas, thoughts, views, assumptions, and beliefs that view things in a radical or new way. Fertilization can be precipitated from the outside or inside of an organization and begins to take hold within organizations thus creating the impetus for sparking change. 2) Crisis: According to Nicoll, change or "paradigm shifts" require a force, an occurrence to shock the current system and force the issue of change. This step involves a crisis which the current system is unable to handle or manage the risk. When this occurs, the organization must make alterations in process or nature in order to manage the crises. In time the prevailing paradigm must shift to deal with the crises. 3) Diffusion:

The process of diffusion is manifest via the idea or force for change to be disseminated into the organization through the process of communication and jargon. This step is revealed by the diffusion of labels (e.g., Theory X and Y, Generation X) that according to Nicoll, help perpetuate the diffusion of an idea. 4) Struggle for Legitimacy: For the "new order of things" to take hold and become the dominant paradigm, the "new" environment or paradigm must make a claim for legitimacy in the eyes of its organizational members. The change or new state must compete or be better in form and nature than the old or previous form. 5) Legitimization: Finally, for a new paradigm to truly be established it must be ingrained in the organizational culture and become part of the day to day activities.

Akin to Nicoll's third stage of change, Everett Rogers' (1995) Diffusion of Innovations theory attempts to account for how change or innovations are introduced to a population. Rogers' work is a rational addition to any study on the process of change and change management. Rogers defines the process of diffusion as the means by which innovation is spread across a population or social system. Diffusion is "…the decision to make full use of an innovation as the best course of action available" (Rogers, 1995, p. 21). This process is initiated with the introduction of some type of innovation and concludes with what Rogers defines as "saturation" (a place where a large majority of a population adopts the innovation or change). According to Rogers there are five factors that influence the adoption decision:

1) Relative advantage: The degree to which an innovation is superior to the present state.

2) Compatibility: The extent to which the innovation is consistent with the population that is adopting.

3) Complexity: This is manifest by the difficulty of innovation to be understood or applied. Complex innovations will typically take longer to be integrated into a population and will lesson the likelihood of adoption due to the time and effort required to understand and apply the innovation.

4) Observability: According to Rogers (1995), observability is the extent to which an innovation is observable or can provide a visible result.

5) Trialability: The ability to try or test the innovation on a scale on a limited or controlled basis.

Both indirectly and directly inherent in the process of change is the task of decision-making for determining the viability or necessity of change. Moreover, the necessity of change must be precipitated by a decision that the organizational status quo is unacceptable or inadequate in its current state. Drucker (1993) contends that the activities of management are supremely contingent upon decision making. However, it is not uncommon for executives to have to make decisions based on incomplete knowledge (Seglin, 2000).

Framing a problem or issue is at the crux of decision making and the perspective that is brought to the decision table is the decision maker's perspective or frame (Day & Reibstein, 1997; Russo & Schoemaker, 2002). Frames are defined as, "…an experienced based set of cognitive boundaries we construct that define a given situation and create meaning" and "a perceived reality that creates meaning at a specific point in time" (VanGundy, personal communication, February 11, 2005). These frames or perspectives

can have disastrous effects if they are not open to criticism and challenge (Russo & Schoemaker, 2002) Shared frames can lead to premature concurrence as groups limit the number of alternatives acceptable (Janis, 1972). According to Auer-Rizzi & Berry (2000), innovation occurs as a result of the merging of different frames.

Decades following the above-mentioned forerunners of change literature, other theorists followed suit with additions to the body of change knowledge. In opposition to the classical paradigm or the scientific-based change management literature (e.g. Elgin, 1977; Nicoll, 1980), change methodologies began to take on a more relational and people-centered methodological approach. Exit the rational and continuous manner of change; enter the people-centric approach and its myriad of challenges associated with leading change with the individual as an active participant. Kotter (1995) developed a central change methodology focused on participants and the means to overcome the resistance that accompanies change.   His method is as follows:

1) Establish a Sense of Urgency. According to Kotter, a compelling rationale for change must be messaged and reinforced for change to take hold within an organization.

2) Creating the Guiding Coalition: A strong leadership presence must be in place to ensure that change has the appropriate leverage and executive support to be successful.

3) Developing a Vision and Strategy: Kotter contends that there must be an ultimate vision, a destination for arrival, and a means to achieve the vision.

4) Communicating the Change Vision: The justification for the change initiative must be communicated to the employee population. Kotter argues that leadership must model or set the example of the expectations placed on employees.

5) Empowering Broad-Based Action: This step includes eliminating any structural, cultural elements or bureaucracy that will limit or prevent the change initiative from being successful. In addition, the removal of barriers and any other form of resistance is key to ensuring the change initiative is not hindered.

6) Generating Short Term Wins: Short term wins will garner support and will "sell" the idea of the change to the organization. The ability to see successful progress provides the much needed support to continue the change process.

7) Consolidating Gains and Producing More Change: Kotter contends that a culture for change must be developed throughout the organization. This can be realized through a variety of human interventions such as Human Resources and organizational change agents.

8) Anchoring New Approaches in the Culture: Anchoring the change will prevent organizational backsliding. Anchors include performance management, the promotion of change agents, and the shift of culture to support the new environment.

In the 1980s and 1990s, organizations began to develop and publish their organizational change models. For instance, Motorola's change management ideology (Miraglia, 1994) consists primarily of two elements: Culture and Change Methods. First, Motorola believes that an understanding of an organization's culture is crucial to change management. The rationale for this central tenet is clear because culture is a significant

deterrent or precipitator of change. The second element is the change methodology itself. Motorola's methodological approach begins with:

1) Develop a vision for change, soliciting input from multiple levels of employees

2) Debate the vision at the various levels of the organization

3) Agree on measures and "reach-out" goals at the organizational level and then monitor progress

4) Enable each business unit to set its own goals and drive change according to the needs of their customers

5) Develop a common vocabulary between business units

6) Develop educational tools

7) Set up an environment to share learning

8) Give each business unit the room necessary to develop at its own speed.

Jack Welch, former CEO of GE developed a change management model consisting of six steps (Carrow, 2001):

1) Develop a clear expression of the reasons for change – articulate "why" before the "how"

2) Establish the vision for the future and outline what the change will achieve

3) Provide strong leadership. Welch believed that support from senior leadership was vital to successful change.

4) Mobilize the workforce by engaging the employee population to plan and define the new process

5) Measure success and analyze outcomes

6) Maintain an environment of consistency

The scientific and rational change models construed change as a series of steps

and change encounters that followed a linear manner. This view of change was almost a

deterministic view of change which reduced change management to A + B = C. Later

models began to infuse the dynamic of the individual into the process of change and then

the complications ensued. Once individuals are introduced to a process or system, the

process or system increases in difficulty exponentially due to the introduction of

personalities and idiosyncrasies to the process.

<center>Demand for Change</center>

In his (1970) book, *Future Shock,* futurist Alvin Toffler predicted that society will

experience a phenomenon of shock as the rapidity of change will affect every facet of

society. Twenty years later, Harvard Professor Rosabeth Moss Kanter, states

"Globalizing markets, instantaneous communications, travel at the speed of sound,

political realignments, changing demographics, technological transformations in both

products and production, corporate alliances, flattening organizations – all these and

more are changing the structure of the corporation" (1991, p. 151). Huber (1984)

foreshadowed the things to come by noting: "post-industrial society will be characterized

by more and increasing knowledge, more and increasing complexity, and more and

increasing turbulence. These in combination, will pose an organizational environment

qualitatively more demanding than those in our experience" (p. 931). French and Bell

(1999) state even more emphatically, "It is clear that any company that wants to succeed

in the 1990s and beyond must have a systematic and well oiled change management

process in place and …the company must accept the fact that changes is going to happen

and recur frequently" (p. 125). Others have stated, "Today's leaders are under

<center>32</center>

tremendous pressure from markets, customers, and competition to bring needed changes to their organization" (Axelrod, 2001, p. 22).

Change and an organization's ability to change continue to be perpetuated by an ever increasing demand to pacify our consumer based society. Wall Street continues to place immense pressure on business leaders to stay abreast of changes and compete in the market (Jick, 1995). Change and the ability to change is a key characteristic of organizations focused on the future (Byrne, 1992; Wilkins & Dyer, 1988). In a very real sense, the ability to change is the necessary forerunner to organizational success (Harari, 1999; Pollock, 1994; Reger & Mullane, 1994).

<center>Sources of Change</center>

In research published in the 2002 *SAM Advanced Management Journal,* Sauser and Sauser advance four important and central assertions in the domain of change:

1. The organizations who will be successful in the future will be the ones that continuously adapt to change.

2. Forces for change in the competitive environment are diverse and increasing.

3. Managing change should be viewed as a continuous activity and not a series of events.

4. Organizations should assume organizational change will and should be continuous within its environment (e.g., Schein 1999).

Edgar Schein (1999) alludes to the constancy of change when he asserts that learning and change are constant. He views organizations as dynamic entities that continually relate with an environment that is changing. He takes an outside-in view and suggests that organizations are by nature dynamic and in a process of continual

<center>33</center>

interaction with an equally dynamic external environment, thus, leading to the view that organizational change is a result of the interaction or relationship with the external market/world.

This interaction provides the impetus for change or the means by which change is generated within organizations. Dynamics of the market, economic, political, and societal trends (albeit external to an organization), have an effect or influence on an organization and have the potential to serve as a strong impetus for change (Ulrich, Zenger, & Smallwood, 1999). The means by which organizations and its leadership adjust to meet these changes is critical to long term success. The impulsion toward change is indeed multifaceted and multidimensional and can consist of an array of variables that are both internal and external to organizations (Poole, 2001).

Addressing external, environmental influences, Fletcher (1990) characterizes change as an event that transpires when the organizational reality is no longer sufficient to meet the external demands or needs of the organization. In other words, changes are necessitated by environmental forces that pressure the organization to change.

Sources of influence on change are as multifaceted as the views describing change. Frohmann (1997) summarily viewed corporate and individual change as originating from internal sources rather than external. Corporately, Frohmann asserts that change is initiated as the needs of organizations demand or requires change. Based on the individual perspective, initiative and the creativity of individuals are seen as the primary catalyst for organizational change.

Akin to Frohmann's individual and internal view, Daft & Weick (1984) contend that manager or leader perception is often a source of change within an organization.

Others argue it originates from a process of organizational learning, (e.g., Lei, Slocum, & Pitts, 1999; Senge, 1990).

In Schein's (1999) *The Corporate Culture Survival Guide*, he asserts that the process of learning or knowledge increase serves as a source of change. He defines how change occurs by forwarding the notion that new knowledge, education, or organizational learning can generate a level of discomfort. This discomfort, therefore, takes the form of dissonance and the discomfort in turn becomes the impetus or driving force behind transformation or change.

Although Schein's notions of intrapersonal and intra-corporate initiation are interesting and quite viable in the right context, the bulk of the literature argues for an external-based impetus for change. In support of this external-based viewpoint, Kaestle (1990) contends in *A New Rationale for Organizational Structure,* that there are essentially two drivers for organizational change: 1) a dynamic marketplace and, 2) information technology (e.g. Chakravarthy, 1997). Morrison (1998) and Nadler (1997) argue strongly for the case of new technologies and new markets. Jick (1995) identifies competition and the aspirations to gain and maintain competitive advantage a key impetus for change (e.g. Nadler, 1997). Noel Tichy (1983) takes a more global perspective by arguing change is initiated via external sources such as cultural and political factors. In short, additional external factors like globalizing markets, technology, politics, and communications are all sources of change (Johri, Cooper, & Prokopenko, 1998; Kanter, 1991; Nadler, 1997).

Finally, Pascale, Millemann, and Gioja (1997) and Arie de Geus (1997) suggest that change itself is a source of change and like Jick (1995), believe competition and the

pressure to remain competitive are key drivers for change.   Management guru Peter

Drucker (1999) in *Management Challenges for the 21st Century* maintains that industry

and market changes, the relative successes and failures an organization experiences,

demographic changes, and new knowledge or learning (akin to Senge, 1990) breed

change.

Despite the actual impetus or motivation, the necessity for change remains a fact

of individual and corporate life. Consider the organizational landscape that Bennis paints

when he defined change as the metaphysics of our age. The call to master and

understand the phenomenon of change is crucial. While Nadler (1997) asserts that the

commonality of change has made the discipline of change management somewhat of a

cliché in the business world, he asserts it should be taken seriously because of its

importance as a phenomenon. Its importance is clear as profit organizations live and die

by the ever-changing and fickle demand to satisfy the markets for constant improvement

of services, products, and/or commodities.

Organizational leaders ultimately must learn to compete or suffer the dreadful

consequences of failure in the eyes of their shareholders and Wall Street. It is a simple

but harsh reality that Wall Street and shareholders will not readily forgive organizational

missteps and blunders. As a result of an organizational blunder, well-intentioned and

immensely talented CEOs will scramble to leave a distinguished and respectable legacy

all the while searching for a new job in a market where their name and legacy is well

known. The critics of modern day business practices condescendingly preach from atop

their ivory towers, their confining cubicles, or their perches on the 6 o'clock news about

the growing disparity of CEO compensation and employee compensation and criticize the avaricious nature of business leaders.

While the attacks on CEO's salaries and perks continue, business leaders pay them little mind and ponder their next move in an environment that is epitomized more by the survival of the fittest and *Lord of the Flies* than the clean business management practices taught in our universities and colleges today. Once the few CEO-destined MBA students leave the confines of academe, the do or die mentality is fostered as an unwritten ethos to be mastered or be mastered by.

Many of these CEOs, who are genuine leaders, receive criticism and sit alone in their office wondering how to appease Wall Street, the organization's shareholders, and uphold the burden of the livelihood of the company's employees. The leader who can navigate the channels of change and lead organizations to success in the future will be the ones Wall Street and shareholders will reward exorbitantly. For such rewards are highly justified for the change savvy leader. The luxury of resting on the laurels of tradition and common practice is not an option as, "The once very rigid and unbreachable boundaries of business are fading in the face of change" (Kanter, 1991, p. 151). However, the path is not without trials; the substantial dilemmas facing modern leadership are not insignificant nor are they meager; nevertheless, the modern leader must forge ahead with change. All things considered, serious- minded leaders must accept the fact that the potentiality of extinction lies at the helm. Right or wrong, organizations must embrace the concept of change and accept the harsh reality that chaos is the norm (Miller & Friesen, 1983). The unqualified mandate is that leaders must harness the ability to lead and manage change.

Resistance to Change

Enter the real obstacle to accomplishing change. Despite the inevitability of change and its necessity for survival, it presents serious dilemmas to anyone serious about the notion of change. Change is disruptive to organizations (Tushman & O'Reilly, 1997). That is undeniable. Change is not conducive to an environment of stability; it precipitates more and more disruption (Conner, 1998) wooing business leaders to a critical impasse. You cannot have both stability and change; they are divergent forces. Pascale, Millemann, and Gioja (1997), state, "surveys confirm that executives have begun to give revitalization a high priority….however, most of their efforts to achieve it have met with frustration – partly because large organizations have such a remarkable capacity to resist change of all kinds" (p. 126).

Change is indeed disruptive to organizations, but even more so, it is quite disruptive to the individual. All things considered, the effect of change on individuals is substantial. In many respects, it is the emotional dimension of resistance that must be managed throughout the life of the change event (Pendlebury, Grouard, & Meston, 1998). Forceful emotions can be elicited through the process of change within organizations (Bartunek, 1984). In fact, scholars argue that every act or event of change will elicit some type of resistance -- resistance that will manifest itself in emotions such as fear and anger, denial, avoidance, and resistance (Levy & Merry, 1986). Change can be so intrusive that even individuals directly unaffected by a change initiative can be affected through survivor guilt. Survivor guilt or sickness may be experienced by individuals indirectly affected by change and may serve as a significant source of resistance for individuals (Noer, 1997).

Resistance to change is not an issue strictly related to organizations' management and leadership. It is a problem rooted in the very nature of its organizational members. In any case, resistance to change is a significant factor that must be understood in the organizational context. Individuals can arrive at a psychological state where major change can no longer be absorbed. Once saturation is achieved, dysfunction or resistance will ensue (Conner, 1996). According to psychologists, change can trigger emotional experiences such as depression, mania, irritability, anger, disturbing or obsessive thoughts.

Menzie offers an interesting assertion in his 1998 book, *Containing Anxiety in Institutions*. He writes that work tends to be organized in such a manner as to contain or mitigate anxiety. Moreover, emotional defenses are developed and are often reinforced through mastery of a task and further perpetuated through the subsequent repetition of that task. Through achieving mastery, uncertainty is reduced thus elevating the level of comfort. The problem becomes apparent when change or the plans of change are introduced. Uncertainty will inevitably result as a simple response to the unknown (Kanter 1984). This uncertainty or confusion wrought by a change in a system can perpetuate a fear of failure as individuals are forced to learn new ways of doing things. Taken at face value, this fear, the fear of failure, can all but derail change initiatives.

Further complicating the change problem is that despite leaders' innate ability or natural desire to lead change, they can fall back on their laurels and rest in the current financial benefits. Leaders are not comfortable with emotional matters (Reina & Reina, 1999), they lack support for changes and fail to realize the failures associated with changes. Despite this, the need for change remains.

The intellectual community has provided a wide variety of diagnoses as to why resistance to change occurs. Business schools have supported the idea of the effectiveness of change and unabashedly tout its merit. Even with this realization, the proliferation of change literature over the last 20 years has done very little to counteract change's formidable foe: resistance.

Consider the warning of Niccolo Machiavelli written to the prince of Italy. He warns the prince of the inevitability of trials when making changes within a kingdom. He states,

> We must bear in mind, then, that there is nothing more difficult and dangerous, or more doubtful of success, than an attempt to introduce a new order of things in any state. For the innovator has for enemies all those who derived advantages from the old order of things, whilst those who expect to be benefited by the new institutions will be but lukewarm defenders. This indifference arises in part from fear of their adversaries who were favoured [sic] by the existing laws, and partly from the incredulity of men who have no faith in anything new that is not the result of well-established experience. Hence it is that, whenever the opponents of the new order of things have the opportunity to attack it, they will do it with the zeal of partisans, whilst [sic] the others defend it but feebly, so that it is dangerous to rely upon the latter (Machiavelli, 1513/1998, p. 21).

As is echoed in Machiavelli's caution, the crux of the resistance to the adoption of a change initiative is riddled with reticence to change. The research literature is full of

assertions that resistance to change can not only complicate change initiatives but make them impossible. Davenport, in a 1995 issue of *Fast Company*, cites a 1994 CSC Index (formally the Index Group) which reports that "50% of all companies which participated in the study reported that the most difficult part of reengineering (a popular change management approach) is dealing with fear and anxiety in their organizations" (p. 70). In another study conducted by Robertson, Roberts, Porras (1993), it was discovered a positive relationship exists between organizational change outcomes and behavior change within individuals. In other words, organizational change initiatives cannot be undertaken without consideration of the individual and their support of the change. The study highlights the need to seriously ponder the various sources of resistance that arise within individuals and organizations. It also demonstrated the need to seriously consider the issue of resistance to organizational change in order to fully ascertain its effects on organizational change outcomes. The most formidable foe to implementing organizational change is the resistance that occurs in the minds of individuals.

Due to the dismal failure rate of change initiatives and individual resistance within organizations, it is little wonder authors speak to the complexities associated with change with an almost fatalistic viewpoint. Moreover, there is a view that organizations and the phenomenon of change are in fact, divergent entities; organizational structures discourage change (Quinn, 1996; Schein, 1992). Consider Bennis' rather pessimistic statement "constant as change has been in this century, vital as it is now, it is still hard to effect, because the sociology of institutions is fundamentally anti-change" (Bennis, 1989, p. 147). Whether the reasons are individual or stem from organizations that stifle innovation and change in favor of the routine, resistance is a constant (Bennis, 1989).

All things considered, there is an innate desire to sustain the present system (Tichy & DeVanna, 1990). It is a powerful form of survival both individually and collectively.

Few would debate the existence of resistance in organizational change initiatives; fewer would debate its debilitating effects on the change process. Coping with individual resistance and mitigating its risks is a crucial element in managing change (Boonstra & Bennebroek Gravenhorst, 1998). The implications are tremendous. Not only can resistance shipwreck a change initiative; it may even make change impossible (Cummings & Huse 1989; Ivancevich, Lorenzi, & Crosby, 1994).

At its most fundamental level, the process of change within an organization cannot be conveniently analyzed as a solitary, isolated phenomenon. Nor can its effects be perceived in that same light. The effect of any change and the means by which those changes are realized will affect multiple factors. It will require a fundamental alteration to the ecology of an organization. Even the slightest alteration or move to change will disrupt the intricate balance of an organizational ecology. Concurring with this macro-based view, Yukl (1998) argues, "Resistance at the individual level is compounded by stem dynamics at the group and organization level. Changes in one part of a system may elicit a reaction from other parts that nullifies the effect of the change. The interlocking nature of social systems creates tremendous inertia in resistance" (p. 440).

The desire to maintain the present system is a formidable antagonist to change and should be counteracted in order to realize successful change (Lewin, 1951). As Machiavelli insisted, all those who derive benefit from the present system will become the defenders of inertia, an event that must be overcome for change to be successful. Feldman and Spratt (1999) argue that individuals do not resist change per se', it is the

punishment or negative consequences associated with change. The source of punishment individuals experience is indeed uncertainty—a state that is deemed unbearable long term. It is a powerful force psychologically and the only means to its prevention is the avoidance of change.

The reasons and sources for resistance are numerous and prevalent dynamics in organizations. Rosabeth Moss Kanter (1999) advances an unconventional but cogent perspective, one she terms "predictable but potentially fatal" roadblocks to change. From this she develops and shapes the case and manner by which roadblocks develop. First, Kanter contends that "Forecasts Fall Short". This frequent but overlooked problem is manifested in the vulnerabilities of planning and Kanter highlights the difficulties in developing and predicting plans that will not change. Inherent in this process is the need for leadership to be prepared to alter or make changes in both the plan and timeline. Kanter's second roadblock is "Roads Curve". This step advocates the notion that change does not progress linearly or in a clear cut fashion. It is manifested by "twists and turns" which leads to discomfort and concern. She insists that leaders and individuals must be prepared to make alterations to plans as well as justify deviations from plan. A third of Kanter's potentially fatal roadblocks is "Momentum Slows". This occurs during the change process and is an all too common phenomenon in both organizations and individuals. The slowing of momentum occurs as activities which were once viewed as exciting and lucrative become less and less appealing as the demands and conflicts of change manifests themselves. These can take form in behaviors like team conflict and frustration. The fourth roadblock, "Critics Emerge", constitutes the emergence of doomsayers or resisters to change. Their emergence commonly occurs in the middle of

the change initiative once it is realized the change process has taken hold or all is not working perfectly as originally planned. Kanter's methodology or explanation for change pitfalls can be appropriately applied in the organizational context. Consistently, individuals demonstrate resistance and that proclivity should be considered in any review of a macro-resistance perspective.

The primary sources of individual resistance to change are: lack of trust, commitment to the status quo, belief that the change is not feasible, economic threats, relative high costs, loss of status and power, and threats to values and ideals (Conner, 1995 as cited in Yukl, 1998).

Lack of Trust

Mistrust plays a significant role in the reticence to adopt any new endeavor and must be properly mitigated to ensure it is not delimiting change or an organization at large. The classic dilemma that exists between leadership and management and their respective subordinates is the lack of trust that exists between the two parties. The general mistrust in the individuals who instigate, lead, or champion change is par for the proverbial course and is deep-seated. It is an all too common issue within the discipline of change management. The views of the upper and lower echelons of organizations are often divergent and they rarely view the same event through the same lens.

According to the *Harvard Business Review on Change* (1998), "Despite the very best effort of senior executives, major change initiatives often fail. Those failures have at least one common root: Executives and employees see change differently. For senior managers, change means opportunity—both for the business and for themselves. But for many employees, change is seen as disruptive and intrusive" (p. 139).

Managers are traditionally not open to change and often fight to maintain the status quo (Hambrick, Geletkanycz, Fredrickson, 1993). Further complicating the disparity between middle and senior management, Tichy and Sherman (1994) note that executives perceive middle management as a locus of formidable resistance within organizations.

Reina and Reina (1999), highlight the organizational consequences of ignoring the impact of change on employees. The authors foreshadow the potential and detrimental consequences of any unwary change leader who implements a change within an organization without considering the employees affected by the change. Moreover, they argue ignoring the impact on the employee is the perceived equivalent to betrayal to both the leader and the employees. It should be noted that Reina and Reina (1999) contend the act of betrayal is not necessarily the experience or the result of change itself, but a result of how the change was managed. In summary, the authors assert that employees must be given sufficient time to adjust to organizational changes. In order for this to occur, the impact to the employee population must be considered and given its proper attention.

It is not uncommon for the justification or rationale for change to be misinterpreted or misunderstood by the employee population. This is not surprising since employees are typically not intimately involved in developing the business case for change or are responsible for implementing solutions to problems that plague the organization. However, the means by which change is managed can either exacerbate or alleviate the problem of employee resistance.

Scholars have noted uncertainty as a key factor at play within organizations (Feldman & March, 1981; Lewis & Seibold, 1998). Uncertainty can be especially magnified in organizations where the organizational culture is overtly patriarchal and bureaucratic, thus increasing the likelihood of mistrust. Despite the analysis, despite the conjecture of a few, the crux of the resistance to the adoption of a change program is riddled with mistrust.

Commitment to Status Quo

Mature organizations solidify their position in the market via rules, structure, bureaucracy, and tried and true business practices – it is an inevitable means to survival and vitality. Although rules, structure, bureaucracy, and tried and true business practices and are foes to innovative practices and organizational change, they provide a sustainable environment and framework by which organizations may be managed long term. Mark Granovetter (1985) states that resistance to change occurs as a result of the "embeddedness" of an organization in its institutional and technical structures.

"Organizations seek consistency through the process of implementing rules and attempt to build structure and formality as a means to ensure long-term stability and predictability" (Quinn, 1996, p. 156). Furthermore, this structure or operational discipline helps ensure long term-stability and predictability (Quinn, 1996). Social systems thrive on stability. More importantly, they possess forces for "conservatism" (Bennis & Peters, 1993)

Organizations have an interest in maintaining a stable environment to ensure Wall Street perceives them to be legitimate. Stability and consistent financial returns will appease Wall Street and will serve to ensure the support of the financial analysts and

juggernauts. A risky decision that failed or an ill-fated change in business direction is an expensive liability in today's organizational landscape. In considering change and its necessity, attempts to remain legitimate in the eyes of Wall Street and stakeholders will remain a key source of resistance to any significant change initiative. Ironically, the characteristics that endow an organization with stability are the very things that delimit the realization of successful change (Amburgey, Barnett, & Kelly, 1993).

Commitment to the organizational status quo is not without serious implications for the change agent. At a personal level, longer tenured management and employees have an interest in maintaining the environment they had an interest in creating and establishing (Noer, 1997). Ironically, at one time, the status quo was assuredly a result of a change initiative. This environment or status quo was likely a result of their own devices and efforts and a disruption or alteration to that creation is likely to be perceived as an attack both personally and professionally. All in all, individuals will resist change if it undermines the previous work they had conducted in the past.

The problem with initiating change is that rarely is a change initiative introduced to a group or business environment without a rationalization or perceived need for change. Changes or improvements are not typically welcomed in operations which are functioning optimally. To accept a change to protocol or business direction is to first admit that the former decision is no longer viable, the current organizational direction needs alteration, and for whatever reason, whether inadvertent or imposed, ultimately a bad decision. For these reasons alone, it is clear that change could be perceived by organizational members as a threat, thus eliciting resistance as a response to what may be perceived as an attack on either their competence or decision making. Resistance that

arises from such contexts further complicates the change process because members will attempt to save organizational face and recoup credibility (Dess & Picken, 2000; Ginsberg & Abrahamson, 1991).

The individual psyche at play here is a potent force for resistance to change. "Unfortunately, most people quickly discard their mistakes and hide the process by which they move forward in their work. This is not surprising, since avoiding failure and protecting your ass are perhaps the most universal of the unspoken organizational mandates" (Hirshberg, 1998, p. 110).

A final factor related to commitment to the status quo is coping with the simple but all too common view that change is not necessary. As previously stated, the forces for the status quo are formidable, and if the case for change is not sufficiently presented and evidenced, change will be resisted due to the lack of perceived need. For example, it is not uncommon for organizations to revert back to an original paradigm when a change agent and or instigator of change leave an organization. Covin and Kilmann (1990) attempted to identify the issues that affect the success or failure of large change initiatives. They found that failing to both sufficiently inform individuals of the changes that would be taking place and providing the justification of the change resulted in a negative impact on the change initiative. Similarly, Kotter in his 1995 synopsis *Why Change Initiatives Fail,* argues that the justification for the change initiative must be properly communicated. Individuals who will have the change imposed on them should understand the rationale for the change. Kotter goes on to assert that until change actually becomes integrated into the culture, the change is vulnerable to failure. Although a simple and easily amended problem, as evidenced previously, breakdowns in

communication can derail a change initiative from the outset. Communication will play a crucial role in bolstering the level of trust between leadership and subordinates and will help debilitate commitment to the status quo in its absence.

Belief That the Change is Not Feasible

Proposed changes or proponents of change initiatives may experience strong resistance due to failures in the past or the belief that change is entirely too difficult to attempt. As mentioned, research confirms the dismal success rate of most change initiatives (see Maurer, 1996; Strebel, 1996). With these failure rates, skepticism of such change initiatives is an ever present reality requiring effective management.

Economic Threats

Despite the inherent benefit of any change endeavor, individuals may resist the effort if there is a perception that adopting the change will impose on them a loss of benefits, salary, or bonus structure that they have grown to expect and rely upon (Harari, 1999).

Relative High Costs

Notwithstanding the benefits change programs may offer to an organization or department, they almost always necessitate a cost. Implementing change is costly relative to employee and managerial time investments and financial resources (Kotter & Schlesigner, 1979). Moreover, costs incurred throughout the change process may include such things as time required for implementing new processes and policies, loss of productivity through the implementation phase of the change initiative, and the requisite educational initiatives necessary to create the supporting and underlying culture. It should be noted that declining performance levels frequently occur during the transition

and implementation periods as organizations attempt to make changes (Dess & Picken, 2000; Harari, 1999).

Loss of Status and Power

The loss of power and status is often the regrettable reality of change management. Outcomes of change initiatives may reduce the prominence an individual once enjoyed in the previous environment or paradigm. The predicament is interesting in that while the individual may perceive the change as beneficial to the organization, it is unlikely that the added value will always translate to personal benefit, thus decreasing the prospect of supporting the change initiative. Consider situations or contexts in which an individual enjoyed the status of problem solver or was considered the "go to" person. These individuals may face a decline in their former and present status because the problem has been solved for a group or organization (Harari, 1999).   Often employees "stuck" in the old paradigm will not or cannot let go. Despite the proverbial writing on the wall, the inefficient or unsuccessful manner by which business was conducted previously (e.g., goals, objectives, skill sets) remains valid in the eyes of the resistor (Noer, 1997).

The implications of reduction in authority or credibility are significant since they pertain to the likelihood of individual resistance. "With every change comes both gain and loss. In organizations, often one person's gain is another person's loss. People making the changes are usually the ones to gain….culturally we are taught that it is not good to cause other people to lose, so we mentally minimize their loss. This phenomenon makes it harder for us [to] see the pain many employees experience with change" (Reina & Reina, 1999, p. 138).

Schein (1985) substantiates the political ramifications of change. This is little wonder as the power centers or power distributions that are either explicitly or implicitly altered in a negative manner can have a significant impact on the survival or viability of a change initiative. Schein states, "many high-quality and seemingly beneficial change attempts can be thwarted by political strategies employed by organizational members who seek to maintain their own power or eliminate the power of the change agent" (pp. 87 - 88). There is little doubt that power and status are enticing and strong motivators in almost any social context. While organizations can and do derive indirect benefit from these social and personal motivators, they ultimately present formidable challenges to change initiatives as "employees typically resist a change they believe will take away something of value" (Daft, 1995, p. 280).

In the contexts of power and influence, the individual ego and competency of an individual ultimately are stripped away. Change nearly always affects an individual's status or ego (Gray & Starke, 1988). The ego and the requisite protection of the ego are not inconsequential. To strike at the ego or question the competence of an individual is to invite tremendous inertia toward maintenance of that ego. Noer (1997) elaborates on this reality when he states, "…employees are ego-involved with past patterns of behavior and organizational identity. Who they are is where they work, what they do, and how they do it, so any change in the environment is a threat to their identity" (p. 50).

Mann (2000) asserts that change or initiating change initiatives can cast a negative light on leaders in both their eyes and their subordinates. What is more, the perception that a leader or individual enjoys a competent level of knowledge in one particular area or possesses a credible level of understanding of possible solutions is an expectation that

both followers and leaders possess. However, the problem that arises is that change can alter this view and breed discomfort among subordinates because it precipitates the questioning of the competence of a leader who apparently does not possess all the answers. In short, change makes some expertise obsolete (Harari, 1999). It is this obsolescence that breeds discomfort and the all too common antipathy associated with organizational change.

Threat to Values and Ideals

The method or manner by which organizations function both operationally and culturally is based on an applied philosophy or viewpoint. This philosophy or organizational modus operandi is the central logic or rationale behind what is known as organizational culture. Organizational activities and decisions, leadership's view of employees and their respective treatment, and the means by which an organizational mission is realized will be based on the individual philosophy or culture of an organization.

All organizations operate according to a philosophy. This philosophy is made up of the values and ideals organizations are structured and built upon. These values and ideals shape the organization, become part of the psychology and personality of an organization, and inevitably will shape and constitute the culture, a phenomenon that runs deep within an organization.

Changes that infringe on the personality or psychology of an organization may foster significant resistance. Individuals can be heavily and psychologically devoted to the current culture or status quo (Noer, 1997). This organizational fact of life is not inconsequential, as these organizational values most assuredly played a significant role in

defining the organization and creating organizational stability in the past.   In fact, a change initiative that stands in contrast to the organizational psyche or values and ideals may well be resisted company-wide because it may be perceived as a threat to the organization as a whole (Reger & Mullane, 1994). Furthermore, decision making as well as the rationale for change will be especially difficult because data within an organization may be perceived as supporting the current culture and/or paradigm (Levy, 1986).

All in all, the adage made cliché through endless repetition, "This is how we we've done it for years" is all too common and is the product of rules and policies built on tradition (Ivancevich, 1994). While the basis of tradition solidifies management practices and instills confidence in decisions they make, it is nonetheless, a daunting obstacle to overcome. Repetition, experience, and the results of effectiveness in past decision making lend more and more confidence to decision makers. Breaking away from that traditional line of thought or practice may be perceived as unreasonable and a potential vulnerability that is not often welcomed and rarely encouraged. The stakes are simply too high to introduce a new state of affairs.

In light of resistance to change, a final and weighty consideration is the all too common issue of organizational burnout and fatigue. The demands of organizational life on time, health, and energy do not readily lend themselves to thought, reflection, and planning; all necessary precursors to managing change. This fact is especially relevant in the areas of leadership, especially change leadership. The relative lack of energy resulting from the enormous demands placed upon individuals within most profit organizations is not inconsequential. Quinn (1996) points out that individuals may possess the ability to lead radical change, yet they cannot muster the ambition or

resources to do so because they are devoid of energy, they are burned out. While the challenges are obvious, they are all too common in organizations. The struggle just to "keep up" with the demands of day-to-day operations exhausts an individual's capacity to create the organizational leverage demanded by change.

A concluding consideration is the sum effect of all the aforementioned sources of resistance in organizations. In many respects, multiple sources of resistance unify, creating significant inertia for the status quo. When considering the phenomenon of change, one must look at the constructs of time and longevity in light of resistance. As the initial push or excitement wanes, leading change becomes more and more difficult as the change lifecycle is extended.

Initiating a change initiative is relatively simple; conversely, sustaining radical or systematic change within an organization is difficult. As Nicoll (1980) points out, change initiatives pass through the phase of "struggle for legitimacy" until it is finally infused within the organizational culture and habit. Until change is legitimized in the organization, competing forces of old and new grapple until one ultimately wins out. Noer (1997) describes a phenomenon where employees wait change out in hopes that things will eventually return to normal – in fact, anticipating this to occur. Furthermore, the period of legitimization or transition -- the time in which the change is initiated but not yet fully infused throughout the organization -- is a critical element in light of resistance to change. It is in this process of evolution that major resistance or obstacles to change can and will occur. According to Nadler (1997), transitions will usher in instability, uncertainty, and stress. He expands on this by contending that during transitions, formal and informal organizational controls can begin to weaken thus

throwing the cultural context into chaos. To compound the problem, when organizations or entities are in a state of flux, confusion or lack of clarity around the future ensues and individuals become less secure in the subsequent future.

To couple the natural resistance associated with change with the opposition encountered through the maturation of the change initiative is to create significant barriers to new organizational endeavors. Change must be nurtured and protected. The initiator or visionary must be ready and able to protect the vision in order to ensure sustainability. All progress is made and eventually sustained by the dissatisfied and not the satisfied. Those who lead must know and understand this critical element of organizational change.

Connor (1998) identifies some specific characteristics of change that make it especially difficult when viewed from the perspective of the leader:

1. Fear of change – The apprehension associated with change makes it difficult to learn about change

2. Demand vs. capacity - This is basically the ability of the organization to handle or manage disruption. In other words, the disruption or change may be too intrusive for the organization to handle.

3. The learning organization and transition management literacy — He states that most individuals have "dangerously low levels of transition management literacy," thus severely reducing the probability of success.

4. Nimble expectations – Leaders not knowing the impact of their expectations on individuals lowers chances of success.

Change Leadership

When considering the matter of change, varying methodologies and change management strategies should be contemplated. As previously evidenced, employee reticence to adopt change should also be considered and understood. Strategies for ensuring success can and should be constructed, but unless effective leadership is at the helm, the frailty of change endeavors lies defenseless in the face of its detractors. Regardless of the methodological approach to change management or the relative benefits realized through change, the likelihood of successful implementation is reduced to one foundational truth: the success or failure of organizational change initiatives rises and falls on the involvement or the initiation of leadership (Cummings & Worley, 2001).

If researchers are to take seriously the notion of organizational change, leadership must take immediate primacy. An equally important consideration is the culture the leader is responsible for creating. One must consider the culture of organizations and their ability to change. It should be noted that the theoretical basis of this analysis hinges on the premise that there are many creators of culture. Literature is replete with research which supports the basic idea that leaders are the primary architects of culture within organizations (Drucker, 1999; Schein 1998; Tushman & O'Reilly, 1997). In other words, leadership shapes organizational culture and the means by which change is realized. Change will be inextricably tied to the culture the leader promotes. Thus, organizational culture will govern the fruitful or destructive nature of change. In short, the leader's role is one of creation and managing change in a culture in which organizational members are acclimated to behave in accordance to the existing culture.

Before leadership can be discussed fully, considerations of the modern

organizational landscape should be pondered. Many theorists assert that in light of

continuing organizational and societal changes, demands exist for an alteration in how

and according to what management philosophy organizations are led. The prevailing

management/leadership philosophy will have a considerable influence on how change is

initiated, lead, and ultimately sustained.

In light of the new and innovative views on management and leadership, most

large organizations continue to operate according to the former, bureaucratic model of

management (Drucker, 1988). Many scholars confirm Peter Drucker's contention that

hierarchical business models continue to hold steady today (Kanter, 1991; Wind & West,

1991). Nevertheless, arguments among scholars persist as to the viability of the so-called

antiquated and bureaucratic model in our sophisticated, modern day organizations. Apart

from this, business leaders and scholars must determine whether the bureaucratic

management practices of old are indeed outmoded and have been appropriately replaced

with our 20th and 21st century managerial, intellectual sophistication. Fundamentally, the

manner or philosophy by which organizations are led (e.g. centralization vs.

decentralization) will have serious implications on how leaders guide organizational

change.

Arguments are plentiful as to the appropriate leadership philosophy. Points of

view for decentralization and pushing decision making down throughout the organization

abound in the management literature. Consider the words of author James Surowiecki

(2004), "The virtues of decentralization are two-fold. On the one hand, the more

responsibility people have for their own environments, the more engaged they will be"

(p. 212). Decentralization is a powerful concept because it fosters shared decision

making and permits employees to contribute to some of the important decisions being

made on behalf of the organization.

While few would argue the relative benefits of a fully democratic organization,

challenges arise in the context of 2,000 disparate views vying for voice. To discount

formal leadership's exclusive role in the ultimate creation of change is to leave the

establishment of "innovation and change" to miscellany within the organization. The

notion that all members play a significant role in the overall direction of the organization

is intuitively appealing, quite popular and, in fact, quite viable in moderation.

Nevertheless, the destructive potential of a creative free for all leaves the decentralized

paradigm vulnerable.

Consider this philosophy in its most unsophisticated application. If one were to

adhere to modern, equity-based management, one would attempt to establish opinion-

based equities within an organization—a proverbial bridge between upper management

and staff. In such an environment, all individuals could be afforded the equivalent means

to bring about change. Playing this idea out to its logical conclusion, an egalitarian

organization would inadvertently conceive a hopeless utilitarian system of burden on

itself where the supreme aim is the greatest good for the greatest number of people.

Again, consider the infinite problems associated with a for-profit organization of 2,000

employees with 2,000 disparate innovative ideas and paradigms that must be afforded the

same opportunity. At what point is the greatest good for the greatest number of people

reached? Self-interests of individuals and self-perpetuation will often supersede what is

in the best interest of the organization. Is it really possible to leave the organization to all

its individuals to drive change? The harsh but true reality is that despite what the "psycho-Nuevo" management gurus proclaim, in a free enterprise society, the organization does not exist for the workers, but rather for the owners of the enterprise—the shareholders.

Hoopes (2003) throws the proverbial monkey wrench into the democratic management practices popular today. He argues that business is based on qualities like authority, power, centralized decision-making, and control, not democracy. Surowiecki (2004) in relating Hoopes' perspective, states, "Advocates of the more democratic bottom-up corporation are either fooling themselves or else providing a useful cover story for executives who, when push comes to shove, have the final say. Top-down power is built into the very DNA of the corporation, Hoopes argues, and there's no point in trying to eliminate it" (p. 214).

Bennis & Peters (1993) offer a similar dare to hyper-democratic, decentralized leadership when they say that, in contexts where individuals are their own bosses and no one is in charge of a group, chaos inevitably takes over. Although proponents of participative, employee-supported change exists, Pendlebury, Grouard, and Meston (1998) argue that the "dynamic of change" could be destroyed if employees discover that their ideas are not heeded or given weight. Consider the sheer magnitude of responses management would be responsible to mull over and at what point would the organization reach a point of diminishing returns? In all practical application, the democratic ideal makes sense, but applying it to business is where reality ceases.

There is no doubt that restraint should be considered here. The management theory pendulum continues to swing and few would support the abuses and

dehumanization of a pure Theory X management application in organizations today. The Theory X management style (McGregor 1960, cited in Harris, 1993) advocates an environment of high efficiency and productivity at the expense of individual employee morale and well being. The Theory X philosophy forwards the idea that the realization of higher productivity will be achieved through increasing efficiency. Employees are viewed as a lazy resource, largely untrustworthy. They are granted very little freedom and are subject to communication from superiors with little or no opportunity to provide feedback (Harris, 1993). Even when Theory X was the managerial norm, Henry Ford's automobile plant maintained an average 280 percent turnover operating according to the Theory X (i.e., scientific management) philosophy (Morgan, 1986 as cited in Eisenberg & Goodall, 1993).

Because the social/organizational pendulums never ceases to swing, the elevation of humankind from Theory X's viewpoint of individuals as cogs in the organizational wheel to the Theory Y view of management has resulted in happier and more productive employees. Although the Theory X managerial philosophy may continue to be practiced in some organizational pockets still today, there is little question as to whether most organizations have transcended the abuses of the Industrial Age. Business and industry have improved their lots significantly through the creation of laws and more humane forms of management. The labor laws and human resource policies reflect a spirit of humanitarianism and greater regard for the employee. Hostile working conditions and employee abuse have been replaced with a greater regard for the employee population; fear of litigation has all but made the employee a protected class. Nevertheless, the fact remains, sound principles of management should not be thrown out with the ambitious

purpose of ushering in something new and innovative. The traditional hierarchy and its business practices— the abuses of the Theory X management philosophy notwithstanding—remain a viable strategic structure (Ashkenas, 1995).

Business leaders continually fall for the latest fads in managerial practices (Abrahamson, 1991, 1996; Gill & Whittle, 1992). New management styles and pop-culture management ideologies continue to succumb to the siren song of financial prosperity which offers promises of higher productivity and profits but result in frustration and a two-thirds failure rate (Abrahamson, 1991; Maurer, 1996).

Innovative management gurus and self proclaimed organizational prophets offer management change philosophies that neither hold water and usually fail at the first sign of implementation. They then point fingers at their clients when a flawed business philosophy lives up to its nature. Take for example a telling study by Bartlett & Ghoshal (1998). They state, "according to a recent survey, between 1990 and 1994 the average company had committed itself to using 11.8 of 25 such currently popular management tools and techniques—from corporate visioning to TQM programs to empowerment and reengineering processes. Despite this wide-spread frenzy of activity, the study found no correlation between the number of tools a company uses and its satisfaction with its financial performance" (Bartlett & Ghoshal, 1998, p. 253). Authors like Robert Kriegel (1991) sell books in mass called, "If It Ain't Broke, Break It" and well-intended managers blindly lead their following down a path where they neither know the destination nor its start. Others state,

…centralized, or top-down control is a ticket to disaster—shared purpose

and vision, rather than tight audits, are the new controls for making sure

that empowered people make decisions that align with global strategies.

This alone is a big challenge for people who learned to be successful as

controllers. Management has diminished in importance (Miller, 1999, p.103).

Contrast this with the recent publication by organizational behavior expert,

Harold Leavitt, who argues that traditional, top-down hierarchy, remains the viable

standard by which successful organizations will function (Leavitt, 2004).

Ultimately, change must be infused in management practices to support that very

thing—change. New change management ideologies need to be properly incorporated

into traditional management practices (Ashkenas, 1995). Klaus-Peter Gushurst (2004)

notes: "Corporate leaders are reverting to classic styles of leadership" (p. 1). Gushurst

goes on to state, "Increasingly, senior executives, even entire corporate cultures, are

combining classic leadership values, such as discipline, focus, and execution, with more

contemporary values, including openness, a greater emphasis on the quality of

communication, and naturalness. This bodes well for the future of all companies" (p. 1).

In light of the pop-culture business literature and the latest and greatest in

research findings and organizational epiphanies, human motivation has not changed and

the principles of sound business practice have not changed. The principles of sound

management and leadership skills are as applicable today as they were in antiquity.

These principles have not necessarily changed so much as the words used to describe

them.

It would not seem overly presumptuous to contend that among scholars and management gurus that the layman does not understand the latest and greatest buzz words and nomenclature. This in turn makes them alone privy to the "knowledge" of the industry or discipline. It lends credibility to the innovator; they have stumbled onto something new. An old concept is introduced in a new package and a flurry of literature touting its effectiveness and importance emerges. In spite of all this hype, fundamental principles continue to serve organizations well and to do away with these notions because they are old is both reckless and unfounded. The exuberance of innovation should be tempered with tried and true business management philosophies in order to find an equal footing so that well intended leaders are not running blindfolded in a thickly wooded forest. Change is inevitable, that fact remains, but to eradicate hundreds of years of management practices leaves us impotent in hopes of something new that will tickle our ears and hearts, and pad the shareholder's pocket books.

Change is difficult (Kanter, 1983). Disturbance and uncertainty lie at its root. Appreciated or resented, it is a phenomenon typified by chaos and demands management expertise. Ultimately, it requires vision and necessitates effective leaders who must create an environment where disturbance, chaos, and uncertainty are safe experiences for their followers. These leaders must not only possess the kind of courage to muddle through tumultuous conditions (Burns, 1978; Nanus, 1989), they must perpetuate chaos long enough for their followers to learn and grow from the experience. They also must instill the courage to create stability within the chaos. Does the orchestra learn the subtleties of a difficult new concerto without a knowledgeable leader guiding the players through the process? Leaders who understand both the necessity of leadership as well as

an individual's contributions to organizational success, must sagaciously couple the two in order to both create an environment that minimizes vulnerabilities of a collective free-for-all and utilizes the benefits and strengths of a democratic environment.

The Leader's Vision

Leadership is summarily the lynch pin for effective and sustained change as change is conceived in the vision of leadership. Vision is defined by Merriam-Webster as the "act or power of imagination", "the mode of seeing or conceiving", "unusual discernment or foresight" (Retrieved February 15, 2005 from http://www.m-w.com/cgi-bin/dictionary?book=Dictionary&va=vision). It is the act of determining what the future will or should look like (Cummings & Worley, 2001). Bennis (2003) defines it as "the first basic ingredient of leadership" (p. 31). It is the ability to look into the future and set a course for business direction.

Leaders are the catalysts and conduits by which radical change is realized (e.g. Kouzes & Posner, 1997; Tichy & Devanna, 1986). The essence of leadership is by and large the process of casting a vision, raising the proverbial bar of expectations and then assuming the risks of changing an organization (Bass, 1990). No other segment of change is more crucial to the long-term success of an organization than the ability to envision future possibilities and set an organization on the course to making it a reality. The reality of radical change, innovation, and dramatic improvement originates first in a group's ability to envision or foresee the future. In its most rudimentary form, visioning requires the full conception of the business vision laid forth by executive leadership (Kouzes & Posner, 1997).

Robert Miles (1997) cites studies by Beer, Bennis, and Nanus identifying three core competencies of change leaders. Those three competencies are:

1) Leaders hold the view that transformation or change is a prerequisite for a competitive advantage.

2) Leaders articulate this view through a compelling vision.

3) Leaders possess the ability to make the vision a reality.

Miles goes on to cite teamwork and courage as qualities necessary to help support the achievement of the vision. In short, a culture for leading change and the practice of innovation, both by-products of leadership, must be developed within the company by the leader (Drucker, 1999).

Kanter (1999) identifies three key attributes possessed by successful leaders: 1) the "Imagination to Innovate", 2) "Professionalism to Perform", and 3) "Openness to Collaborate". The "Imagination to Innovate" is manifested by the "ideas, models, and applications of technology that set an organization apart". The Professionalism to Perform is marked by an ability to deliver value and results (e.g. Ulrich, Zenger, & Smallwood, 1999). Finally, the "Openness to Collaborate" is akin to networking in which leaders look to others to assist them in extending the organization's reach and improve its offerings and delivery.

<div align="center">Leader Driven Change</div>

Change must be supported by upper management to be effective (French & Bell, 1999; Hambrick, Nadler, & Tushman, 1998; Kotter, 1995; Levesque, 1998). "Leadership produces change. That is its primary function" (Kotter, 1990, p. 35). "Change and leadership go hand in hand. Causing change and great leadership also go hand in hand"

(Harari, 1999, p. 35; e.g. Kanter, 1992). The leader sets an organization's vision through the strategies of change to reach the vision (Kotter, 1990).

The literature is replete with support for the leader driven change management model. Leaders must set the strategic direction for the organization and then determine when and how the change should be introduced to the organization (Cummings & Worley, 2001). Few in the research literature would contest the leader's role in vision creation, motivating employees toward that end, and providing the support necessary to accomplish the vision (Bass 1999; Guskin, 1996; Tushman, Newman, & Nadler, 1988). Bennis (1989) concurs with this view by asking, "What should the president him or herself do? The president should be a conceptualist. That's something more than just being an idea man. It means being a leader with entrepreneurial vision and the time to spend thinking about the forces that will affect the destiny of the institution" (p. 17).

In today's organizational landscape, the prerequisite for effective leadership is being a proponent for change and creating a culture which fosters an environment of questioning the status quo and pushing the so-called innovative envelope (Laurie, 2000; Levesque, 1998).

The "sine qua non" is that leaders must be change agents. Yukl (1998) states that leading change, "is the essence of leadership and everything else is secondary" (p. 438). Dauphinais & Price (1998) contend that "being a personal agent of change and an arch implementer is what distinguishes the new breed of CEO" (Dauphinais & Price, 1998, p. 10).

Despite the arguments against leader-driven change in the literature, the impact of leadership on the ability of an organization to change is unparalleled (Anderson &

Ackerman-Anderson, 2001). Kotter and Heskett (1992) support the notion that in order

for change to come to pass, it must originate at the top (e.g., Nadler, 1997). They go on

to state that, "The single most visible factor that distinguishes major cultural changes that

succeed from those that fail is competent leadership at the top" (Kotter & Heskett, 1992,

p. 84). Echoing this view, Reynierse (1994) states, "Organizational transformation is

essentially a top-down activity. It cannot be delegated. If the CEO perceives the need for

change, makes it a top priority, and gives it a great deal of time and attention, the

organization will change. By the same token, if the CEO offers only limited lip service,

needed changes just won't happen" (p. 40).

Attuned to the special role of leadership, Nadler (1997) states, "There is no

substitute for an active, personally committed CEO who is willing to do the critical things

that only a CEO can do during periods of change…The chief executive simply cannot

delegate the leadership of change. In episodes of massive change at the enterprise level,

CEOs assume a role that transcends their routine chores as head of the organization.

These leaders become the psychological focal point for many of their employees; in an

almost mystical way they become the personal embodiment of the institution, its values,

its beliefs, and its future" (p. 269).

There is little doubt that initiating and driving change will create a state of

organizational chaos. However, as alluded to previously, leaders must be proponents of

managed chaos. In fact, the latent impact of leaders is much greater when major changes

threaten the status quo of the environment (Tushman & Anderson, 1986; Bennis, 1989).

The review of the literature highlighted the predominant research in the discipline

of organizational change and attempted to provide the reader with a historical overview

of some of the most referenced change management methodologies. In addition,

common barriers to change were highlighted, varying sources of change were referenced,

and the crucial role of leadership in driving change was also demonstrated in the review.

Chapter III

The Brain Trust Model

The absolute necessity of senior leadership's role in leading organizational change is apparent as executive management is by and large the primary impetus for change, vision, and operational direction. Nevertheless, the daily challenges of leading an organization greatly tax a leader's capacity to drive innovation and change. This leads to the question of how substantive and sustained change can actually be accomplished considering the increasingly mounting resistance to initiating change and the difficulty that change presents to leaders.

Leading change is a daunting undertaking and one that is not without challenge (Kanter, 1983). Bennis (1989) states, "An unconscious conspiracy in contemporary society prevents leaders, no matter what their original vision, from taking charge and making changes. Within any organization, an entrenched bureaucracy with a commitment to the status quo undermines the unwary leader" (p. xiv).

The Role of Consultants in Leading Change

Behind every great leader is an advisor (Bennis, 1989), and according to Jeanne Sahadi, CNN/Money senior writer, "behind every great candidate are consultants, often highly paid ones" (Sahadi, 2004). The underlying premise for Bennis' remark is complex and the veracity of his statement is quite remarkable.

The varied roles management and efficiency consultants play in both the overall effectiveness of executives as well as positive organizational performance is tremendous. In fact, it's quite remarkable given the deity-like veneration imparted to executive management today. The ever-changing organizational landscape makes leadership and

the notion of leading an organization daunting at minimum. The reality is that no one individual is consistently able to procure all the necessary data or amass the knowledge to perpetually make sound decisions in today's dynamic environment (Kotter, 1996).

In a world where failure is organizational suicide, the prospect of assuming the "great leader" mentality is rife with danger, and none more apparent than in leading change. In the face of the Lone Ranger, pull-yourself-up-by-your-own-bootstraps,-walking-immortal-mentality of today's business executive, Surowiecki (2004), in speaking to the benefit of collective wisdom writes, "When the decisions are made, it makes little sense, given everything we know about the virtues of collective decision making and about the importance of diversity, to concentrate power in the hands of one person. In fact, the more important the decision, the more important it is that it not be left in the hands of a single person" (p. 222).

Enter consultants, advisors, and the behind-the-scene minds at work. Enter the forces that have developed a virtual co-dependency for modern-day organization's upper management. The basis of the relationship is vastly simple, but incredibly potent. This arrangement gives rise to co-dependency simply because consultants provide ever-elusive guidance and decision making data to leadership (Werther, Kerr, & Wright 1995), the clarion call and greatest need of leaders. Consultants are included in decision making by upper management simply due to the fact that executives "do not make decisions in a vacuum, and often seek the input of third parties at various stages in the strategic decision making process" (Saxton, 1995, p. 48).

The utility of management consultants in driving change is not diminutive. The profession realized over $10 billion in 1992 alone while witnessing an annual growth rate

of ten to twenty percent since the late 1980s (Ashton, 1991). More recent sources state that the consultancy industry generated over $45 billion in 1999 and employs approximately 225,000 individuals (Naficy, 1997). More telling is the fact that virtually every Fortune and Global Fortune has a hired a consulting firm to assist in operations of one kind or another (Naficy, 1997).

Enter the billion dollar industry and the absurdly prominent role consultants play in leading and driving change. One could certainly question the exorbitant amount of dolled out to these experts. However, significant associations have been correlated between management consultants and radical change (Ginsberg & Abrahamson, 1991). Kouzes & Posner (1997) and Bennis (1989) observe the timeless quandary for change leaders. They know the inevitably of change and its necessity; nevertheless, they struggle with the "know how" in order to successfully transform organizations. This is the allure and source of the dependence.

As related previously, the necessity of change coupled with employee resistance to change, coupled with organizational know how and results, all highlight a problem Bennis identifies when he states, "Those with power generally have no knowledge and those with the knowledge have no power" (Bennis, 1989, p. 30). Consider Bennis' statement in light of the aforementioned levels of employee resistance and couple it with the fact that individuals seek consistency and seek to create patterns and paradigms for the purposes of survival and adaptability and the complications become blatantly apparent. Moreover, consider the fact that CEOs devote a significant amount of time addressing problems and driving the completion of tasks rather than visioning and

leading change, all further compounding the ability of an organization to navigate change (Quinn, 1996).

The role of consultants in the change management discipline is to play the catalyst for change by influencing management (Hedberg, 1981), "…counteract[ing] inertial forces that may block the implementation of change" (Ginsberg & Abrahamson, 1991, p. 173), and serving as an avenue by which change is initiated (Lewin, 1951). Consultants are catalysts for change and often serve as stubborn drivers to overcome resistance and barriers to change (Ernst & Kieser, 2000; Naficy, 1997; Saxton, 1995). Stated simply, the consultant's role is facilitated through the process of challenging the status quo (Smircich & Stubbart, 1985).

Greiner and Metzger (1983) offer additional rationale for the use of consultants in organizations:

1. They provide independence and an unbiased judgment.

2. They present new ideas and a fresh approach.

3. They possess the ability to diagnose problems and evaluate solutions.

4. They perform tasks with technical skills infrequently needed on a day-to-day basis.

5. They supplement present skills of staff and management.

6. They implement systems and train employees.

Additional roles consultants play in the organizational context is they provide specific expertise leadership does not typically possess, provide coaching and/or directives that can bolster executive leadership management skills, and offer skills and

competencies entirely too cost-prohibitive for organizations to employ (Ashburn, 1995; Ernst & Kieser, 2000; Naficy, 1997; Sturdy, 1997; Tunwall & Busbin, 1991).

The use of a third party or consultant can provide a necessary and significant interpersonal presence in the life of the executive. Joni (2004) addresses the interpersonal element when writing to the progressive isolationism experienced by senior level executives. She contends, "Senior leaders are often heavily protected by well-meaning executives and staff. Unfortunately, this protection can also inadvertently place you in an isolating bubble separated from the creative and dissident thinking you now need more than ever" (p. 165). The very nature of an organizational hierarchy lends itself to shielding an executive from the feedback, interpersonal interaction, and creative opposition that occurs at lower levels of management. It is in this context that points of view that stand in opposition to the executive's are often muted (Surowiecki, 2004).

As alluded to previously, the nature of the role of the executive manager lends itself to isolation, and thus, a position of vulnerability. Executives can find themselves exceedingly isolated from criticism or coaching opportunities which can lead to serious interpersonal blind spots, a lack of accountability, and a dearth of relational interaction—all necessary components in the life of a leader. Consultants can serve an important role as a coach or advisor without suffering the repercussions or difficulties of informing the emperor that his or her clothes are missing. The absence of personal agendas and offering an element of organizational anonymity and objectivity are powerful benefits only consultants or a third party can extend to an organization.

A second and oft taboo issue among the executive elite is the need for a validator or confidant. While isolation lends itself to an existence of receiving very little bad news,

there is a lack of reassurance or positive validation experienced in the position of chief executive officer. Consultants can help solidify planned actions, provide legitimacy and reassurance, and influence and support ideas or action a leader may undertake (Ernst & Kieser, 2000), thereby helping to prevent insecurities and uncertainties in their leadership role (Fincham, 1999; Watson, 1994).

Objectivity is a significant contribution a third-party can confer to an organization. A third party can and will often bring out the merits and challenges of a decision. This outcome can lead the executive ultimately to trust the merit of the consultants' opinion simply because of the rare position that the consultant holds; they gain little from a decision and don't have an organizational axe to grind. In a very real way, organizational familiarity breeds organizational contempt. Day-to-day interaction diminishes the credibility and novelty that is so lucrative to a senior leader. A facet of objectivity is the standardizing nature of problem solving. The passive observer or the "new set of eyes" can often lend itself to seeing things in a novel or original manner. The role of consultant or third party provides an element of objectivity that is absent in most corporate environments (Naficy, 1997; Trout, 1999).

In addition to the supremely important characteristic of objectivity, the role consultants play must be supported by their knowledge set. A consultant's mind is their business. They have the resources to develop new management knowledge and can provide or are perceived to provide management techniques that are the latest and greatest (Ernst & Kieser, 2000; Sturdy, 1997). This perception lends security and positive validation to the decisions executives are making. Closely akin to knowledge gaining, consultants can help educate clients on best practices and what other

organizations are doing (Beer, Eisenstat, & Spector, 1990). In short, they can and do satisfy executive needs for new management techniques or ideas for controlling the resources within their organization (Sturdy, 1997).

Most notably, the role of leader or chief executive officer is politically charged and the implications of their decisions are of exceeding importance relative to the views of the employee population and the leader's direct reports. There is a scarcity of resources that must be contended with and this can often mean a loss of employees as a result of cost-cutting measures. Although a necessary part of modern organizational life, cost-cutting decisions and employee layoffs must ultimately originate from the office of the leader and consultants can often play the role of scapegoat in these vastly unpopular management decisions (Naficy, 1997).

The benefits of employing external consultants and third parties are clearly evidenced in the literature, but the dependency on consultants is not without significant vulnerabilities for the leader. Every success experienced with the consultant at the helm, is likely to increase the degree to which unhealthy dependencies can ensue. The extent to which this is only perception or reality, potentially unhealthy dependencies on a consultant's expertise can be created by the consultant in order to secure further work— approximately two-thirds of a consultant's revenue is from repeat business (Rassam & Oates, 1991). Furthermore, consider that a consultant may experience pressure to perpetuate the relationship with the company. If the consultant has delivered advice that resulted in successful implementation of a product or design, a degree of credibility may be generated and increased dependency thus reinforced for the hiring executive (Fincham, 1999; Sturdy, 1997).

The dependent nature of the relationship between the executive and the consultant can foster vulnerabilities in the executive manager. Contrived uncertainty or problems that may or may not come to fruition can all be generated by the consultant in order to perpetuate dependency (Sturdy, 1997). Moreover, in the event problems arise with the consultant, as they often do, the manager or executive must understand when to terminate the relationship with the consultant.

According to Ernst & Kiesler (2000), while external consultants can and often do reduce the complexity of problems, issues or problems in the organization can be further complicated as the next product sponsored by the consultant is introduced with promises of larger gains or further improvements in established changes. Sturdy (1997) presents the unsightly underbelly of the consultancy world. Sturdy contends that organizational consultants:

- Do not provide an adequate cost/value of money

- Produce vague results and use techniques that cannot be proven

- Utilize nebulous and unvarying models despite client specific needs

- Lack knowledge specific to industry

- Use ideas which are repackaged to fit the current need

- Senior consultants typically sell the service but use more junior staff to perform the work

- Have a proclivity toward conservatism

- Typically are strong on formulating solutions but weak on implementation

- As a result of their position, tend to be insensitive to employee needs and the effect of change on employees.

- Utilize the knowledge learned within the company for themselves and their firms. As a result, the organization typically loses the "knowledge gain" from the experience. This can be especially detrimental as consultants can share company intelligence and secrets. The intellectual capital remains with the consultant and not with the organization.

- Firms typically pay consultants incentives to either sell more work or sustain the relationship with an organization.

Losing expertise and compromising intellectual property are primary encumbrances to employing consultants (Neely & Dehoff, 2004). When all is said and done, external consultants do not stay around long enough for mistakes or failures to become obvious (Trout, 1999).

Change Advisors (Internal Consultants)

A compelling alternative for circumventing the disadvantages and challenges of external management consultants is through the employment of internal consultants. An internal consultant can be defined as an employee or group of employees within of a specific organization who reports to senior management and plays the role of consultant or management consultant (Lacey, 1995). Block (1981) characterizes the role of internal consultants as "at every moment imbedded in some part of the hierarchy and the current politics of the organization" (p. 105). They are also labeled change agents who wield influence over individuals (Johri, Cooper, Prokopenko, 1998).

The competencies and benefits associated with traditional external management consultants is rapidly becoming a lucrative role sought internally within organizations. The utilization of the internal consulting function is gaining recognition in modern day

77

organizations. Evidence suggests organizations which have developed functioning and effective internal consultancy groups experience enhanced business benefits such as faster implementation, reduced project costs, a superior in-depth knowledge of the business and ironically, a greater capacity for the utilization of external consultants (Vyas, 2000).

Internal consultants will play a significant role in meeting the ever-increasing demands of the economic landscape in the years to come (Johri, Cooper, Prokopenko, 1998). Two of the major drivers for this contribution are both the familiarity the internal consultant possesses with the employing organization and the reduction in costs associated with hiring external consultants. Moreover, according to research, businesses are augmenting their internal consultancy competencies in order to reduce their reliance on external consultants (Vyas, 2000). The basis for this is ample indeed.

Often an external consultant's view of a problem is primarily symptomatic, based on what can be perceived superficially and not based on the core or root of the problem. While the use of external consultants can afford organizations objectivity, it can frustrate a comprehensive understanding of a business problem. The intimate knowledge of the organization held by the internal consultant helps alleviate this issue. The internal consultant's tried and true knowledge of the organization's people, processes, and operations provide a level of understanding unattainable by an external or third party. The internal consultant knows and understands the corporation's culture, the potential pitfalls, and the executive sponsors who will support or oppose a change initiative.

For the purposes of change and innovation, the overall benefits of in-house experts can outweigh the objectivity and external focus external consultants may bring to

an organization.   As shown in Table 1, Lacey (1995) provides an assessment of external and internal consultants, demonstrates differences, and highlights the merit of internal consultants and change agents.

The BTM

A radical paradigm shift in the notion of how change is approached and managed is well over due. A viable solution for addressing the problems of change and providing leaders the ability to drive change from the top may be achieved through employing change agents directly employed by CEOs and Boards of Directors. By isolating decision makers or brokers of important data from the bureaucracy, the quality of decision making, innovation, and problem solving is cosseted. If one is to accept the supposition that change is ultimately a leader driven phenomenon, supporting and equipping CEOs and Boards of Directors with internal consultants in order to manage change is an obvious strategic conclusion.

It is only rational to support and equip CEOs and Boards of Directors in their quest to generate the ideas of change. "CEOs are expected to play four general competing roles: vision setter, motivator, analyzer, and taskmaster. In the vision setter role, the CEO attends to the future, remains up to date with emerging trends, focuses on purpose and direction, and communicates a sense of where the company will be over the long term" (Quinn, 1996, p. 149). This model is a means to that end. The model will provide a viable alternative to the influx of change management literature which has remained insufficiently capable of providing leaders with a feasible and long standing method for managing change within organizations. The inability of the change literature to counteract the innumerable problems of leading and managing change (Anderson &

Table 1: External Consultants vs. Internal Consultants

External consultants	Internal Consultants
Entering	
• Source Clients	Ready access to clients
• Build Relationships	Ready relationships
• Learn company jargon	Know company jargon
• "Presenting problem" challenge	Understands root causes
• Time Consuming	Time Efficient
• Stressful phase	Congenial phase
• Select project/client according to own criteria	Obligated to work all
• Unpredictable income	Steady pay
Contracting	
• Formal documents	Informal agreements
• Can terminate project at will	Must complete projects as assigned
• Information confidential	Information open or confidential
Diagnosing	
• Meet most organization members	Has relationships with members
• Prestige from being external	Prestige determined by job rank and client stature
• Build trust quickly	Sustain reputation as trustworthy

Source: Lacey (1995)

Anderson, 2001) demands itself, a change. Scaling a two-thirds failure rate (Maurer, 1996) and an ever-increasing societal dictate for success, demands a new model that will provide leaders a fighting chance to make change within their respective organizations a reality.

<div align="center">Goal of the BTM</div>

Akin to a think tank or a senator's staff, the BTM seeks to equip executive leadership to lead change in all its facets, provide viable solutions to the problems associated with change (e.g. corporate shortcomings, lack of innovation, resistance, problems associated with change), and augment the ability of leaders to drive change from the top.

This is accomplished by redesigning the internal consultant's functional responsibilities and repositioning organizational change agents to a position where it is hypothesized that they will be more effective than the traditional organizational change model.

The BTM consists of a small team of individuals (e.g. internal consultants) that will provide expertise to the CEO and Board of Directors in the areas of problem framing, idea generation, problem solving, devising innovative solutions to organizational problems, and researching and spanning the environment for changes outside the organization that may adversely affect the organization. The BTM membership constitutes a wide variety of abilities and competency sets. These individuals possess qualities such as creativity, critical thinking, and innovation and individual and cognitive characteristics conducive to creativity and innovation. These

cognitive aptitudes or dispositions toward creativity are generally agreed upon in the research literature and are as follows:

- Possess a tolerance for ambiguity, work autonomously, are curious, think in a non-standard, unconventional manner (Adams-Price, 1998; Albert, 1996; Amabile, 1996).

- Are able to adapt to new situations or contexts, possess a high degree of self confidence, are tolerant of ambiguity, passionate about their work, and are energized by complex problems or issues (Csikszentmihalyi, 1996; Oldham & Cummings, 1996).

- Possess a willingness to take creative risks, tend to be immersed in their ideas, possess as sense of wonder, desire to be different, challenge the status quo, are adventurous, and possess a tolerance for failure (Davis & Rimm, 1998; Gardner, 1993).

- Usually possess a sense of humor (Amabile, 1996) and are playful (Csikszentmihalyi, 1996).

Dispositions or traits inclined toward innovativeness are also well substantiated within the literature. Highly innovative people possess a desire to know and tend to be intrinsically motivated (Hughes, 2003). The Kirton Adaptor-Innovator (KAI) Inventory (Kirton, 1980, 1989) posits that individuals possess a "cognitive style that affects problem identification and solution, decision making, and creativity (Kirton, Bailey, & Glendinning, 1991, p. 445). Kirton's KAI inventory ascribes particular attributes to individuals according to the manner by which they generate creative ideas and solve problems; Kirton partitions these preferred cognitive styles into two classes: "Adaptors"

and "Innovators". Innovators, as defined by Kirton, tend to possess or exhibit the following characteristics:

- Redefine problems in attempts to do things better

- Generate ideas that are often unacceptable or unconventional to others

- Lean toward unstructured situations

- Struggle with organizational demands

On the opposite end of the continuum, Kirton's Adaption Innovation Inventory (KAI) defines innovators, "Innovators…tend to redefine the problem, and aim at solutions by doing things differently. The innovator proliferates ideas, seeks a broader realization of efficiency by proposing radical change and is likely to threaten or subvert the traditional and accepted framework of rules" (Buttner, Gryskiewicz, & Hidore, 1999, p. 229). Finally, according to Kirton, Bailey, and Glendinning (1991), innovators prefer radical change over evolutionary change, less structure and constraints.

In addition to possessing the aforementioned traits, closely aligned with the KAI, members of the BTM would be change agents by nature and have an ability to think independently and abstractly. Their backgrounds are as varied as their membership. The BTM team consist of retired businesspeople, retired college professors, new college grads, artists and musicians by trade. The competencies this diverse group could confer on any environment are their creative minds and their fresh and innovative view points. For the purpose of this research, the BTM will focus exclusively on the process of change and equipping executive leadership to become the catalysts of change.

The Rationale of the BTM

The primary goals of the BTM are to standardize and develop a structure to enhance the change management skills of leaders and utilize the quality of decision making that group synergy can generate in an organization. The proposition of supporting the senior most leadership to accomplish tasks or make quality decisions is not a new concept. In fact, "People in high places have always been able to seek advice and counsel from the best and brightest…..history is full of wise counselors whose primary role was to be a sounding board and intellectual foil for the one in charge" (Joni, 2004, p. 14).

Nadler (1997) proposes several, frequently occurring reasons for the failure of many organizational change initiatives; several of which fall under the purview of leadership. First and foremost, he asserts that all too often, executives delegate the ultimate responsibility of leading change to their subordinates. Second, he contends that leaders develop strategies and organizational machinations in isolation from the rest of the organization and then present them for implementation to an unexpected and stubborn organization. Third, he posits that executives often too hastily make decisions without weighing all the options and securing all the necessary information to make informed decisions. The role of the BTM will diminish the likelihood of these failures.

The rationale behind the development and incorporation of the BMT is based on three primary theoretical propositions, which are described in the subsequent pages:

Proposition 1: In the context of organizations, groups develop a greater quantity and a higher quality of ideas than individuals.

The foundation of the BTM hinges upon the view that groups are collectively keener, develop a greater, and higher quality of ideas than the individual alone. Surowiecki (2004), contends that groups are by and large more intelligent than even the most intellectual individual within the group. He further elaborates on this by stating, "We know that the more power you give a single individual in the face of complexity and uncertainty the more likely it is that bad decisions will get made" (Surowiecki, 2004, p. 220). Moreover, in final, he states, "In the face of uncertainty, the collective judgment of a group of executives will trump that of even the smartest executive" (p. 223).

The complexities and turbulence of the new organizational environment are ushering in a greater utilization of groups and group decision making (Beer, Eisenstat, & Spector, 1990; Bettenhausen, 1991; Hackman & Wageman, 1995; Hamel & Prahalad, 1989). A group is "A distinguishable set of two or more people who interact, dynamically, interdependently and adaptively toward a common and valued goal/objective/mission, who have each been assigned specific roles or functions to perform and who have a limited life-span of membership" (Salas, Dickinson, Converse, & Tannenbaum, 1992, p. 4).

Utilizing collective decision making and groups to help organizations achieve business objectives is on the increase (Bettenhausen, 1991; Bowen, 1995). Hambrick and Finkelstein (1987) highlight the benefits of groups in the decision making process and assert that groups increase innovation, enhance problem solving skills, and provide a wider variety of perspectives to a problem than do individuals. Research demonstrates that groups possess higher decision quality than do individuals in staged decision making (Hollman, 1972; Shaw, 1976; Smith, 1989). Finally, the memory of a group is more

accurate than individual memory and tends to be more confident in their decisions than that of individuals (Ahlawat, 1999).

A fundamental detriment to the oft solitary leadership paradigm is both the analysis and conclusion arrived at in the so-called vacuum of external data. The BTM provides the infrastructure to draw on this paradigm of higher productivity and better decision-making through groups. Entities like Lockheed's "Skunkworks" and the Manhattan Project all prove the unconventional success that groups of individuals can produce given the right context and environment. Both broke away from conventional processes and procedures, and in this revolution, changed the course of history in both their respective arenas.

Bennis and Biederman (1997) make a number of strong arguments for group contingent activities and decision making. They state:

- "The more I learned, the more I realized that the usual way of looking at groups and leadership, as separate phenomena, was no longer adequate" (p. xv).

- "The most urgent projects require the coordinated contributions of many talented people. Whether the task is building a global business or discovering the mysteries of the brain, one person can't hope to accomplish it, however gifted or energetic he or she may be. There are simply too many problems to be identified and solved, too many connections to be made" (p. 2).

- "A recent study of senior executives of international firms published by Korn-Ferry, the world's largest executive search firm, and the Economist

resoundingly confirms our thesis that tomorrow's organizations will be managed by teams of leaders" (p. 3).

Groups raise the bar by way of a group dynamic manifest by competition and peer pressure which in turn fosters an increased level of performance. This group dynamic elevates the level of work, thinking, and quality of final conclusions well beyond an individual's own ability to do so (Surowiecki, 2004).

Hargrove (1998) highlights the benefits of the group dynamic in the area of collaboration and creativity. He states that true creativity arises when unique, disparate frames of reference are joined which result in the creation of a new idea (e.g. Leonard, 1998).

The group dynamic is not without its challenges, groups do not necessarily equate to better decision making or higher productivity (Janis, 1972). Nevertheless, the benefit of their use is clear. Still, specific activities must be undertaken to ensure that the group remains healthy and productive.

Proposition 2: Change must be driven by senior leadership to be truly effective and sustainable.

There is a symbiotic relationship between the involvement of the senior most executive and the impact of change on an organization. Furthermore, the larger the effect of the change on an organization (e.g. functional areas affected, impact to current culture or contrast to organizational strategy or culture, and realignment of strategic direction), the more heavily the CEO or most senior leader must be involved in directing, cheerleading, and providing oversight to an organizational change initiative.

Social and technological change is generating a demand for alternative forms of leadership as well as an improved leadership competency (Katzenbach, 1997). The rationale behind this is clear. Leaders are the primary architects, agents for reinforcement, and builders of culture (Schein 1998). If leaders are not pioneering change efforts within the organization, change initiatives that contradict the underlying culture and values of the organization will fail. The role of protecting the change is the sole responsibility of the leader. In short, societal change is necessitating a changing of the guard for an insufficient leadership typology and methodology.

The process of leading change is riddled with resistance and inertia. In order to counteract the occurrence of these phenomena, the presence and direction of the senior leader is absolutely critical. An all too common mistake leaders make is to discount the impact of organizational change on employees (Kotter, 1996). In fact, according to Kiely (1995) one of the primary reasons for the failure of reengineering projects and change initiatives is the wrong leadership or relegation of responsibility of leadership to consultants. The rationale for Kiely's assertion is obvious in light of the significant impact change has on employees. In circumstances when employees are considerably impacted both professionally and personally, leadership must be positioned at the helm driving the organization to realize the change, all the while providing a justification/ rationale for the change (Kotter, 1996). Environments in the process of change can experience political infighting and individuals interested in personal agendas could ultimately sabotage the initiative thereby putting the change initiative as well as the CEO at risk. Bottom line, unless senior most leadership is actively leading the charge, the likelihood of realizing successful change is greatly diminished.

The involvement of the senior most leaders is even more critical in light of the magnitude of change on an organization. The greater the magnitude of change on employees, the more "leader directed" activities will be required and less follower directed activities will be permitted (Hersey & Blanchard, 1977). All in all, the more resilient the resistance, the more actively involved the CEO must be in the process.

A benchmarking report cited in *The Best Practices in Change Management* (2004) studied a sample of 288 organizations consisting of team leaders, change management advisory team members, project team members, consultants and management sponsors. The study revealed that the single most important contributor to change management success is the sponsorship of executive leadership. The top obstacle to successful change initiatives is employee resistance at all levels of an organization.

Proposition 3: **Developing an internal model/internal consulting group in order to support executive leadership by isolating and removing them from the bureaucratic environment—in order to protect the quality of decision making—increases creativity, and problem solving.**

Senior-most executive leadership needs a supporting team. Surowiecki (2004) writes that assumptions are held "that integration, hierarchy, and the concentration of power in a few hands leads to success – continue to exert a powerful hold on much of American business. While the success of Silicon Valley companies – which in general, do have more decentralized structures with less emphasis on top-down decision making – made companies anxious to at least appear, as they would say, pushing authority down the hierarchy, reality has only rarely matched appearance" (p. 207). He goes on to state that organizations are actually organized to discourage actionable, useful information to

such an extent that leadership is unlikely to receive the information they need (Surowiecki, 2004). While the veracity of Surowiecki's statement may be founded on solid data, the hindrances to receiving information are not without serious implications for change leadership. The BTM seeks to remedy this problem in its design.

According to Kanter (1999), the classic skills for leaders consist of being attuned to the environment and challenging the organizational status quo. She contends that a leader cannot know all or be in all places. Networks must be set up to determine what is taking place externally. Leaders must also look at how things are currently done and look for opportunities to improve them.

Echoing Kanter's contention, Nadler (1997) sets forth the means by which change can be realized. First, he reinforces the role of leader by having them stay attuned to changes in the environment in order to identify vulnerabilities and mitigate the risks associated with those vulnerabilities. Nadler goes on to identify the "diagnostic" process through which the collection of information can be quantified and the case made for making change a reality. In addition to scanning the environment for risks or threats and opportunities, he looks to the external environment as a source for benchmarking—a means to measure corporate performance and capabilities in light of competition.

Joni (2004) writes that the modern day demands on leadership are forcing leaders to turn to trusted, expert, and objective advisors. She goes on to state that "The rapid development of executive coaching points to the more general need leaders have for entirely confidential, external thinking partners to help them explore the issues with which they are confronted" (p. 23).

Rarely is change successfully achieved by one individual. In fact, strategic decisions are more commonly determined by groups than individuals (Day & Reibstein, 1997). In order to manage the complexities of change, teams of individuals must be actively involved with executive leadership (Axelrod, 2001; Kotter, 1996; Tushman & O'Reilly, 1997). This is evidenced by research which indicates that, in times of crises, top managers have a difficult time initiating change (Starbuck, Greve, Hedberg, 1978) Couple the need for a team and the difficulty of leading change in crises, and it is clear that there is an overwhelming need for the support that can be provided by the BTM.

Mitchell, Coles, and Metz (1999) argue for the careful consideration of those individuals responsible for implementing change. They contend that few within organizations can actually institute change and that the right caliber of talent must be in place to implement change successfully. They highlight the proverbial truism that "one bad apple can spoil the rest" by stating a very common, but key issue in the process of leading change: "One well connected person who is down on the project can infect others. Also, close ties may mean that it is difficult for people to suggest solutions that they know will be unpopular with someone else on the team whom they have worked with before" (p. 218). Furthermore, the authors contend that even top players within an organization can lose perspective in light of personal agendas. Although one obvious solution to avoiding the problems of change would be to bring in objective, "outsiders", the authors contend that change leaders do not have to come from outside the organization. In fact, individuals driving change from within the organization lend change more credibility and help reduce mistakes (Guskin, 1996).

The internal expert model is certainly not without challenges. Insiders, according to Schein (1999), develop a myopic-like view whereby the culture cannot be accurately perceived and assessed. In other words, objectivity has been compromised. He goes on to apply similar reasoning to the group dynamic and argues that a team consisting of all "insiders" is likely to misdiagnose or miss the data or the case for change. In that same vein, Tushman & O'Reilly (1997) assert that change is problematic because leaders are part of the very culture and systems that should be changed. Nadler (1997) makes a simple but solid assertion that it is naïve to assume that individuals who had a hand in building a culture will, in turn, be the ones who will play a role in its destruction. The case he makes is sound, formidable, and demonstrates the necessity for objectivity. However, Schein (1999) goes on to say that an external force (e.g. external consultant) cannot see or understand the individual cultural characteristics or intricacies of the organization as would an "insider".

Schein's solution is the construction of what he deems a "parallel system" whereby insiders work with consultants to develop change solutions. Furthermore, Schein (1999) argues that while change agents need not be leaders (and in fact contends that they will be more effective without the responsibility of leadership), he states "change leaders can articulate new directions, new values, and new visions, but it is usually the change team, functioning as a temporary parallel system, that defines exactly what is required of the organization in terms of new thinking and behavior" (p. 131).

Advisors or teams of advisors have the adroitness to play consequential and specialized roles in the organizations they serve. As a function of their organizational breadth, they possess keen insight into the needs of the organization and are able to serve

as conduits of the various insights of different levels and areas of an organization (Simonsen, 1997). In addition, advisory teams can dole out objective feedback to design teams, partner with change agents in order to support the data gathering activities required of a change initiative, serve as a liaison between external consultants and internal staff, and serve as project champions (Simonsen, 1997).

<div align="center">Creativity and Innovation</div>

Creativity and innovation are the necessary precursors to organizational change (Levy & Merry, 1986). Change cannot occur in the absence of innovation, nor can innovative solutions be derived without creativity. Leading change requires both innovation and creativity. Furthermore, techniques used to enhance creativity can also facilitate the process of developing transformational ideas. In other words, tactics used to generate creative ideas increase the development of transformational ideas and tactics (Nutt & Backoff, 1997).

In 2004, Booz Allen Hamilton conducted a survey of 50 companies from varying industries and reported 90 percent of the participating companies' perceived innovation as a critical means to the achievement of their strategic objectives (Neely & Dehoff, 2004). This supports the notion that one of the most critical variables related to organizational success is the presence of innovation within organizations (Kanter, 1983).

Creativity and innovation are changing the landscape of today's organization. As previously evidenced, the role of creativity and innovation in the discipline of change management is considerable. Pressures internal and external to organizations demand innovation in order to alleviate the stress associated with the pressure. These stresses and/or problems all serve as a powerful impetus for change and innovation. In fact, the

quality of transformation efforts is largely dependent on innovative and creative solutions (Taffinder, 1998). Creativity and creative solutions are playing an increasing role in the cultures of today's successful companies (Kao, 1997). Moreover, innovation is increasingly being viewed as a source of competitive advantage (Neely & Dehoff, 2004; Nadler, 1997).

Although success and competitive advantage hinge upon the creativity and innovation within organizations, they, like change, stand in opposition to traditional and conservative organizational norms. Conservatism is an attribute that has been appropriately perpetuated in business as a means of survival (Utterback, 1996). Wall Street heaps rewards on companies who successfully function in this manner. While the benefits are clear, leaders and managers must understand that in order to generate an environment conducive to creativity, organizational reins must be loosened and the ambiguity and indistinctness accompanying creativity must be tolerated for the greater gain of innovation.

However, managers are not wired for ambiguity. They are not taught to cope with the obstacles to opportunity creation, and are simply ill-prepared to lead in this manner (Bryman, 1992; Leonard & Swap, 1999). Utterback (1996) asserts that firms with exceedingly profitable businesses are typically the ones that are most conservative and risk averse. Tichy and Devanna (1986) assert that there is a belief that in many organizations it is counter-culture to the organization to look into the future and vision a different tomorrow. Therein lays the roadblock to organizational innovation and change. Furthermore, while structure is customarily the rule and adherence to tried and true

policies and practices helps to ensure organizational stability, their delimiting effects on change, innovation, and creativity are not trivial.

In spite of the proven track record of conservatism, Kao (1997) maintains that success ultimately will depend on an organization's ability to infuse the "respect for and belief" in creativity within the organization in order to make it a part of the culture or company personality.

Assuming a less pervasive view, Leonard & Swap (1999) argue for developing an environment which permits creative liberties but provides the control boundaries will offer. The authors contend that a balance must exist between the two. If too little freedom is afforded employees, ideas can be lost and squandered. If employees are imparted too much freedom, impractical, "pie in the sky" creations which are likely to take too long in the short corporate life cycle will result. Thus, creativity resulting in innovation will prosper in a controlled environment or ecology (Leonard & Swap, 1999). However, the structure should be balanced with the premise that creativity is a serendipitous event, not an event always planned for or generated (Robinson & Stern, 1997).

The BTM Explanation

Figure 2 is a diagram comparing the traditional organizational chart and the BTM organizational chart. Both diagrams reflect the relative positioning of organizational change agents within the organizational hierarchy and graphically illustrate the relative position of the BTM within the newly conceived organizational hierarchy as compared to the placement of change agents within traditional organization hierarchies.

The BTM organizational chart reveals the reporting relationship/structure of the BTM and illustrates the placement of the BTM in a higher organizational position (i.e. direct reporting relationship to the CEO) than the traditional placement of organizational change agents.

Figure 2: Change Agents - Traditional Organizational Placement vs. BTM
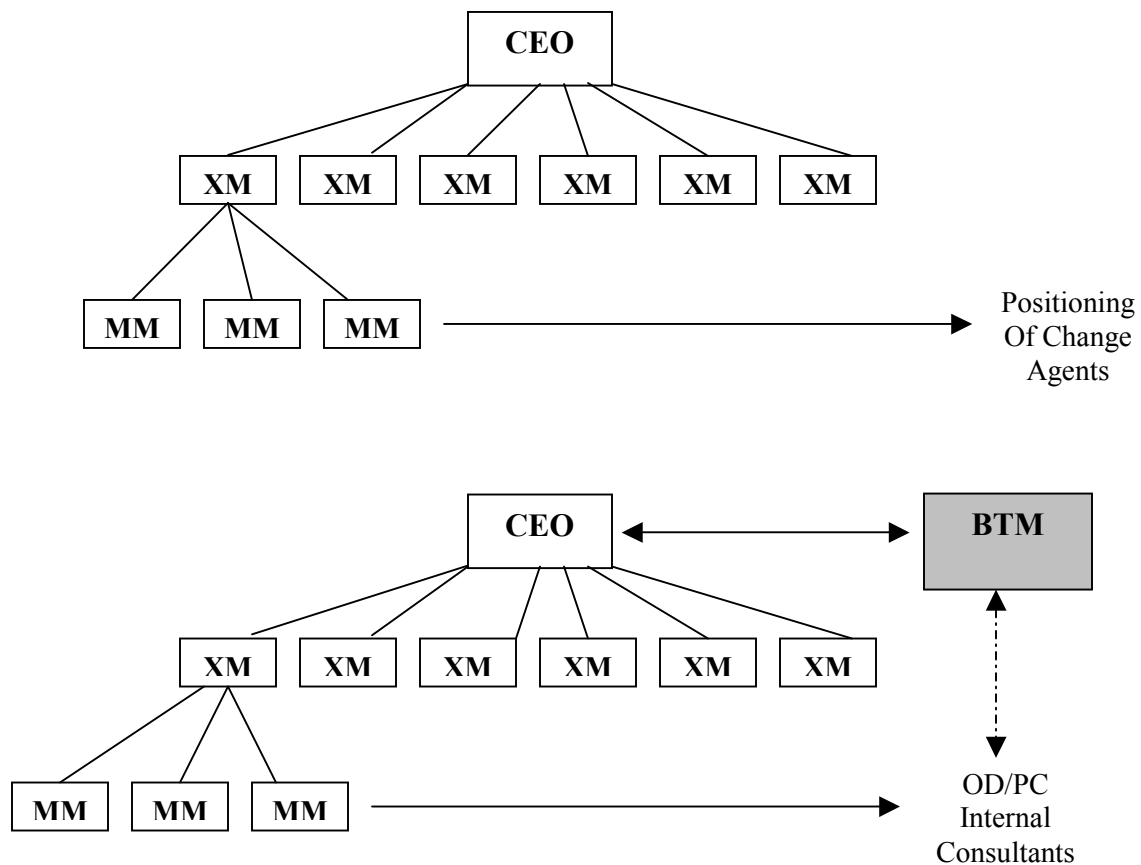
XM= Executive Management

MM= Middle Management

OD= Organization Development Consultant

PC= Process Improvement Consultant

The purpose of this modification (Fig. 2) is to equip and support the CEO in leading change and innovation and to avoid the primary barrier of organizational change, middle management (Hambrick, Geletkanycz, and Fredrickson, 1993). The remodeling of the traditional organizational structure is especially salient since change agent roles are typically housed within the middle management organizational layer.

Figures 3 and 4 demonstrate the full six-step methodology, highlight the domain of responsibilities within the BTM, and illustrate the idea generation activities that the model proposes. The diagram also illustrates both the traditional and BTM's primary activities and responsibilities related to each step of the Osborn Parnes Creative Problem Solving methodology (Parnes, 1965). The primary stages of the BTM methodology are based on the work of Alex Osborn and Sidney Parnes' Creative Problem Solving Process (CPS) (Parnes, 1965) and the inclusion of an important facet of Robert Cooper's (2002) Stage Gate Process Model, labeled "gates". The Osborn Parnes CPS Model is one of the oldest and most widely used creativity/problem solving tools in use today (Hughes, 2003) and has resulted in proven quantitative increases in revenue and production (Firestien, 1996). The model follows the framework of the CPS Model for Creative Thinking. The CPS Model for creative thinking is made up of the following activities: Objective Finding, Data/Fact Finding, Problem Finding, Idea Finding, Solution Finding, and finally, Acceptance Finding. A summary of the CPS model activities are as follows:

1. **Objective Finding:** Exploring a problem or situation and identifying an overarching goal.
2. **Data/Fact Finding:** Gathering the facts and information about the problem.

3.   **Problem Finding:** Examining and defining the various aspects of the problem. Clarifying and redefining the problem if necessary.

4.   **Idea Finding:** Generating ideas and brainstorming possible solutions.

5.   **Solution Finding:** Choosing the best possible solution.

6.   **Acceptance Finding:** Developing a plan for action.

Beginning at each of the six steps of the CPS process is a divergent activity. The divergent activity is dependent on the nature or purpose of each of the six stages and consists primarily of deferring judgment in order to facilitate the full exploration of each step. For example, at the Idea Finding stage of the process, divergence is manifest by deferring judgment to create as many connections, ideas, and innovative thoughts as possible. The conclusion of each step is represented by the equal and opposite behavior of divergence: convergence. Convergent activity constitutes taking the results of the divergence step and culling and distilling them down to useable material at each successive phase of the process.

Incorporating a new product development methodology into the BTM is an appropriate methodological addition. Competitiveness, organizational success, and the new product development process are closely interrelated (Brown & Eisenhardt, 1995; Clark & Fujimoto, 1991; Smith & Reinersten 1998; e.g. Wheelright & Clark, 1995). New Product Development (NPD) is also a process or activity by which organizations modify or improve themselves in order to account for and respond to external pressures and demands (Brown & Eisenhardt, 1995). Finally, NPD is critical to organizational survival (Simpson, Kollmannsberger, Schmalen, & Berkowitz, 2002). The aforementioned aspects mirror very closely the process and idiosyncrasies of driving

change within organizations. Therefore, this reinforces the justification for utilizing a

NPD methodology in the BTM.

Figure 3: The BTM Domain of Responsibility
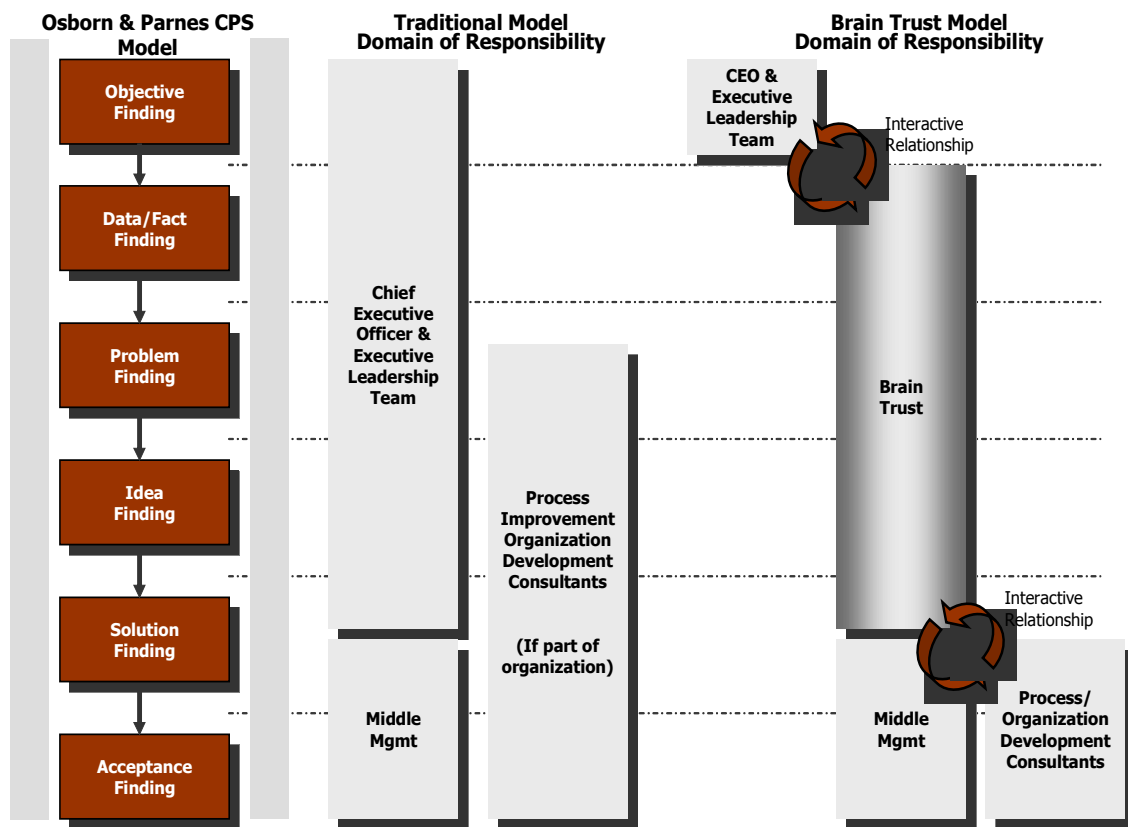
Figure 4: The BTM Methodology

Step I	Step II	Step III	Step IV	Step V	Step VI
CEO & Executive Leadership Team & Brain Trust	**Brain Trust**	**Brain Trust**	**Brain Trust**	**Brain Trust**	**Brain Trust Middle Management PI/IC**
Objective Finding	Data/Fact Finding	Problem Finding	Idea Finding	Solution Finding	Acceptance Finding
1 Gate	2 Gate	3 Gate	4 Gate	5 Gate	

➤ Conduct external environmental scanning	➤ Conduct analysis	➤ Validate the proper problem frame in light of analysis	➤ Conduct vision/ brainstorming sessions to determine solutions	➤ Provide justification or support for solution	➤ Develop a plan to implement the solution
➤ Determine opportunities	➤ Gather data	➤ Reframe problem if deemed appropriate based on the previous data/fact finding step	➤ Prepare alternatives	➤ Strengthen solution	➤ Develop philosophy and goals of the new idea or solution
➤ Identify problems	➤ Identify what is working			➤ Draft high level change recommendations	➤ Hand off the solution to organizational internal consultants or process consultants
➤ Frame problems	➤ Identify what is not working	➤ Determine the impact of the problem			➤ Design integrated solutions
➤ Determine threats	➤ Conduct best practice research				➤ Develop new process and structure to support the solution
➤ Determine rationale and drivers for change	➤ Assess current processes, statistics, organizational charts, and job descriptions				➤ Determine system support needs for the new design
➤ Conduct gap analysis					➤ Develop performance measures
➤ Determine project objectives					➤ Identify risks
					➤ Construct valuation model
					➤ Develop implementation plan

Note: The BTM Methodology (Fig. 4) details the specific steps each innovation endeavor will follow. The innovation, change process will typically follow a linear process beginning with Step I and concluding with Step VI. The activities associated with each step of the process should be completed before proceeding with the next step. It should be noted that the BTM enjoys a methodological flexibility in which exceptions are built into the model. This flexibility will allow the skipping of a stage or jumping to subsequent stages when situations merit. For example, in situations where adequate fact finding or due diligence has been previously conducted, no such requirement exists, thus eliminating the need to perform that stage in an innovation or change endeavor.

At each of the respective steps within in the methodology, the specific activities which will need to be accomplished are provided. Between each of the six steps are positioned "gates", or "go / no go" decision points along the process. These are intended to serve as milestones to ensure the activities at each step have been satisfactorily completed before proceeding to the next step. Figure 5 elaborates on the role and placement of the decision, "go/no-go" gates inherent within the BTM methodology.

The facet of Cooper's (2002) Model that bas been specifically applied to the BTM is his conception of gates. According to Cooper (1996), gates are strongly correlated with successful NPD projects. Cooper's (2002) Stage-Gate Process Model is a NPD process, considered to be the methodological mainstay for new product development. A 1997 study conducted by the Product Development & Management Association found that 68% of top U.S. product developers use some form of the Stage-Gate Process (Griffin, 1997). Furthermore, companies considered to be best-practitioners of new

product development have implemented a stage-gate methodology in their operations (Cooper, Edgett, Kleinschmidt, 2002).

Cooper (2000) defines gates as "quality control checkpoints", "go/kill and prioritization decision points", "the funnels where mediocre projects are successively culled out" and "where the path forward for the next stage is decided" (p. 59). Gates serve a very important role in new product development projects because most organizational initiatives, even ill-conceived ones, are not typically terminated once they begin (Cooper, Edgett, Kleinschmidt, 2002). Many failing projects continue to be funded despite their relative likelihood of failure (Boulding, 1997; Schmidt & Calantone, 1998).

The "Gate" component of the BTM Methodology serves as decision points between each step of the BTM process and consists of the activities that should be accomplished prior to continuing to the next step of the innovation process. Gates, for the purposes of the BTM (see Fig. 5), serve as points along the evolution of a project to ensure a high quality of decision making, to prevent the pre-mature death of an idea, to ensure the success of a viable change initiative by ensuring executive support, and ensure the quality of an initiative is fully defined before implementation begins.

In final, the purpose of the inclusion of these gates in the BTM's methodological construction is to ensure the success and continuation of beneficial projects and to terminate projects that are unlikely to meet their desired outcomes.

Figure 5: The BTM Methodology – Gates

1 **Gate**	**2** **Gate**	**3** **Gate**	**4** **Gate**	**5** **Gate**
➢ Determine whether issue requires change or resolution ➢ Prioritize according to opportunity, magnitude of problem, potential threats, and organizational need ➢ Determine organizational benefit	➢ Determine if the issue being addressed is the primary issue to be resolved ➢ Determine if the organizational problem is fully understood	➢ Finalize list of organizational problems ➢ Report identified problems to be solved back to CEO & Executive Management	➢ Narrow down to the most viable solutions ➢ Identify the most viable solutions	➢ Report findings back to CEO & Executive Management ➢ Secure approval to proceed with implementation

Feedback loop
"Go – No Go"

Feedback loop
"Go – No Go"

Feedback loop
"Go – No Go"

Feedback loop
"Go – No Go"

The specific steps of the BTM Methodology are specifically explicated below.

1. **Objective Finding (CEO):** The Objective Finding step constitutes discovering the goal or object that needs to be improved, modified, the decision that must be mad, or the issue which requires resolution. Crucial to leading any successful change initiative or making decisions is the task of determining a true necessity or rationale for change. Individuals or leaders scan the environment to determine opportunities that exist. This first step consists primarily of activities akin to the process of strategic planning and requires the ultimate authority and direction of the CEO (Mintzberg, 1994). These activities will include determining opportunities to optimize business performance, discovering any drivers for change, identifying potential initiatives that may need to occur, and setting expectations. The CEO with the help of the senior executive management team identifies a problem and frames the problem or idea. The justification or rationale will be found in activities such as conducting a gap analysis (i.e., evaluate the difference between current position and desired future), external environmental scanning (i.e., external factors such as economic, social, demographic, political, legal, customer trends, and industry & competition), and organizational SWOT analysis (i.e., determining organizational strengths, weaknesses, opportunities, and threats). The relationship between the CEO and the BTM is a very relational, iterative construction and is manifest by a high degree of interaction and feedback throughout the entire process. The BTM could determine opportunities to optimize business performance, identify drivers for change, and assess potential initiatives that may occur. Nevertheless, the ultimate

authority to engage a project or initiative is left to the CEO which is why the CEO is ultimately responsible for Step I.

2. **Data/Fact Finding (Brain Trust)**: The Data/Fact Finding stage of the CPS Model is primarily focused on providing the rationale for the change through conducting analysis and gathering information regarding the matter under scrutiny. The concern is not in providing solutions, but in assessing the issue to its fullest extent to truly understand the situation.   Based on the necessity of both understanding the organization as a whole and providing the leadership with the ability to adequately understand the context of the problems within the organization, detailed analysis is conducted in odder to determine the full scope of the issue. The BTM helps initiate researching the problem, gathering data, and researching the problem or issue through the following activities:

   a. Identifying what is working well and what is not working well

   b. Determining bottlenecks, organizational redundancies, errors, and delays

   c. Discovering the effect and/or relevance of products and services

This would also include external best practice research and internal research which, in turn, would be provided to the CEO (thus the interactive relationship). In addition, insight into problems in the current processes, process models, statistics, organizational charts, and job descriptions all would be investigated during this phase of the project.

3. **Problem Finding (Brain Trust)**: The Problem Finding step constitutes the discovery or validation that the proper problem or issue is being investigated. This stage is contingent upon the results of the previous stage—Fact Finding—and

facilitates the reframing of the questions which were originally conceived, thus generating innovative and unique perspectives previously unrealized. In other words, the Problem Finding step ensures that the problem being addressed is really the issue needing resolution. An all too-common threat to effective decision making is immediately providing solutions to a problem before clearly understanding the goal or nature of the problem (Davis & Davis, 2000). Drucker (1993) contends the crucial element involved in deriving solutions to problems is finding the right question to ask, not the right answer. In organizations focused on expediting solutions to organizational problems, this is an often ignored step of the process. Ignoring this step could lead to ill-conceived solutions that neither fully address the problem nor fix the root cause of the problem. Steps will be taken to begin fully analyze the data and the problem to ensure decision quality is high.

4. **Idea Finding (Brain Trust)**: According to the Osborn-Parnes CPS Model, activity at the Idea Finding stage encompasses brainstorming or developing a variety of solutions to the problem under investigation and then concluding with winnowing the ideas down to a group of resolutions deemed most viable or useful. Creativity and innovative thinking are hallmarks of this step in the process as well as the beginning of innovation (Woodman, Sawyer, & Griffin, 1993). A variety of idea generation methods should be employed in the development of creative solutions (VanGundy, 1988). Creativity and innovation require time to consider an issue. Psychological stress, heavy work loads, and a lack of time can rob teams and leaders of the ability to adequately consider an issue (Amabile, 1988). Creative options tend to be eliminated

early in the process (Alexander, 1979). The BTM will facilitate this process as well as protect against quick and premature judgments.

5. **Solution Finding (Brain Trust)**: At this point in the process, a conceptual solution or best solutions and vision is identified and selected through explicit criteria to aid in decision making. Also, numerous ideas and solutions are provided as well as the support and justification for each idea and/or solution. It is at this phase that the BTM will attempt to solidify and strengthen the solution(s) identified. Finally, high-level change recommendations will be provided. It is here that the information is reported back to the CEO, approval is either secured and a business case or cost-benefit analysis is developed, or the idea is rejected for further analysis.

6. **Acceptance Finding**: **(IC/PC/Middle Management):** The Acceptance Finding step is comprised of putting ideas into action by developing a plan to achievement then implementing the idea or solution and to anticipate potential implementation obstacles. Middle management and the organizational internal consultants (IC), Process Consultants (PC) or OD consultants take the information provided by the Brain Trust and begin their analyses and implementation planning. The participation of employees is an important, critical success factor in mitigating resistance and successful change initiatives (Cameron, Freeman, and Mishra, 1993; Pendlebury, Grouard, & Meston, 1998). As a result, the analysis phase of Acceptance Finding will include evaluating the design and applicability of the design. Internal to the BTM is the validation and / or opportunity for challenge provided by the Internal Consultants and the organization's middle management. Preventing the "hand off" of responsibility from the Brain Trust to the Internal Consultants and Middle Managers

until this point allows for the fruition of an idea or solution and helps prevent killing the concept before it is fully conceived.

Second, the internal consultants and middle management will begin to design the integrated solutions. This final step will include implementation and the collection of measures to monitor activities and, ultimately, sustain the change. They will investigate work processes, business systems, job and team design, individual and team capabilities, performance measurement, and valuation models. Also included will be such responsibilities as:

- Develop a new process model

- Design job roles, competencies

- Develop a staffing model

- Develop policies and procedures

- Determine facility, equipment needs

- Building a valuation model

- Develop a high level implementation plan

Model Discussion

Guiding an organization through a major change initiative requires a realization that change is part science and part art. A proven change methodology is essential to ensure sustainable outcomes result. The BTM seeks to offer a methodological solution which will help standardize and create a structure for the process of change in order to ensure the sustainability of change endeavors and help equip organizational leaders to lead change successfully. This methodology includes a holistic perspective that ties to the strategic framework of the organization and helps to remove the risks of a failed

change effort. Model implementation and utilization will be contingent upon a number of factors which should be addressed as they will invariably affect application or the manner by which the BTM will function. The rationale of the BTM hinges upon three primary theoretical suppositions. First, groups tend to develop a greater quantity and higher quality of ideas than individuals. Second, in order for change to be both sustainable and effective, the initiative must be sponsored by the organization's senior leadership. Finally, utilizing internal resources (i.e., the BTM team members) to support executive leadership by removing them from the bureaucracy of the organization will help ensure the quality and success of change initiatives.

Chapter IV

Method

The purpose of the study is to ascertain the perceived viability of the BTM as an alternative model and method for leading innovation and change projects. The study assessed and synthesized both "expert" and senior leader's opinion in the field of innovation and change to determine the relative contribution of the BTM in light of the traditional methods of leading change and innovation within all types of organizations. The aim of the research was not solely to test the potential viability of the model but to realize improvements in the model, understand and improve its limitations, and ensure it aptly accounts for common barriers to change and innovation projects.

The Delphi (Linstone & Turoff, 1975) technique of research was utilized incorporating a three-round procedure in order to solicit and synthesize the viewpoints of an "expert" panel to assess the viability of the BTM as a solid methodological contribution to the field of innovation and change.

This study examined the perceptions of the BTM as a new paradigm in leading innovation and change. More specifically, this study examined the question:

RQI: "Is the Brain Trust Model (BTM) perceived to be of greater value than traditional change management methodologies in enhancing innovation and the quality of decision making?"

H1: The Brain Trust Model (BTM) will be perceived as fostering in organizations greater degrees of innovation than those organizations without the Brain Trust Model (BTM).

H2: The Brain Trust Model (BTM) will be perceived as enhancing in organizations the quality of decision making more so than those organizations without the Brain Trust Model (BTM).

H3: The Brain Trust Model (BTM) will be perceived to increase the capabilities of leaders to effectively drive change programs within profit, non-profit, non-secular, government, and educational organizations more so than traditional change management models.

H4: Change initiatives using the Brain Trust Model (BTM) will be perceived as having a higher likelihood of overall effectiveness than those not using the Brain Trust Model (BTM).

Procedure

Due to the dependency of the research on opinions and the solicitation of value judgments pertaining to the viability of the BTM, the qualitative method of research was deemed most appropriate. "The qualitative…approach is especially appropriate for developing innovative or reform-oriented programs where the focus is on program improvement, facilitating more effective implementation…" (Patton, 1990, p. 53). Consistent with the aforementioned characteristics, the Delphi technique for research was selected.

The Delphi Method (Linstone & Turoff, 1975) is a "method for structuring a group communication process, so that the process is effective in allowing a group of individuals as a whole, to deal with complex problems (p. 3). It was developed by the Rand Corporation in 1953 in order to assess and attend to specific military and defense policy problems during the start of the cold war. Since then, the Delphi Method, has

been utilized as both a research tool to "deal with technical topics and seek a consensus among homogeneous groups of experts" (Linstone, et. al., 1975, p. 83), and has been used in a number of disciplines to assess an item or topic (Schmidt, 1997; Zargari, Campbell, & Savage, 2001). At its core, the Delphi Method is a group method utilized as a means to solicit and amalgamate "informed, expert" opinions on questions or issues (Strauss & Zeigler, 1975).

The Delphi Method is well supported in the literature as a credible method for research as well as a means for generating applicable and solid examinations outside the academic domain (Delbecq, Van de Ven, & Gustafson, 1975; Ley & Anderson, 1975; Thorn, 1978; Van de Ven, 1974). It is also considered highly effective in research contexts that are dependent on subjectivity, when subjective input is necessary to evaluate models, and/or research requiring value judgments rather than statistical analysis (Linstone & Turoff, 1975). Finally, Linstone and Turoff (1975) propose the use of the Delphi in situations where expert opinion provides all potential options and evidence for consideration by the researcher.

As a result of the aforementioned characteristics, use of the Delphi Method was perceived as a means to sufficiently facilitate the assessment of the viability of the BTM in its infancy to not only understand the model and its limitations, but to augment the model and understand its pragmatic potential beyond the theoretical domain.

Participants

The Delphi Method requires "informed people…chosen to represent many sides of the issue under examination" (Linstone, et al., 1975, p. 88) and its success is contingent upon the selection of experts and specialists (Dalkey, 1969; Zargari et al.,

2001). According to Delbecq et. al (1975) research participants should meet the following criteria:

> …(1) feel personally involved in the problem of concern to the decision makers;(2) have pertinent information to share; (3) are motivated to include the Delphi task in their schedule of competing tasks; and (4) feel that the aggregation of judgments of a respondent panel will include information which they too value and to which they would not otherwise have access (p. 87-88).

Ten experts from profit, non-profit, non-secular, government, and educational organizations participated in the study. Due to the exploratory nature of the research, seeking expert validation and feedback was considered to be the most advantageous approach for assessing the viability of the model and enhancing the BTM. Hillway (1964) asserts "the use of a person who is considered to be an authority in field of study is an acceptable approach to develop information….Expert opinion in many instances almost has the weight of factual evidence" (p. 35).

The research participants were not selected randomly. They were selected via purposive sampling, more specifically snowball or chain selection (Patton, 1990). The research participants were selected based upon the individual sector in which they held leadership positions and/or possessed solid expertise in change management, innovation, leadership, and quality improvement and/or possessed senior leadership experience in leading wide-scale change and innovation projects.

The Delphi participant core was comprised of varying organizational positions and industries. Positions held in the aforementioned sectors were as follows: chief

executive officer, chief financial officer, chief accounting officer, university president, vice president, organizational change consultant, professor, senior pastor, and chief academic officer. A profile of the individual research participants are provided below.

Table 2: Research Participants

Position	Sector	#	Industry
Chief Executive Officer	Profit	3	Banking, Healthcare, and Commercial Development
Chief Financial Officer	Profit	1	Banking
Chief Accounting Officer	Profit	1	Utility
Chief Academic Officer	Education	1	Comprehensive 4 year Public University
President	Education.	1	Comprehensive 4 year Public University
Consultant	Gov/Non	1	Government and Non-Profit Consulting
Vice President	Profit	1	Banking, Manufacturing, Healthcare
Senior Pastor	Non -Secular	1	Religious Institution

Each participant possessed extensive experience and expertise in their respective sectors and industries; although this was not an explicit criterion for inclusion in the study (at least five years of functional experience was required), a high level of proficiency was deemed desirable, and thus achieved, in the selection of participants. Formal education in the fields also served as a qualifier for expertise. Additionally, the criteria for senior executive leadership inclusion in the study was based on whether or not the individual held the leadership position of CEO/President or Executive Vice President within an organization of 50 or more employees. This is due in part to the fact that leaders of organizations smaller than 50 are likely to be intimately involved in organizational operations. Moreover, in many cases, the organization is so small that employees are almost all simply focused on their assigned task – not with implementing change. As organizations grow in size, a leader's ability to adequately govern and manage change within organizations is further complicated due to the limited interaction and

114

communication with individuals within the middle and lower tiers of the organization, thus necessitating the need for using organizations of 50 or more in the study.

A mean age and range was not a factor in participant inclusion in the study due to the fact that age does not appear to provide any apparent relationship pertinent to this study.

Approach

A three-round Delphi technique of research was conducted in order to fully explore and investigate the BTM. The research utilized an open ended, face-to-face interview (see Appendix A) followed by two subsequent rounds in order to cull out and evaluate participant feedback and recommendations for enhancing the model. Furthermore, the research sought to solicit and synthesize the feedback of an "expert" panel to assess the viability of the BTM as a solid methodological alternative within the field of innovation and change. In brief, the purpose of the research was to solicit and examine expert perceptions of the BTM and its respective methodology as a new paradigm in leading innovation and change. More specifically, the research endeavored to examine the question: "Is the Brain Trust Model (BTM) perceived to be of greater value than traditional change management methodologies in enhancing innovation and the quality of decision making?"   The research question provided the overall framework to the investigation and served as the overriding endeavor throughout the study. The research question was tested specifically through a Likert-type scale in the third round of the Delphi.

The study sought to determine the effect of the independent variable (perceptions of the BTM) on the dependent variables (innovation, decision making, leaders, and

effectiveness). According to Delbecq, et al. (1975), the Delphi Method consists of a group of questionnaires with the first seeking feedback on a general question and the subsequent questionnaires built upon the initial until participants reach a consensus.

Research followed the Delphi procedures prescribed by Delbecq et al. (1975) summarized below:

1. The overall Delphi question will be developed. This question will consist of the overarching purpose and focus of the study and while seeking to address the research questions and hypothesis, will allow for free response from the experts.

2. Research participants in the Delphi study are determined and then will be contacted and provided the objectives of the study, a description of their fellow research panel, the duration of the study, and how the information will be shared and managed.

3. A sample size will be selected

4. The first questionnaire is developed, tested, and then emailed to the research participants.

5. Responses are received from the first questionnaire and the data is analyzed. Responses are then categorized and or grouped according to predetermined criteria. The categorization should result in a summary list of the comments and feedback received and conducted in a manner that can easily be digested by all the respondents.

6. The second questionnaire is tested and developed from the responses received from the first questionnaire and then emailed to the research participants. Steps

must be taken to ensure that the second questionnaire accurately reflects the feedback from the first questionnaire.

7. Responses are then received and the data are then analyzed.

8. A final report is generated

Prior to initiating the interviews, the Round 1 instrument was pilot-tested by several business professionals in order determine the test's clarity, appropriateness, and the time required to take the survey. More than half of the pilot group held the position of vice president or above. Upon successful completion of the pilot, the survey instrument was modified based upon the feedback received from the pilot study. The contents of the revised survey instrument were submitted to the IRB for their review in order to ensure compliance. Approval was granted to proceed with the research.

Round One: Initial Interview and BTM Review

The research participants were invited to participate in the study via both email and letter. A follow-up telephone phone call was placed to secure participation in the study, to further explain the purpose of the study, as well as address research expectations and time commitments. Twelve potential research participants were contacted through a letter soliciting their participation in the research. Of the 12 invited, 10 accepted the invitation to participate in the study. The two research participants who were not asked to participate in the study did not respond to either a telephone message or the original email soliciting their involvement.

Upon individual consent, the time and location for the initial face to face interview was determined and agreed upon. On the day of each interview, participants were sent an email to remind them of the time and location of the interview. The

researcher met each participant in his or her respective office. Prior to the initiation of the interview, research participants were advised that the study was strictly voluntary and the assurance of anonymity was granted to all participants. Finally, participants in the study were requested to sign a form of informed consent to participate in the study (see Appendix D). Coupled with addressing the strict confidentiality and voluntary nature of the study, the informed consent form described the nature of the study, the data or information the participant was requested to provide for the research, and an overview of how the data collection sessions were conducted. Finally, the consent form was secured prior to initiating the interviews.   The initial audio-tape recorded interview lasted between 50 and 75 minutes.

The justification for the open-ended interview was to ascertain "expert" insight on the topic of change and compare and contrast "expert", "professional" perspectives with the expansive research literature in the organizational change discipline. This was undertaken in order to identify any disparities or chasms between "theory" and practical application that might exist in the minds of the participants. The rationale for this step was to arrive at a sound coupling of academic, research theory with practical, day to day organizational perspectives and approaches of leading organizational change.

The initial interview sought to discern and investigate research participants' perceptions of what exactly constitutes a successful change and innovation project, their positions on the necessary prerequisites for successful organizational change initiatives, its critical components, and the necessary factors for the successful implementation of change and innovation projects. Participants were also petitioned to provide their own

diagnosis on the most prevalent reasons that change initiatives fail and/or fail to achieve

their original aim. Those specific content focus questions were related to:

> a. Participant definitions of what constituted a successful change and innovation
>
>   endeavor.
>
> b. The most significant prerequisites and/or critical components for driving
>
>   successful organizational change.
>
> c. The most common reasons organizational change initiatives fail.

These specific questions were asked prior to introducing the BTM to the

participants in order to prevent any bias or "learning" on the part of the participants.

Upon the completion of these questions, research participants were introduced to

the BTM, the theoretical propositions which supported the construction of the model,

and the foundational and theoretical premises of the development of the model.

Participants were then given a conceptual review of the model in its entirety. After

reviewing the BTM, sample participants were requested to provide their relative

perceptions of the model, its' strengths and/or merits, its' weaknesses and limitations, the

barriers to change addressed within the model, and research participant's specific

recommendations for augmenting and improving the model. Responses and

recommendations for change were categorized and grouped according to theme. The

categorization resulted in a summarized list of the comments and feedback received from

the sample participants to ensure the easy digestion by all the respondents.

Upon completion of each interview, each participant was mailed a "thank you"

card on the day of the interview thanking them for their time and contribution to the

study.

Round Two: Change Recommendations

After completion of Round One interviews, all participant change recommendations were compiled and categorized according to subject matter. Each change recommendation was categorized and summarized in Round Two. The purpose of the summarization was to ensure a clear and cogent summary of the recommendations provided by the participants. Following the presentation of each change recommendation, the rationale for each was provided. The purpose of providing this description was to ensure participants fully understood the context and rationale behind each of the recommendations provided by the other participants.

Prior to sending out the second questionnaire, it was pilot tested and the change recommendations were reviewed for clarity to ensure each recommendation would be fully understood by the sample participants. Upon successful completion of the pilot test, the questionnaire (See Appendix B) was emailed to each sample participant and participants were given a week to complete the questionnaire.

The questionnaire provided a comprehensive summary of the change recommendations and ideas for improving the BTM received during the initial face-to-face interviews (Round One). The original model was included with the questionnaire for participant review in order to provide a frame of reference and context for each of the change recommendations.

The questionnaire detailed the purpose of the second round of the Delphi. The questionnaire related that the overall purpose of this questionnaire was to assess participant recommendations for improving the BrainTrust Model and supply each research participant a summarization of the change recommendations and ideas received

in all of the initial face-to-face interviews. Each participant was requested to review each change recommendation provided in the questionnaire. Using the drop-down boxes provided, participants were asked to rank-order the top seven change recommendations by assigning a 7 to the top change recommendation and a 1 to the least preferred top change recommendation. In addition, they were asked to assign a 6 to the second best recommendation, a 5 to the third best recommendation, a 4 to the fourth best recommendation, a 3 to the fifth, and so on in that same format until they reached the 7th best recommendation.

Each corresponding change recommendation included a "comments" section if participants felt that more clarification was necessary to support the assignment of their scores. Participants were requested to rank only seven change recommendations. After completing the questionnaire, participants were asked to retain the questionnaire in the event they needed to resend the file or experienced a problem with sending the file via email. Participants were then thanked for their participation. After one week, a reminder email was sent to remind participants of the deadline.

Upon receipt of each of the participant's responses, the questionnaire was numbered 1-10 in order of receipt and saved to the researcher's PC. Participant emails were saved and filed in the email server built exclusively for this research.

As each of the participant rankings were received, each questionnaire was reviewed for accuracy to ensure that the sample participant completed the questionnaire correctly and voted only for 7 change recommendations as assigned. Each participant completed the questionnaire correctly and the scores allocated to each change recommendation (7 to 1) were calculated. Each change recommendation, which received

a score of a 7, was assigned 7 points and each subsequent change recommendation was scored accordingly. For example, if change recommendation #2 was scored a 5 by a participant, that particular change recommendation was assigned 5 points.

The top seven change recommendations were identified by calculating participant rankings and totaling each change recommendation to determine the top seven recommendations.

Round Three: BTM Assessment

During the third and final round, research participants were emailed the revised BTM based upon the top seven recommendations identified in Round Two and were requested to complete a Likert-type scale instrument (see Appendix C) designed to assess the research question and the four (4) research hypotheses.

The purpose of the third and final round of the BTM was to evaluate the revised BTM and evaluate the viability of the BTM as a potential alternative to traditional change management methodologies.

The revised BTM and web-based questionnaire was reviewed by a pilot group to ensure readability, functionality, and ease of understanding. All ten research participants were emailed the newly revised BTM (rationale for changes based solely upon the recommendations received in Round Two) and were provided a web address to complete a web-based questionnaire housed on "Survey Monkey", www.surveymonkey.com. This website is a fee-based web portal designed to house and present electronic surveys and questionnaires, and is a common survey tool used in profit organizations to solicit employee opinion.

The participants were asked to first review the revised BTM, and upon the completion of their review, rate how strongly they agreed or disagreed with each of the following statements on a Likert-type scale, a continuum which included the following categories: strongly disagree, disagree, neither agree nor disagree, agree, and strongly agree.

It was explained in writing to the participants that each question should be viewed from their perspective and from the perspective of change management methodologies and practices they had either seen or experienced personally. They were told that they were not expected to know all the "traditional change management" methodologies (since they are virtually innumerable), and the questions were limited to what they knew, understood, or have applied personally. It was also requested they make only one selection per statement.

The questionnaire included nine (9) statements designed to solicit feedback on the viability of the BTM as an alternative to traditional change management methodologies. The four (4) research hypotheses were specifically tested through the following statements:

1) The BTM will foster in organizations greater degrees of innovation than those organizations without the BTM.

2) The BTM will provide organizations a higher quality of decision making than those organizations without the BTM.

3) The BTM will increase the capabilities of leaders to effectively drive change programs within organizations more so than traditional change management models.

4) The BTM will increase the capabilities of leaders to effectively drive change programs within profit organizations more so than traditional change management models.

5) The BTM will increase the capabilities of leaders to effectively drive change programs within non-profit organizations more so than traditional change management models.

6) The BTM will increase the capabilities of leaders to effectively drive change programs within religious, non-secular organizations more so than traditional change management models.

7) The BTM will increase the capabilities of leaders to effectively drive change programs within educational organizations more so than traditional change management models.

8) The BTM will increase the capabilities of leaders to effectively drive change programs within government institutions more so than traditional change management models.

9) Change initiatives using the BTM will have a higher likelihood of effectiveness than those not using the BTM.

Responses gathered from Round Three of the Delphi was processed and coded. The data was verified and input into Microsoft Excel for analysis and tabulation. After inputting the data, the data was again verified and the accuracy of the data entry was then assessed. The data/responses captured in the third and final round was analyzed and summarized using descriptive statistics, specifically mode and the distribution of frequency responses on bar charts.

Chapter V

Analysis of Data and Results

The overriding rationale for the research was to conduct exploratory research in order to ascertain the viability of a new, alternative organizational change and innovation model, the Brain Trust Model (BTM). In its essence, the BTM is a two-pronged methodological solution to driving organizational change. It encompasses two distinct operational components: 1) an organizational think tank, a new addition to the modern organizational structure for the purpose of equipping leaders to lead and serve as catalysts for change; 2) a methodological framework for executing organizational change and transformation.

The purposes of this study were (a) to offer an alternative to the myriad of problems associated with the current body of change management literature and provide viable solutions to successfully leading change within organizations; (b) solicit, assess, and synthesize "expert" opinion in order to determine the potential relative contributions of the BTM in contrast to traditional methods of leading change and innovation within organizations; (c) realize improvements in the model, understand and improve its limitations, and ensure it aptly addresses the common barriers to leading change and innovation projects; (d) to determine if the BTM is perceived to be of greater value than traditional change management methodologies in enhancing innovation and the quality of decision making; (e) to determine if the Brain Trust Model (BTM) will be perceived as fostering in organizations greater degrees of innovation than those organizations without the Brain Trust Model (BTM); (f) to determine if the Brain Trust Model (BTM) will be perceived as enhancing in organizations a higher quality of decision making than those

organizations without the Brain Trust Model (BTM); (g) to determine if the Brain Trust Model (BTM) will be perceived to increase the capabilities of leaders to effectively drive change programs within profit, non-profit, non-secular, government, and educational organizations more so than traditional change management models; and finally, (h) to determine if change initiatives using the Brain Trust Model (BTM) will be perceived as having a higher likelihood of effectiveness than those not using the Brain Trust Model (BTM).

A three-round Delphi technique of research was conducted in order to fully explore and investigate the BTM. The research utilized an open ended, face-to-face interview followed by two subsequent rounds in order to cull out and evaluate participant feedback and recommendations for enhancing the model. The research sought to solicit and synthesize the feedback of an "expert" panel to assess the viability of the BTM as a solid methodological alternative within the field of innovation and change. More specifically, the research endeavored to examine the question: "Is the Brain Trust Model (BTM) perceived to be of greater value than traditional change management methodologies in enhancing innovation and the quality of decision making?"

Round One: Initial Interview and BTM Review

The initial interview sought to discern and investigate research participants' perceptions of what exactly constitutes a successful change and innovation project, their positions on the necessary prerequisites for successful organizational change initiatives, its critical components, and the necessary factors for the successful implementation of change and innovation projects. Participants were also petitioned to provide their own

diagnosis on the most prevalent reasons that change initiatives fail and/or fail to achieve

their original aim. Those specific content focus questions were related to:

a. Participant definitions of what constituted a successful change and innovation

endeavor.

b. The most significant prerequisites and/or critical components for driving

successful organizational change.

c. The most common reasons organizational change initiatives fail.

These specific questions were asked prior to introducing the BTM to the

participants in order to prevent any bias or "learning" on the part of the participants. The

results of these open-ended interviews are provided in the "analysis by category"

Analysis by Category

Definition/Outcome of Successful Change Initiatives (Question 1, Round 1)

The intention of the question was to determine precisely what constituted a

successful or constructive change and innovation initiative in the minds of the sample

participants. The results of the responses and frequency of occurrence is provided in the

table below.

Table 3: Outcome of Successful Change Initiative Responses

Response	Frequency
Endow greater profits, more profitable states which ultimately benefit stock holders	4
Enhance organizational efficiencies	4
Benefit employees, and/or achieve higher employee morale	4
Improve strategic direction, vision of the organization	3
Deliver a better product or service	3
Increase cost effectiveness/cost savings	3
Benefit company in material way	3
Enhance service delivery	1
Provide a greater understanding of the current state	1

Response	Frequency
Employees are supportive of the recommendations	1
Achieve a task or endeavor that aligns and supports the organization's core values	1
Achieve the mission of the organization	1
Benefit customer	1
Enhance competitiveness of the organization	1
Does not destroy the employee, does not result in employee carnage	1
Achieves sustainable change	1

The Most Important Prerequisites, Critical Components for Successful Change Initiatives (Question 2, Round 1)

The intention of the question was to ascertain what was required to successfully drive change within organizations. This has tremendous implications on the theoretical propositions and theoretical support of the BTM. Fundamental differences in philosophy of what constitutes prerequisites for change would be materially important to understanding the viability of the model. The results of the responses and frequency of occurrence is provided in the table below.

Table 4: Most Important Prerequisites, Critical Components Responses

Response	Frequency
Support for change must be present at the top, in the most upper echelons of the organization	7
Employee and employee teams are engaged, committed, "bought in" to the rationale for change and are supportive of making the change	7
The reason – rationale for the change is understood (e.g., strategic advantage)	5
A willingness to provide the appropriate resources to achieve the change (e.g. staff, resources, and time)	5
Strong communication – communicate plan in order to rally support	4
Desire for change and motivation for change – positive attitude toward change	4
A perceived and realistic need – not just a perceived need, but one supported with data	4
A well-conceived, thought out plan and strategy	3
A reliable, change process/procedures/methodology	3
Change agents given the freedom to drive change, make modifications, take risks	2
The correct resources and staff (i.e., competent staff, able to drive change)	1

The change process and people have credibility	1
Rewards are worth pain	1
Allow for pushback, questioning from employees	1
Clear understanding of the culture	1
Appropriate timing	1
Change barriers are reduced and/or eliminated	1
Proper education and training	1
Metrics to measure and evaluate progress and success	1
People are allowed to participate, employees are part of the process	1
Change team has a strong chemistry – the right team	1
Clear expectations on where the organization is headed and where it is currently	1

The Most Common Reasons Change Initiatives Fail (Question 3, Round 1)

The intention of the question was to determine the research participants' opinions and perspectives on the reasons change initiatives most frequently fail. While the most frequently cited reasons are represented below and are fairly consistent with the literature; many other reasons infrequently cited in the research literature were cited and supported by the participants. The results of the responses and frequency of occurrence are provided in the table below.

Table 5: Most Common Reasons Change Initiatives Fail Responses

Response	Frequency
No perceived need, lack of buy in for the change	4
Not enough "buy in" or support for the change at the top of the organization.	4
People do not like and resist change	3
The participation of the appropriate people, an inadequate level of talent /Lack of talent with experience and "know how" to drive change	3
People resources are not devoted – people have to do regular jobs in addition to managing the change	2
Faulty implementation. The execution of an initiative may be based upon a solid plan but implemented poorly.	2
Pace of implementation, faulty problems may be missed without a stepwise implementation strategy	2

Inadequate planning and preparation	2
Inadequate reporting and feedback mechanisms	2
Lack of communication, rationale for need communicated	1
Lack of commitment	1
Not a full understanding of the people you are working with/ Lack of trust in team	1
Leader is not trusted and considered untrustworthy	1
Politics, political savvy	1
Bureaucracy (even a good idea but can't get beyond bureaucracy)	1
Executive/management fear of exposure and/or looking bad. The desire to kill a project that would highlight a failure or oversight is more prominent than desire to improve a problem	1
In order to secure project approval or push projects ahead, individuals often paint a rosy picture and make the results look more lucrative than they likely are or could be	1
A change in leadership can derail project because the successor may be uninterested/unsupportive	1
Battling agendas and a lack of agreement on direction and purpose of the change initiative	1
Not willing to make necessary investment, unwilling to make investment in resources (e.g., new employees)	1
Competing priorities, whether it be the sponsor or people working on change initiatives. Individuals get so stretched or pulled in different directions that they can't manage it along with the other things they are responsible to manage	1
People external to a situation (with political clout) push for a change and/or resolution which may not solve the problem	1
Stubborn leadership who pushes projects forward regardless of the facts and details	1
A change recommendation or idea is simply a bad, ill conceived idea. No matter how well the idea is sold, how much support is in place, a well executed plan on an ill conceived idea will fail.	1
Operating in a silo, looking at one area solely, not considering all the other tangential factors and players involved. In this situation, one may improve an area, but it still won't get fixed because of other people and processes it affects	1
There is lip service paid to an idea, but when push comes to shove, leaders and/or organizational members could not or would not let go of established processes that had been somewhat successful in the past	1

Model Feedback

The subsequent pages will report on participant feedback pertaining to the BTM

and will specifically attend to the input received in the individual, face-to-face interviews.

Participants were introduced to the BTM in its entirety and were invited to respond to and

offer their feedback on the relative merits and strengths of the model, to isolate

weaknesses in the model, and offer change recommendations and/or suggestions for

enhancing the model.   The following section addresses each question independently and

sample participant responses are presented according to the following categories and in

the following manner: the BTM team, the BTM methodology, organizational

considerations, implications for the CEO and executive management team. It should be

noted that no part of the interview responses have been eliminated or modified from their

original intent in order to preserve the reliability and dependability of "expert",

participant feedback.

Based on your expert opinion, what are the relative merits of the model and its relative

strengths?   (Question 4, Round 1)

BTM Team

The membership and make-up of the BTM was specifically cited as an explicit

strength of the model. More specifically, the notion of gathering and collocating a

diverse group of talents, individuals highly intellectual in their fields but diverse in their

knowledge and backgrounds was deemed to be a positive characteristic of the model.

Moreover, the benefit of amassing a group of individuals who substantively differ in

skills and abilities from the traditional organizational archetype was deemed a positive

trait of the model. One participant noted in particular that if one was going to assemble a

BrainTrust, there would be no logical reason to assemble a group of individuals whose

skill-sets were already present in the organization. In other words, there is a strong

rationale for amassing a unique group that has knowledge which the organization does

not possess. This assertion was further bolstered with the statement, "you have now

created a unique group where the probability is very high that there is absolutely no group of people who can replicate the knowledge set of this particular BrainTrust…I think that is a huge advantage…and as a result of that they may be able to come up with solutions, ideas that couldn't possibly come out of the organization". Participants reported that there was a significant benefit in staffing a group of people who possess a proclivity for change and are held responsible for driving change within an organization. It was stated that when you amass a group of creative, innovative, problem solvers, change will inevitably occur as a result and, most typically, will be a stronger idea than one generated by a single individual.

The types of individuals that made up the BTM were not specifically addressed by participants in the interviews; nevertheless, there was strong support and recommendations were forwarded to include retired business professionals who possessed formal, organizational experience in the BTM team. This component of the BTM team was heavily supported and considered a strength of the model.

A wide variety of diverse, creative, and innovative skill-sets was regarded as a strong characteristic of the BTM due to the team's aptitude to confer to the CEO and, indirectly, to the organization. These constituted a wide variety of perspectives and insights that, as a rule, would not be as easily generated or amassed in the conventional organizational setting.

The objectivity that would be afforded the BTM by isolating or removing them from the organizational bureaucracy and its respective responsibilities was considered to be a strong attribute of the model. The rationalization for this assertion is highlighted in the following statement:

I really like how it (the BTM) is separate from the daily grind and other initiatives. I like that because there is so much going on that can really jade potentially the best idea. It may very well impact how you implement it, but between it and existing strategy, existing budgets, existing organizational structure, how we have always done it – you can really change the direction on what you are doing based on those influences and when you get people in a room that don't see that and feel that daily, they can look at situation and come up with some of the best ideas. It's clean idea creation.

Another participant reported the benefit of not performing organizational change and innovation activities as a secondary function because, "when you're caught up in slopping the pigs and milking the cows, it is hard to effect change if you are out doing your normal job at the same time. In this arena (the BTM paradigm), people aren't burdened with producing outcomes in their existing fields. People simply get distracted. There are too many pressures to successfully implement real change".

The level of objectivity that the BTM can afford an organization was specifically noted. The concept of a group of individuals who do not possess specific organizational responsibilities are enabled to objectively "ask the hard questions, ask individuals in the organization why are you doing that, and what is the rationalization for that?"

A further benefit of the BTM construction and the resultant objectivity it afforded organizations was the notion that a BrainTrust may be able to suggest a more radical change because of its position. Attributable to the fact that they possess no personal vested interest, organizational members are less likely to perceive them as threatening

133

even though the radical innovation may in fact, be threatening. In other words, it was reported that the model may be able to offer solutions, which may be more palatable by organizational members because members of the BTM have nothing to gain as a result of the implementation of a change recommendation. This was reported as a clear advantage.

The BTM's report level or reporting to the highest position in the organization was deemed a very compelling benefit of the BTM. Moreover, the senior most reporting structure was considered a strength attributable to the fact that organizational change is perceived to be a positive outcome because of the established relationships they would posses with the senior-most players in the organization. The rationale provided for this was that the BTM would have greater access to the executive branch and would be more proficient in procuring the right data, knowledge, and political strength to design and implement an innovative solution.

A final stated strength of the model was the design of involving individuals (the BTM team) who were professionals in directing projects. The advantage of this expertise could help improve the identification and prevention of pitfalls and failures that would, by and large, not be clear to individuals unaccustomed to the complexities associated with driving change.

BTM Methodology

While considered visually adept and appealing, the structure and logical process inherent in the BTM methodology was cited as a robust attribute of the model. The multi-layered, yet parsimonious approach was also deemed a positive facet.

The model was also described as a very proactive vs. reactive model type. It was explained that this proactive quality manifests itself in a proactive, non-passé approach for driving organizational improvement. More explicitly, this proactive characteristic impedes the organizational tendency to rest on its own laurels—characterized by maintenance of the status quo—and would help sustain a drive for excellence and would force organizations to get out of their organizational paradigm and continually strive for innovation and positive change.

One participant asserted that the BTM could help prevent the archetypal organizational tendency to engage a project and, despite the countervailing facts or data otherwise, the project or innovation is implemented and taken to its completion even in situations when the innovation is not justified or no longer applicable or necessary. It was reported that this paradigm is further perpetuated by ambitious individuals who take a project to its completion, simply because it was assigned, regardless of the support or logic behind the decisions. A human factor was alluded to in this context, highlighting an additional cause of this phenomenon, attributable to the minds of the leadership having been made up and nothing will or can stop it. It was reported that, in these circumstances, the strict, methodological framework would help mitigate hazardous enthusiasm or ill-conceived ideas.

An added advantage cited of the BTM was that the methodological approach could help prevent circumstances where flawed decisions formed at the outset of a project can flaw everything subsequently. The logic behind this assertion was that as a change initiative advances through the BTM's methodological progression, it would help cull out unsound or ill-conceived recommendations made earlier in the process as

opposed to later. More precisely, the strict and disciplined methodological approach will offer an organization a method whereby they undertake the first 25% and next 25% of a project correctly. In doing so, it could prevent organizations from pushing a change recommendation flawed at the onset all the way to implementation.

An additional characteristic which was specifically cited was the inclusion of "go/no go" or stopping points along the process. Support for this methodological concept was common in the participant feedback. The "go/no go" steps in the process were deemed critical because they facilitated the generation of facts and/or due diligence before proceeding to the next step in the process. Additionally, they were supported for their ability to simply stop an ill-conceived directive or idea before more dollars and resources were dedicated. The validation or justification these stop points in the process can provide was considered an enormous benefit as it prevents major problems downstream. A further benefit with assigning check points in the process was the ability of the process to force individual questioning. This would encourage individuals to provide feedback and resistance without having to garner the courage and or facts to stop a politically-generated train that was already en route.

The interface between organizational parties which the methodology dictates was another beneficial output of the BTM methodology. It was reported that interaction and communication between various parties (i.e., senior management, CEO, change agents, and middle management) would help ensure the availability of the proper support, the depth of decision making required was adequate, and the dialogue required for successful implementation was present. This was considered a variation from the all too common occurrence of management or parties initiating a change in an organizational vacuum—

where individuals who should be intimately involved are not privy to the plan until it is too late and are not able to provide valuable insight that could highlight a decision that would not work when implemented.

Methodological components specifically cited were the front end activities of determining the opportunity, determining and identifying project objectives, and establishing the rationale and drivers for change. Others stated that these steps in the methodology were appropriate and made sense for change and innovation type projects and could also be used similarly in a strategy generation process.

A final benefit alluded to, relative to the methodological framework, was the "simplification" of an arduous process. The BTM methodology fosters the ability to take complex, multi-faceted change and innovation projects and "break them down into manageable pieces, thus increasing the likelihood of successful implementation. The model has a lot of application to big organizations with big problems- big issues, it is a mammoth chore when changing something". It was argued that a great deal of change management models are simply not robust enough to handle ruthlessly complex organizational change and innovation endeavors.

Organization

Sample participants reported that the BTM could greatly profit organizations through its battery of questions, thus forcing organizations to properly identify needs and solutions. In other words, participants reported that organizations frequently identify a problem and attempt to quickly solve the problem without conducting the necessary analyses to ensure that the individuals are both solving the correct problem and solving the problem in a correct manner. This was advanced as a method for eliminating the

frequent tendency to solve perceived problems that really were not the problems that needed to be solved.

One reported benefit was the capability of the model to frame issues and problems in an objective, unbiased perspective. One participant noted, "A diverse perspective is valuable. It's hard when you are in the trenches everyday and looking at how you do something differently – I look and see predicaments we have gotten ourselves into – people have their blinders on for so long it becomes detrimental, ---it (the BTM) provides a valuable, outside perspective." Another participant reported a comparable benefit by stating that the BTM "could bring about fresh ideas and perspectives to the marketplace that might not have ever been attempted had they originated inside the organization." In that same vein, another participant observed that the BTM facilitates a non-threatening means to step beyond the organization, or step outside the organizational context, and bring in creative elements from the disinterested, or individuals not already programmed in the philosophy germane to the individual organization in which they function and operate. The objectivity the BTM could potentially generate would foster creativity, freshness, an awareness of potential that organizations would otherwise be blind to under the traditional arrangement. Similarly, participants noted a strong tendency for organizational members, especially senior leadership, to become "married to an idea", thus squelching questioning and genuine challenge to an idea.

A final and similar observation loosely related to objectivity was the perceived ability of the BTM to afford five or six thinking individuals the opportunity to shoot holes in an idea. This ability was perceived as an effective means to greatly enhance the likelihood of change being successful.

CEO and Executive Leadership

Participant feedback related to benefits to the CEO and/or president and executive leadership was plentiful, but pointed. In the aggregate, it was perceived quite conclusively that the BTM could provide great benefits to the CEO. It was argued that the BTM could provide occasions for challenging senior most leadership which may not be present otherwise. For example, one sample participant noted, "It (the BTM) does help the emperor. It allows for telling the CEO they really aren't wearing any clothes. It is a good way to let the CEO know. There is not this pressure. I don't have to worry if the BrainTrust tells the CEO negative information. They (the BTM) don't have to worry about getting fired. It can be pretty honest."

A further benefit which was cited frequently among the participants was the all too frequent occurrence of CEOs becoming increasingly isolated as a result of their position. The activity of the BTM team could help prevent this isolationism (i.e., knowledge of organizational health, communication, and morale) due to their responsibility of funneling information and feedback to the CEO and/or president. In addition, it would facilitate the presentation of objective information the CEO may not get otherwise.

An interesting outcome not considered in the original construction of the BTM was the accountability that the BTM would provide for senior executives reporting to the CEO, who may kill a project exclusively due "to turf issues even though the solution may be of benefit for the organization – they can push back."

A final benefit cited was the day-to-day, ongoing support that the BTM could provide to the CEO. This was evidenced by one participant who stated that a CEO has

"quite a bit day in and day out, just running their company, to get the clutter out of their mind and think about really meaningful change. Thinking about really meaningful changes is not going to happen very often. That is a strength of the model. They (CEOs) are in kind of a cocoon – they can look at things, turn it upside down and not be encumbered by board meetings and their day to day activities."

Overall

In conclusion, the BTM was considered to be a beneficial and innovative approach to organizational innovation and change. It was asserted that the BTM would provide for solid and objective solutions that might not occur in traditional organizational settings.

Based on your expert opinion what are the relative weaknesses or limitations of the model? (Question 5, Round 1)

BTM Team

A reported weakness of the BTM team centered on the potential lack of ownership and accountability associated with their position. One participant argued that in any successful endeavor, you must have ownership and accountability. A potential weakness was the potentiality of having "a group of intellectuals that put out a lot of ideas and solutions but they don't have the ownership/accountability of it when it gets pushed down throughout the organization. You have to have pride of authorship, if they are just writing papers and dreaming, they are going to go dead, will become stale, you have to have accountability to avoid becoming stale." It was insisted that while amassing a "group of really creative, innovative, problem solvers who aren't afraid of change" was beneficial; the idea of holding them accountable could be challenging.

Similarly, concerns were raised related to work load and responsibilities. Questions were raised as to how an organization could keep the BTM busy. Concerns were raised regarding whether they would be busy full time. It was conceded that in large companies it would be highly probable that they would be busy full time, but in smaller, less complex organizations, there could be times when the BTM were not fully functional due to demand.

A majority of the sample participants voiced concerns related to organizational applicability. This could manifest itself in the output of the BTM or the appropriateness of the quantity of ideas generated. In other words, it was contended that a rub would exist between innovation and the ability of the organization to apply the BTM's recommendations. Specifics included the possible generation of more solutions and ideas than the organization could conceivably implement. Questions were raised as to how the BTM membership could get out and in the organization to ensure the applicability and appropriateness of the solutions they develop. While lacking organizational responsibilities and a working knowledge of the organization would lend an objectivity that would otherwise be absent from individuals employed by the organizations, it was argued that the BTM could be in a position that prevents them from adequately understanding the organization. Examples include limited relationships necessary to implement change, a lack of understanding of the intricate political and power factors at play in the organization. Therefore, the BTM may not fully understand or comprehend what ideas would work in the organization. Corresponding to this, specific concerns were voiced as how to prevent a group of people, removed from the day-to-day

organizational realities, from developing "pie in the sky ideas", things that will simply not work in that organization.

A consideration related to the unique skill sets that the BTM team would be required to possess was the receptivity of traditional organizations to accept these unique traits and characteristics. Concerns were raised concerning the possibility of the CEO not considering the value of a diverse group of creative and innovative individuals. In other words, what kind of safeguards would be in place for the group and their diverse talents? While it was argued that the CEO would have to understand the qualitative benefits that a group of diverse, creative individuals could bring to an organization, the reality of tolerance for this type of group would be a consideration.

An additional matter was the resentment or perceptions that members of the organization may have toward the BTM. One participant noted a level of resentment could arise within the organization. Perceptions might emerge that the BTM was the "golden crowd", the "people behind the curtain." This could result in mistrust and resentment. Conversely, concerns were raised as to what might happen in the event the BTM became a group of highly regarded individuals who possessed organizational "star power." A potential result would be that the CEO or president may feel compelled to implement the BTM's recommendations to the detriment of the organization. Specifically, the participant stated, "because these are the seven smartest people in their area – all celebrities in their field recommending their ideas….their ideas in isolation could be very important and substantive, innovative, but they are just not right for the organization."

The make-up of the BrainTrust membership was addressed and challenged. Concerns were raised regarding employing a group of individuals for their creative and strategic thinking, but who lacked practical, industry expertise. Involving individuals with industry expertise was recommended to compensate for this weakness, and that was accounted for in the change recommendations.

The utility and fit of the BTM in smaller, cost-constrained organizations was raised as a limitation of the model. While it was reported by participants as a viable solution in large organizations, questions were raised as to how the concept would be translated to smaller and mid-size organizations who could not afford the services of the BTM. Participant recommendations were made to devise a strategy for utilizing the benefits of the services of the BTM in smaller organizations.

BTM Methodology

An equal and opposing drawback of the detailed, disciplined analysis required at each subsequent step of the methodology would be the possibility that a particular step would become the end product in and of itself. More precisely, there could be a tendency for the BTM team to "choke on the gnat" and lose sight of the original vision of the change and innovation project. Unless the CEO intervenes (which would be accounted for in the particular "go/no go" gates in the process) there will be no check and balance in the system, and the BTM could result in "analysis paralysis".

The selling of the change project or "making the case for change" was not adequately accounted for in the BTM. Although the step, "Acceptance Finding" is intended to insure the appropriate "buy in", it did not necessarily constitute a specific step in the innovation/change process. In light of this, one participant noted the importance of

ensuring that this activity occurs. He recommended a specific step be included in the process that addresses securing executive and employee buy in. Similarly, concerns were raised as to how middle management and individuals responsible for actually implementing change and innovation recommendations could be brought in for validation, thereby ensuring their support for the initiative.

Organization

One sample participant reported that the most common organizational problems, whether they are change projects or operational issues, are the result of people issues (e.g., lack of qualified staff, ill-equipped employees, and individuals lacking the characteristics to adequately drive change). The BTM does not address this issue. This issue was raised as a fundamental philosophical difference to the construction of the model. One research participant contended that the personnel component is the dominant component in change. More specifically, the participant's perception was that it was not the process or means by which a change or innovation project is conceived and implemented, but the individuals who are developing and implementing the project.

Another interesting concern raised was specifically how the BTM would address and prevail over the typical bureaucracy present in most organizational hierarchies. While it was not addressed as a specific weakness of the model, but a weakness of business as a whole, questions were raised as to how the BTM would overcome the bureaucratic tendency.

CEO and Executive Leadership

A frequently-cited drawback about the BTM was the ability of the CEO and or president to accept the involvement of the BTM. While a primary rationalization for the

creation of the BTM was to support and equip the CEO, it was argued that the CEO will obviously be required to accept the participation. It was contended that the single largest deterrent to the successful implementation of the BTM in organizations was securing the buy in and support of the CEO due to a sense of ego protection. It was reported that in the CEO/president position there is such a high level of competition for those positions that individuals would be very hesitant to accept "help" or assistance to perform a job they were responsible for performing. Specific occasions included accepting the notion that he or she needs help of this type. In other words, for the BTM to function effectively, he or she must accept and know that the input is of value. It was reported that if the CEO is believes, "he or she knows everything anyway, I don't need you guys telling me what to do," it simply would not be a viable model because a prerequisite for successful implementation of the BTM relies on the initiation of the CEO.

An additional factor that could limit the effectiveness of the BTM was the assertion that many CEOs may feel threatened by bringing in individuals to assist them. The issues of pride, ego, and the inability of a leader to accept outside perspectives, could occur as a result from using the BTM. A "particular level of pride and self reliance is present at the executive level" and it must be overcome. Additional comments included, "CEOs could easily be threatened. What will the BrainTrust tell me that I already don't know other than it may threaten my position?"

A further consideration included the all too common characteristic of executive confidence and resistance to ideas other than their own a sense of belief in one's perspective to such a degree that they are unwilling to listen to the advice and input of

others. This tendency can manifest itself in being married to their idea to such an extent that the applicability of the BTM would be greatly minimized.

What barriers to change does the model address? (Question 6, Round 1)

Barriers to change, fear of failure or the fear of negative consequences of failure all could be mitigated via the BrainTrust. It was reported that the "pressure is off the CEO, the CEO will have to say he or she is behind this and carry the flag, but on the other hand, it wasn't the CEO that came up with the plan. It could help mitigate the pressure of this being your dumb idea – not the CEO's head on the chopping block."

Securing or even forcing the hand of the CEO was deemed a positive contribution of the BTM. In other words, it would ensure "buy-in at the top". Therefore, "senior leadership's resistance would help to be mitigated because of the knowledge that the CEO is pushing the initiative." Because the BTM was engaged and integrated into the organization by the CEO, there would be a greater commitment by the CEO to guarantee successful completion of change initiatives.

To elaborate further on this issue, two participants reported that, too often, change initiatives are paid "senior level lip service" but, when it comes down to actually implementing the idea, perceptions of inadequacy would be too prevalent. Possible concerns could include such things as "It will be obvious I made a mistake" or "They will see the plan I put together was erroneous"….. Furthermore, the BTM, as it was perceived by sample participants, could help overcome the all too common fears of exposure. In other words, "CEOs don't want to be exposed to the stock holders, while they are not going to admit that face to face, the CEO doesn't want to look bad in front of their board of directors who determine his salary and his financial success. It goes right down the

line. If you are second in command, you don't want to look bad in front of the CEO." It was reported that the presence of the BTM would help prevent organizational members from killing an idea or project because it brought to light a failure, an oversight, or a faulty decision that they made.

An additional barrier to change the BTM was anticipated to address, was the process of making decisions based on wrong or incomplete data, or making decisions based on insufficient planning and analysis. Due to the rate of change and the innumerable items the chief leader has to contend with on a day-to-day basis, this helps "put together a bullet proof plan that is better and not on the fly as you are trying to do everything else. This would provide an opportunity to plan more thoroughly and deliberately."

A further benefit of the BTM construction, specifically the objectivity that their organizational position would afford them, was the notion that a Brain Trust may be able to suggest a more radical change because of their position since they possess no vested interest. Thus, organizational members are less likely to perceive them as being threatening even though the radical innovation may be. This was reported as a means for possibly overcoming organizational resistance since organizational members may not be as likely to reject an innovation for fear that they are being undermined intentionally. The BTM's suggestions may be more palatable and "seen as apolitical and ecumenical and as a result, could be seen as being completely objective because they (the BTM team) are viewed as more objective". Because members of the BTM have no personal gain to achieve as a result of a change recommendation, they are more likely to see the recommendation as positive.

The likelihood of reaching a conclusion could be more probable as the iterative methodology itself forces conclusions to be reached before proceeding to the next stage of the process. Additionally, the BTM "gives you an out so you are not caught up in a train that you can't stop." Due to the ongoing demands of performing operational and organizational activities, individuals involved in an organizational change and innovation may agree to push forward, albeit ill conceived, in order to move on and get back to their normal responsibilities. This could help prevent what one participant noted as the, "Abilene Paradox". "I could see this as being a way to get around the Abilene Paradox. What happens is that members of the organization know it is a bad idea, but they never speak their mind because they assume someone is pushing, that somebody is upstairs and I am not going to say anything." The BTM was reported as a means to help precipitate dissension and dispute because the BrainTrust has little vested interest and less likelihood of being terminated or censured.

Another beneficial aspect of the BTM is once again, the element of objectivity. The model could overcome a significant barrier to change, such as "change agents being too close to the problem and not seeing the problem in a proper perspective. The BTM does address this issue, because the people proposing the idea are far enough removed from the problem that they are able to have a different perspective on the problem."

The BTM was perceived, if properly implemented, as a strong method for conceiving and implementing very complex projects because the BTM employed strong, highly skilled resources who were experienced in driving change. The argument was made that in order for successful change to occur, skilled and strong personnel must be actively engaged in the process, and the BTM personnel fit this criterion theoretically.

What revisions or changes need to be made to enhance the Brain Trust Model to increase the likelihood of successful change implementation? (Question 7, Round 1)

BTM Team

Recommendations for improving the BTM team consisted of retaining equal power among the membership by incorporating an informal leadership model within the BTM. It was suggested that the leadership role be rotated (chairman/spokesman) within the team for a set period of time. Arguments were made that this would help provide a single face to the CEO as well as prevent the leadership role from becoming a power and brokered responsibility which could reduce the effectiveness of a team tasked with creativity and innovation.

Sample participants advised that greater clarity and specificity around roles and responsibility of the BTM team should be included in the BTM. Therefore, recommendations included further defining individual roles and responsibilities of the BrainTrust as well as the roles and responsibilities of individuals responsible for implementation (i.e., process improvement consultants, organizational development consultants). It was contended that clarifying in advance how the team would operate on a day-to-day basis would help ensure the long-term health of the team. This would be required to ensure that the BrainTrust remained healthy and fostered a healthy work environment.

While amassing a team of creative and innovative individuals was considered a beneficial component of the model, it was recommended that certain precautions be observed. For instance, although the objective, fresh, and novel perspective is valued, an entire team with no practical experience in a professional environment likely will lead to "pie in the sky" solutions that cannot or will not be implemented. Instead, teams should

have some experience in building, developing, and implementing business solutions. Two sample participants recommended that when building the membership of the BrainTrust, management should ensure that experienced business professionals and/or retired business executives constitute a small part of the BrainTrust. It was argued that not only would this help ensure applicable solutions, it would also significantly bolster the credibility of the BrainTrust team as well as their respective recommendations.

An alternative suggested to assigning an individual to the BrainTrust who possessed functional, organizational expertise was identifying a member of the organization (e.g. CLO Chief Learning Officer; Director of HR; COO) to serve as a resource and intermediary for the BrainTrust. This role would possess no formal authority over the BrainTrust but would be relied upon for information, feedback, and input. This recommendation would not eliminate the independence of the BrainTrust, but would help ensure that the generation of solutions is organizationally applicable.

BTM Methodology

Feedback received on the methodology of the BTM targeted organizational perception and methods for developing strong and reliable interfaces between the BTM team and the remainder of the organization. It was recommended that at each of the "Go/ No Go" gates in the methodology, a procedure be developed for interfacing with the rest of the organization (middle and lower management). This would help ensure buy-in from the stakeholders, process owners, and leaders of divisions and departments. The rationale the sample participants provided was that this step would help overcome the perception that this was the "group behind the curtain" or "puppet masters." Additionally, interfaces would help keep the lines of communication open with the organization to ensure the

BrainTrust receives valid data, facts, and the necessary information to solve problems and ensure solutions are applicable and relevant. A final benefit of these interfaces was that it would help ensure commitment, ownership, and buy-in as well as prevent senior and middle executives from feeling undermined.

A supplementary suggestion to the aforementioned recommendation was that at each methodological gate, the BrainTrust should go back to the CEO and executive leadership team in order to report progress and secure feedback. The rationale was to ensure that the BrainTrust remain connected with the CEO and executive team as well as ensure that the organizational leadership were attuned to the progress of the team, and ensure the BrainTrust is on track and not moving beyond the scope of the original process. Moreover it was stated that this close interaction will also provide a means for guidance while preserving the creative freedom and liberties the BrainTrust concept asserts.

A final recommendation brought forth by the sample participants related to the scalability and applicability of the BTM methodology. Recommendations, albeit not completely detailed on method, recommended that the scalability and flexibility of the BrainTrust methodology be such as to apply the methodology to all sizes and types of innovation and change initiatives. However, it was specifically stated that this should not preclude any project or innovation endeavor from being subject to the BTM methodology. It was advised that all projects of this type should be filtered through the BTM methodology.

Organization

The first recommendation consisted of devising a method or strategy to ensure open lines of dialogue and feedback from the organization membership to the BrainTrust

in order to create a clearinghouse for employee feedback. Akin to previous

recommendations for helping overcome the perception of the "ivory tower" and ensure

the applicability of their solutions; this, according to the research participants, would help

lay the path for company research and analysis and the collection of employee

suggestions and feedback.

A second and highly consensual recommendation among the sample participants

was the development of a project prioritization process, agreed upon by management,

which would clarify and dictate various organizational needs and priorities. The rationale

behind the development of this prioritization process would be the prevention of the

generation of more ideas, solutions, and innovations than a company could conceivably

manage. It was argued that this could help define strategic value to the organization, how

projects will be sequenced, how change initiatives will fit together, and how and when

projects will be implemented.

While supportive of the BTM philosophy in larger organizations, questions were

raised regarding the applicability of a BTM in smaller, cost-constrained organizations.

As a result, recommendations were made for creating a "rent a BrainTrust" whereby the

organization could offer members a retainer in which they are paid quarterly, possess

clear and unambiguous responsibilities, obligations, and are held to strict measures of

confidentiality and liability. The rationale for this included utilizing working people

from other companies, i.e., other executives from creative/innovative companies who can

offer suggestions to solve organizational problems. This does not imply that it is always

the same "think tank" because availability may pose an issue, but there exists a

population to draw from. This may prove beneficial in that depending on the problem, it

may impact the make up of the team. This could also prove advantageous to those who sit on this board as they could benefit from the exchange of ideas and best practices and may reach solutions that may then be taken back to their organization.

A final recommendation included using the BrainTrust to serve an organizational function not previously considered in the initial creation and development of the BTM. It was recommended that the BrainTrust be used as a succession tool/model for senior executives, upcoming retirees, and high performing employees. It was recommended that utilizing a rotational model would allow select individuals from the organization to be placed temporarily on the BrainTrust for a couple of years. This option could serve as a succession planning tool or a disciplined process for passing on valued knowledge of retiring executives. It was argued that this would help utilize the wisdom and expertise of the most experienced leaders all the while reducing resistance of middle management because senior leaders have experience, possess valuable relationships, and have built trust among the organizational membership.

CEO and Executive Leadership

One recommendation was made relative to Chairmen and the Boards of Directors broadening and further defining their roles in the BTM. It was recommended that the CEO and/or Board of Directors or Board Committee evaluate and measure the performance of the BrainTrust on a quarterly basis. The rationale for this recommendation was to not only ensure the BrainTrust remained on track and were within scope, but could prevent a group who existed in partial isolation—devoid of formal accountability—from struggling with motivation and concern for the impact of their contribution. This would also facilitate a process for the directors of the

organization to guide and direct the BrainTrust in order to ensure the applicability of both their existence and recommendations for change. .

Round Two: Change Recommendations

All ten of the original research participants remained in the study throughout Round Two and, as a result, 100% of the questionnaires were returned and all were completed accurately.

In Round Two of the Delphi, sample participants were emailed a questionnaire which provided a comprehensive summary of the change recommendations and ideas for improving the BTM received during the initial face-to-face interviews (Round One). Participants were instructed to identify the seven best recommendations for improving the BTM from the 12 recommendations and were requested to rank them accordingly. Upon receipt of participant rankings, the top seven change recommendations were calculated according to frequency and were incorporated into the BTM. The model was revised accordingly.

The purpose of the second round of the Delphi study was to present a comprehensive and thorough compilation of the change recommendations received for enhancing the BTM obtained in Round One. The rationale for assessing participant recommendations and modifying the model accordingly was an intuitive method. This is because the Delphi method of research is a research tool that can provide expert agreement among a group of individuals (Linstone, et al., 1975). Since the research was exploratory in nature, it was determined that the collective input would provide a true consensual perspective that would lend considerable heuristic value to future research on the BTM. Also, the research would indicate the steps and activities that could be

154

incorporated into the original model to augment its workings and structure. While making modifications to the model based on each change recommendation received would have been a viable approach to the research, allowing the collective "expert" opinion to sanction the top recommendations was deemed more appropriate and important for the purposes of constructing a model applicable to all organizational types.

Participants were requested to vote for only seven change recommendations. As each of the participant rankings were received, each questionnaire was reviewed for accuracy to ensure that the sample participant completed the questionnaire correctly and voted only for 7 change recommendations as assigned. Each participant completed the questionnaire correctly and the scores allocated to each change recommendation (7 to 1) were calculated. The top seven change recommendations were identified by calculating participant rankings and totaling each change recommendation to determine the top seven recommendations.

The results of the scoring and how participants rated the importance of each change recommendation is provided below. Table 6 details the results of Round Two. Each of the recommendations provided by the research participants in Round One are provided and each participant is represented in the table with a "P" and their respective number (P01). The ranking of the change recommendations by each participant is indicated with a numeral (i.e., 1, 2, 3, 4, 5, 6, and 7). "NA" represents a change recommendation which was not ranked among the top seven by each participant. Each recommendation's total score was calculated and tabulated under the "total" column. Finally, the top seven change recommendations are summarized with their totals scores below.

Table 6: Change Recommendation Results

Recommendations	P0	P02	P03	P04	P05	P06	P07	P08	P09	P10	Total
Rec. 1	2	5	1	NA	1	NA	4	NA	7	4	24
Rec. 2	NA	6	NA	NA	2	4	7	NA	3	6	28
Rec. 3	NA	NA	4	1	3	NA	NA	NA	4	5	17
Rec. 4	7	7	2	2	4	NA	2	7	5	1	37
Rec. 5		NA	3	NA	7	NA	3	5	NA	NA	18
Rec. 6	6	NA	6	4	6	1	1	1	2	2	29
Rec. 7	4	4	5	5	NA	3	6	4	6	3	40
Rec. 8	3	3	NA	3	NA	7	NA	3	NA	NA	19
Rec. 9	NA	NA	NA	6	NA	NA	NA	NA	NA	NA	6
Rec. 10	5	NA	NA	NA	NA	6	NA	6	NA	NA	17
Rec. 11	1	1	NA	NA	NA	5	NA	2	1	7	17
Rec. 12	NA	2	7	7	5	2	5	NA	NA	NA	28

Recommendation 7	40
Recommendation 4	37
Recommendation 6	29
Recommendation 12	28
Recommendation 2	28
Recommendation 1	24
Recommendation 8	19

The full description of each of the top change recommendations for Round Two are provided below according to rank.

1. Utilize the BrainTrust as a rotational, succession model for senior executives, upcoming retirees, and high performing employees. (40pts)

2. Utilizing the "Go / No Go Gates" in the methodology, develop a process/procedure for interfacing with the rest of the organization (middle and lower management) to ensure buy in from the stakeholders, process owners, and leaders of divisions and departments. (37pts)

3. Develop a project prioritization process, agreed upon by management, which would clarify and dictate organizational need. (29pts)

4. Devise a strategy for opening lines of communication and feedback from all levels of the organization in order to make the BrainTrust a clearinghouse for employee feedback. (28pts)

5. Retaining equal power among the membership, incorporate a rotating leadership role (chairman/spokesman) role within the team for a set period of time. (28pts)

6. The CEO and/or Board of Directors or Board Committee to evaluate and measure the performance of the BrainTrust on a quarterly basis. (24pts)

7. At each "Go / No Go Gate", the BrainTrust must go back to the CEO and executive leadership team in order to report progress and secure feedback. (19pts)

Synopsis of Results

The results of the change recommendations reflected the weakness cited in the interviews conducted in Round One. This evidenced a consistency in the feedback received from the sample participants and highlighted two very clear and prominent opportunities for improvement regarding the BTM: (1) BTM team accountability and, (2) a bridge or interaction with the organization.

While the highest-ranked recommendation for improvement did not directly address accountability, it does relate to organizational interaction and utilizing the BTM as a method for growing or fully utilizing the organization staff, which was outside of the scope of the original BTM development. This is a clear advantage. Utilizing the BTM as a rotational, succession model for senior executives, upcoming retirees, and high performing employees would clearly help bridge the gap between the BTM and the rest of the organization. This would prove advantageous in assisting the organization beyond the disciplines of innovation and change. The inclusion of a rotational, succession model

157

would augment the output of the BTM and would serve an organizational function not conventionally established in the model. Based on participant feedback, it was deemed a valuable addition.

The remaining change recommendations related directly to accountability for the BTM, the BTM team's interface, and interaction with the remainder of the organization. These recommendations provide a structure and feedback mechanism, which was evidenced in participant responses to the factors necessary for change (Round One), as well as strict parameters to ensure organizational focus and applicability.

The top seven recommendations for improvement are as follows:

(#1) Recommendation 7: Utilize the BrainTrust as a rotational, succession model for senior executives, upcoming retirees, and high performing employees. (40pts)
Rationale: Utilizing a rotational model was promoted as a means to allow an organization to identify select individuals from the organization and place them temporarily on the BrainTrust for a couple of years. This option could serve as a succession planning tool or a disciplined process for passing on valued knowledge of retiring executives. This would help utilize the wisdom and expertise of the most experienced leaders while reducing resistance of middle management because senior leaders have experience, possess valuable relationships, and have built trust among the organizational membership.

Round Two participant comments included that while this could result in a highly political environment, which could potentially defeat the purpose of the Brain Trust due to the "power" of a particular person, the idea of instilling experience and a wealth of knowledge to the BTM would prove beneficial. Participants also noted that this would

provide a great avenue for rewarding senior employees who have a passion for the company or project.

One participant, while supportive of the recommendation, noted that people should be selected for participation in the BTM team solely on the basis of merit rather than tenure or employement status. That is, according to the participant, the optimal way to ensure the success of any effort associated with the BTM.

(#2) Recommendation 4: Utilizing the "Go / No Go Gates" in the methodology, develop a process/procedure for interfacing with the rest of the organization (middle and lower management) to ensure buy in from the stakeholders, process owners, and leaders of divisions and departments. (37pts)

Rationale: The purpose of this recommendation was multifaceted. The rationale provided for the recommendation is as follows. It will help: 1) prevent the perception of the "group behind the curtain;" 2) keep the lines of communication open with the organization to ensure the BrainTrust receives real data, facts, and the necessary information to solve problems; 3) ensure solutions are applicable and relevant; 4) ensure commitment, ownership, and buy in and prevent senior executives from feeling undermined; 5) avoid organizational resentment and resistance.

Additional participant feedback included that this recommendation may provide the best expression of how to maintain communication and ownership to all the parties involved and could include both formal and informal communication bridges. This recommendation would provide a solid methodology for improving the lines of communication to and from the BTM team.

(#3) Recommendation 6: Develop a project prioritization process, agreed upon by management, which would clarify and dictate organizational need. (29pts)

Rationale: It was contended that a group of this type could generate more ideas, solutions, and innovations than a company could conceivably manage. A prioritization process, as it was defined, could help define strategic value to the organization, how projects will be sequenced, how change initiatives will fit together, and how and when projects will be implemented.

Round Two participants believed this recommendation would not only serve as a check and balance but as an updated coordination of development, especially when the creativity transcends what is expected and could, in fact, prevent delays in rolling out change initiatives.

(#4) Recommendation 12: Devise a strategy for opening lines of communication and feedback from all levels of the organization in order to make the BrainTrust a clearinghouse for employee feedback. (28pts)

Rationale: In order to prevent the "people behind the curtain" perception of the BrainTrust and ensure their solutions are applicable, and the front line is open and supportive of their recommendations; utilize the BrainTrust as an avenue for company research and analysis to collect employee suggestions, thoughts and feedback.

Comments from participants included that special, precautionary steps must be taken to properly manage this activity. Support was provided for soliciting and receiving feedback on a scale that would contribute to employees feeling as if they were part of the process. This could be perceived as an advantage. However, this would almost compel leadership to heed the feedback received because not acting on the input could be

perceived as rejection. It was recommended that this feedback be received from a select group of employees who were deemed to posses a high degree of organizational potential rather than receive feedback from the entire organization.

(#5) Recommendation 2: Retaining equal power among the membership, incorporate a rotating leadership role (chairman/spokesman) within the team for a set period of time. (28pts)

Rationale: This will provide one face to the CEO as well as prevent the leadership role from becoming a power and brokered responsibility.

(#6) Recommendation 1: The CEO and/or Board of Directors or Board Committee to evaluate and measure the performance of the BrainTrust on a quarterly basis. (24pts)

Rationale: Participants asserted that the accountability that this recommendation would afford will ensure ongoing motivation, incentives/rewards and consequences based on contribution. Also, it would prevent the generation of ideas/innovation without accountability for implementation or organizational applicability.

Additional participants' comments highlighted the fact that in order for this recommendation to find a steady footing, assurances must be provided to those who, in the final analysis, are responsible for its successful operation. These assurances are necessary to ensure that ultimate accountability, vision, purpose, commitment to the character and philosphy of the organization and its requisite direction be maintained.

One participant noted the importance of evaluation and recommended that not only should the CEO and/or Board of Directors evaluate and measure the BTM team on a quarterly basis, but recommended evaluation be conducted on a more frequent basis.

(#7) Recommendation 8: At each "Go / No Go Gate", the BrainTrust must go back to the CEO and executive leadership team in order to report progress and secure feedback. (19pts)

Rationale: This interaction will help prevent the isolation of the BrainTrust, will ensure the CEO and leadership team are keeping a close eye on progress, and will ensure the BrainTrust is on track and not moving beyond the scope of the original process. It will also provide a means for guidance without compromising the creative freedom and liberties the BrainTrust concept asserts.

The remaining change recommendations not receiving adequate agreement among sample participants to qualify as a top recommendation are provided below:

1. (Recommendation 3): Further define individual roles and responsibilities of the BrainTrust as well as the roles and responsibilities of individuals responsible for implementation (i.e., process improvement consultants, organizational development consultants).

2. (Recommendation 5): Identify a member of the organization (e.g., CLO Chief Learning Officer; Director of HR; COO) who serves as a resource and intermediary for the BrainTrust. The individual has no formal authority over the BrainTrust but is relied on for information, feedback, and input.

3. (Recommendation 9): Ensure the scalability and flexibility of the BrainTrust methodology to ensure it is applicable for all sizes and types of innovation and change initiatives.

4. (Recommendation 10): Within the make up of the BrainTrust membership, ensure experienced business professionals and/or retired business executives constitute a small part of the BrainTrust.

5. (Recommendation 11): In smaller organizations, where hiring and staffing a BrainTrust is cost prohibitive, retain BrainTrust members as you would a Board of Directors. Offer a retainer in which they are paid quarterly, possess clear and unambiguous responsibilities, obligations, and are held to strict measures of confidentiality and liability.

The BTM was modified according to the top seven change recommendations and all changes to the model or explanation were highlighted to demonstrate the alteration from the original BTM model.

Round Three: BTM Assessment

During the third and final round, research participants were emailed the revised BTM based upon the top seven recommendations identified in Round Two and were requested to complete a Likert-type scale instrument designed to assess the research question and hypotheses.

The purpose of the third and final round of the BTM was to evaluate the revised BTM and evaluate the viability of the BTM as a potential alternative to traditional change management methodologies.

The participants were asked to first review the revised BTM, and upon the completion of their review, rate how strongly they agreed or disagreed with each of the following statements on a Likert-type scale, a continuum which included the following

categories: strongly disagree, disagree, neither agree nor disagree, agree, and strongly agree.

The fully revised BTM, provided to the research participants, is illustrated in Figures 6 - 9. An overview of each component of the model is provided in the figures below:

1. Figure 6, "The Revised BTM Roles & Responsibilities", details the revised roles and responsibilities of the BTM. It specifically addresses additions to staffing and the utilization of participant recommendations for utilizing the model as a succession modeling tool. Additionally, Figure 6 highlights the addition of a prioritization model as well as steps to ensure accountability for the BTM and its respective members.

2. Figure 7, "The Revised BTM Domain of Responsibility", provides the inclusion of interactive feedback mechanisms between the BrainTrust team and organizational membership.

3. Figure 8, "The Revised BTM Methodology", highlights the addition of a prioritization activity within the "Objective Finding" phase of the BTM methodology. The additional step focuses on the exact placement of and at what step in the process a prioritization model will be utilized to determine organizational priority.

4. Figure 9, "The Revised BTM Methodology Gates", includes an illustration of how and at what stage within the BTM gate component that interaction with the CEO/executive leadership team, organizational stakeholders, middle management, entry level management, and employees will occur.

Note: Changes to the model are illustrated by a red marker and an associated number to highlight within the model where model revisions have been made.

Figure 6 – Revised BTM

Revised BTM Roles & Responsibilities
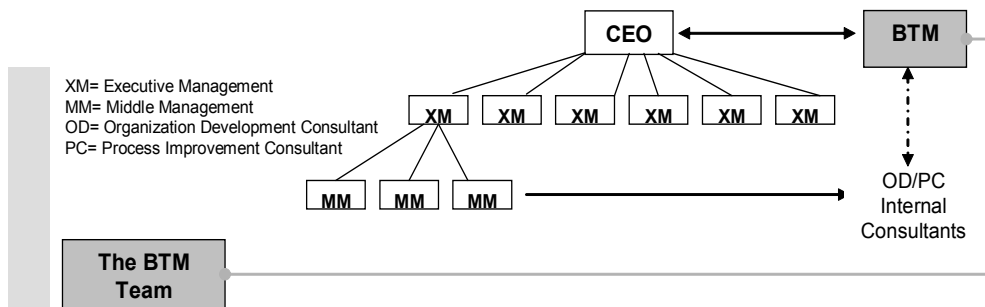
Staffing ❶

- In addition to the BTM team's core team and their respective responsibilities of equipping the CEO and executive management to drive change and innovation, the BTM is utilized as an organizational department/function in the following capacities:

    - High performing employees rotate on and off the "core" BTM team
    - Retiring executives spend a set period of time on the BTM before leaving the organization
    - Members of an organization identified as successors to top management sit on the team for a set period of time

Priority ❸

- Develop an organization specific, project prioritization process that the BTM team is held accountable to and dictates importance of projects

Leadership/Accountability ❺

- Retaining equal power among the BTM membership, incorporate a rotating leadership role (chairman/spokesman) role within the team for a set period of time.

- The CEO and/or Board of Directors or Board Committee evaluate and measure the performance of the BrainTrust on a quarterly and/or regularly scheduled basis ❻

Figure 7 – Revised BTM

The Revised BTM Domain of Responsibility

Figure 8 – Revised BTM

The Revised BTM Methodology

Step I	Step II	Step III	Step IV	Step V	Step VI
CEO & Executive Leadership Team & Brain Trust	Brain Trust	Brain Trust	Brain Trust	Brain Trust	Brain Trust Middle Management PI/IC
Objective Finding	Data/Fact Finding	Problem Finding	Idea Finding	Solution Finding	Acceptance Finding
1 Gate	2 Gate	3 Gate	4 Gate	5 Gate	

Step I
- Conduct external environmental scanning
- Determine opportunities
- Identify problems
- Frame problems
- Determine threats
- Determine rationale and drivers for change
- Conduct gap analysis
- Determine project objectives
- **Assess Project Prioritization Model to Assure Org. Need and Appropriateness** ③

Step II
- Conduct analysis
- Gather data
- Identify what is working
- Identify what is not working
- Conduct best practice research
- Assess current processes, statistics, organizational charts, and job descriptions

Step III
- Validate the proper problem frame in light of analysis
- Reframe problem if deemed appropriate based on the previous data/fact finding step
- Determine the impact of the problem

Step IV
- Conduct vision/brainstorming sessions to determine solutions
- Prepare alternatives

Step V
- Provide justification or support for solution
- Strengthen solution
- Draft high level change recommendations

Step VI
- Develop a plan to implement the solution
- Develop philosophy and goals of the new idea or solution
- Hand off the solution to organizational internal consultants or process consultants
- Design integrated solutions
- Develop new process and structure to support the solution
- Determine system support needs for the new design
- Develop performance measures
- Identify risks
- Construct valuation model
- Develop implementation plan

The BTM Methodology details the specific steps each innovation endeavor will follow. The innovation, change process will typically follow a linear process beginning with Step I and concluding with Step VI. The activities associated with each step of the process should be completed before proceeding with the next step. (Note: Exceptions to the process can exist as methodological flexibility is a component of the model. This flexibility will allow the skipping of a stage or jumping to subsequent stages when situations merit). At each of the respective steps, the specific activities which will need to be accomplished are provided. Between each of the six steps are positioned "gates", or "go", "no go" decision points along the process. These are intended to serve as milestones to ensure the activities at each step have been satisfactorily completed before proceeding to the next step along the process.

167

Figure 9 – Revised BTM

The Revised BTM Methodology – Gates

1 Gate	**2** Gate	**3** Gate	**4** Gate	**5** Gate
➢ Determine whether issue requires change or resolution ➢ Prioritize according to opportunity, magnitude of problem, potential threats, and organizational need ➢ Determine organizational benefit	➢ Determine if the issue being addressed is the primary issue to be resolved ➢ Determine if the organizational problem is fully understood	➢ Finalize list of organizational problems ➢ Report identified problems to be solved back to CEO & Executive Management	➢ Narrow down to the most viable solutions ➢ Identify the most viable solutions	➢ Report findings back to CEO & Executive Management ➢ Secure approval to proceed with implementation

Feedback loop "Go – No Go" Feedback loop "Go – No Go" Feedback loop "Go – No Go" Feedback loop "Go – No Go"

❷
❼
At Gates 1-5: Report Progress and Validate with: a) CEO/Executive Leadership Team and, b) Organizational stakeholders, middle management, entry level management, and employees.

The "Gate" component of the BTM Methodology serves as decision points between each step of the BTM process and consists of the activities that should be accomplished prior to continuing to the next step of the innovation process. The purpose of these gates is to ensure the success and continuation of beneficial projects and to terminate projects that are unlikely to meet their desired outcomes.

The questionnaire included nine (9) statements designed to solicit feedback on the viability of the BTM as an alternative to traditional change management methodologies. Those statements are as follows:

1) The BTM will foster in organizations greater degrees of innovation than those organizations without the BTM.

2) The BTM will provide organizations a higher quality of decision making than those organizations without the BTM.

3) The BTM will increase the capabilities of leaders to effectively drive change programs within organizations more so than traditional change management models.

4) The BTM will increase the capabilities of leaders to effectively drive change programs within profit organizations more so than traditional change management models.

5) The BTM will increase the capabilities of leaders to effectively drive change programs within non-profit organizations more so than traditional change management models.

6) The BTM will increase the capabilities of leaders to effectively drive change programs within religious, non-secular organizations more so than traditional change management models.

7) The BTM will increase the capabilities of leaders to effectively drive change programs within educational organizations more so than traditional change management models.

8) The BTM will increase the capabilities of leaders to effectively drive change programs within government institutions more so than traditional change management models.

9) Change initiatives using the BTM will have a higher likelihood of effectiveness than those not using the BTM.

Round Three Responses

A total of ten solicitations were sent to the research participants and all (100%) responded to the web-based questionnaire.

Hypothesis One – Innovation

H1: The BTM will be perceived as fostering in organizations greater degrees of innovation than those organizations without the BTM.

Innovation was defined for the purposes of the research and related to the research participants as the "commercialization and or institution of creative ideas and strategies" and is typically contingent upon the generation of these aforementioned ideas. Innovation is the improvement of something or an introduction of something wholly new.

The BTM was presented as a methodological solution in order to provide a framework for creating and implementing innovative solutions, the research endeavored to confirm or disconfirm the hypothesis that the BTM would help foster innovation.

Hypothesis One was confirmed in the initial interviews and further supported in the final round of the Delphi research. In Round Three, participants perceived the BTM as a means of helping initiate and deliver innovative solutions. Nine out of the ten research participants agreed with this supposition. Figure 10 illustrates the results of question 1 by frequency and level of agreement and Table 7 provides a summary of the total responses and response percentages.

Figure 10 – Question 1: The BTM will foster in organizations greater degrees of
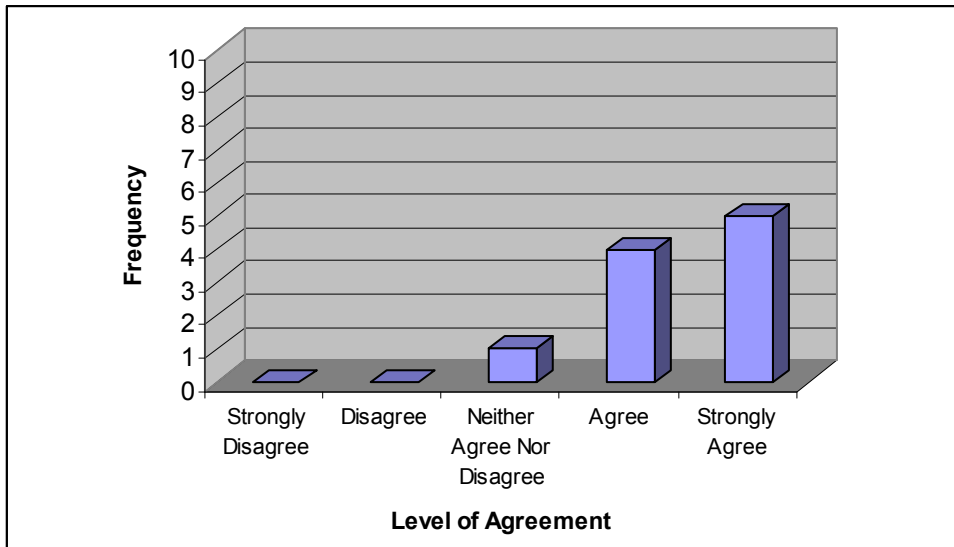innovation than those organizations without the BTM.

Table 7: Summary Table for Question 1

Response	Total Response	Response %
Strongly Disagree	0	0%
Disagree	0	0%
Neither Agree or Disagree	1	10%
Agree	4	40%
Strongly Agree	5	50%
Total Respondents	10	
Skipped Question	0	

Hypothesis Two – Decision Making

H2: The BTM will be perceived as enhancing in organizations the quality of decision making more so than those organizations without the BTM.

A primary cause of innovation failure is an undisciplined, disjointed decision making process (Russo & Schoemaker, 2002). Moreover, the responsibilities of the executive do not readily lend itself to vigilant and structured decision making. Due to the fact that change must be driven from the top in order to be successful (Cummings &

Worley, 2001), the importance of solid analysis in conjunction with developing and implementing innovation and change cannot be underestimated.

The research sought to determine whether the BTM would facilitate and / or improve the level of decision making in an organization. A majority of the participants noted agreement with Hypothesis Two, but not as compelling a level of agreement was achieved as for Hypothesis One. Nevertheless, in the individual interviews, the research evidence suggested discernible support of the decision making discipline the BTM would afford. Figure 11 illustrates the results of question 2 by frequency and level of agreement and Table 8 provides a summary of the total responses and response percentages.

Figure 11 – Question 2: The BTM will provide organizations a higher quality of decision making than those organizations without the BTM.
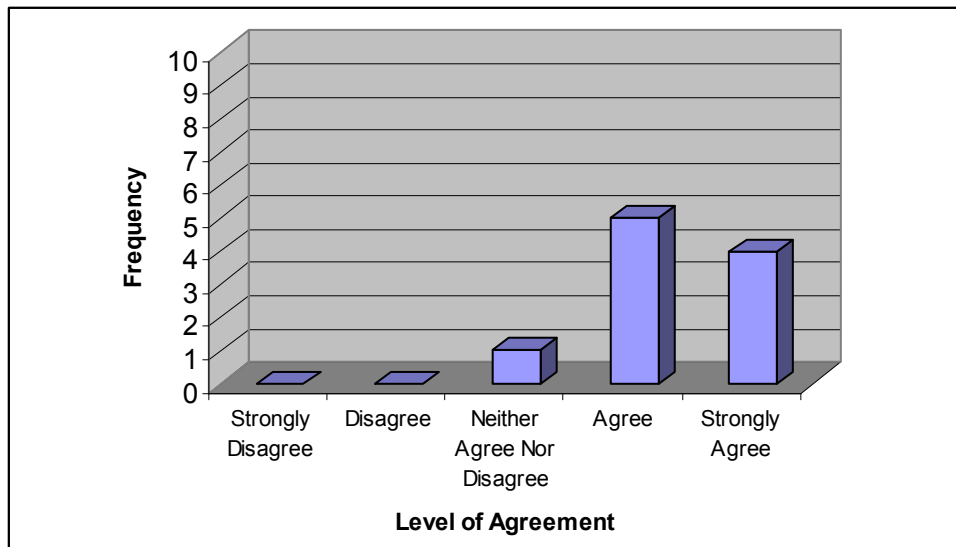

Table 8: Summary Table for Question 2

Response	Total Response	Response %
Strongly Disagree	0	0%
Disagree	0	0%
Neither Agree or Disagree	1	10%
Agree	5	50%

Strongly Agree	4	40%
Total Respondents	10	
Skipped Question	0	

The primary research question sought to determine whether the BTM would be perceived to be of greater value than traditional change management methodologies in enhancing innovation and the quality of decision making. Innovation and decision making are primary prerequisites for successful change, and this conclusion appears to have been positively confirmed by the research.

Hypothesis Three – Enhance Capabilities of Leaders

H3: The Brain Trust Model (BTM) will be perceived to increase the capabilities of leaders to effectively drive change programs within profit, non-profit, non-secular, and educational organizations more so than traditional change management models.

One of the chief aims behind the development of the BTM was to both help equip leaders to lead change and serve as catalysts for change. The research aimed to explore whether or not the BTM would be perceived as a means to help bolster the change management abilities and skills of the senior leader within an organization. Moreover, the research sought to determine whether the BTM would offer assistance to leaders within varying organizational types (i.e., profit, non-profit, non-secular, government, and educational) and or determine whether it was indeed more appropriate in profit organizations than in all other institutional types.

Overall, the BTM was perceived as a means to help equip leaders to drive change. More than half of the participants strongly agreed with this assertion, indicating support of this BTM function. Figure 12 illustrates the results of question 3 by frequency and

level of agreement and Table 9 provides a summary of the total responses and response

percentages.

Figure 12 – Question 3: The BTM will increase the capabilities of leaders to effectively

drive change programs within organizations more so than
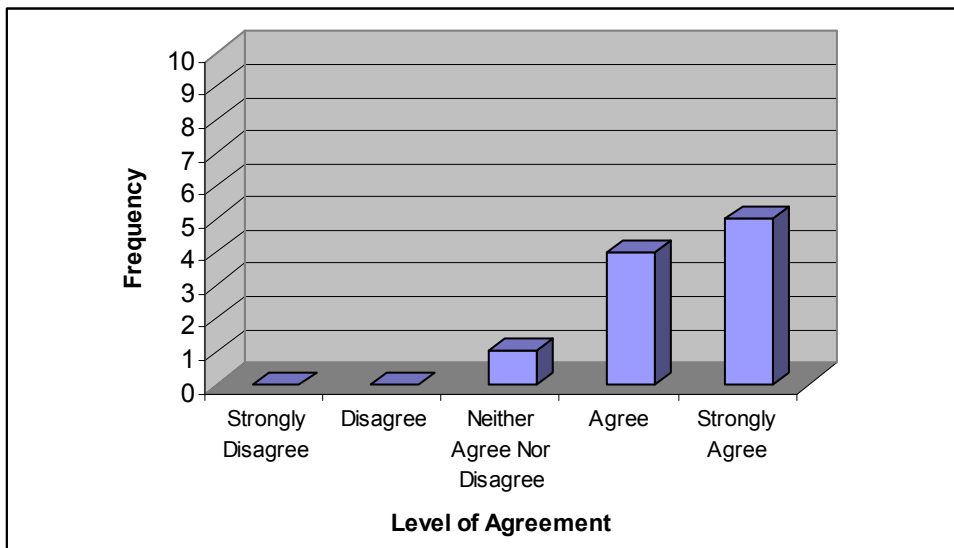
traditional change management models.

Table 9: Summary Table for Question 3

Response	Total Response	Response %
Strongly Disagree	0	0%
Disagree	0	0%
Neither Agree or Disagree	1	10%
Agree	4	40%
Strongly Agree	5	50%
Total Respondents	10	
Skipped Question	0	

Nevertheless, as each industry was segmented, further insight was achieved as to

what industry/domain the BTM was perceived to be most valuable for leaders. Within

profit organizations, participant agreement (either "agree" or "strongly agree") accounted for 90% of the responses.   Within the non-profit sector, 90% of responses also fell within "agree" or "strongly agree"; nevertheless, the level of agreement was not nearly as high as in the profit sector. The applicability of the BTM in the religious, non-secular was mixed according to participant responses. 44.45% offered no opinion either way. One participant skipped the question entirely, suggesting a decreased level of applicability within the religious, non-secular arena.

The employment of the BTM within the educational environment was also mixed and demonstrated an additional business domain where the BTM may not be considered as strong a support for leaders initiating and implementing change. Five research participants agreed that the BTM would help equip leaders to drive change within the educational sector; nevertheless, four participants indicated an ambivalence selecting "neither agree nor disagree" with the statement.

Slightly more agreement existed within the government sector. 60% of the participants agreed with the statement, 30% were neutral, and one participant noted a strong agreement with the statement that the BTM will increase the capabilities of leaders to effectively drive change programs within government institutions more so than traditional change management models. Figures 13 -17 illustrate the results of questions 4 - 8 by frequency and level of agreement and Tables 10-14 provides a summary of the total responses and response percentages of each question.

Figure 13 – Question 4: The BTM will increase the capabilities

of leaders to effectively drive change programs within <u>profit</u> organizations

more so than traditional change management models.

Table 10: Summary Table for Question 4

Response	Total Response	Response %
Strongly Disagree	0	0%
Disagree	0	0%
Neither Agree or Disagree	1	10%
Agree	5	50%
Strongly Agree	4	40%
Total Respondents	10	
Skipped Question	0	

Figure 14 – Question 5: The BTM will increase the capabilities of leaders to effectively

drive change programs within <u>non-profit</u> organizations more so than traditional change
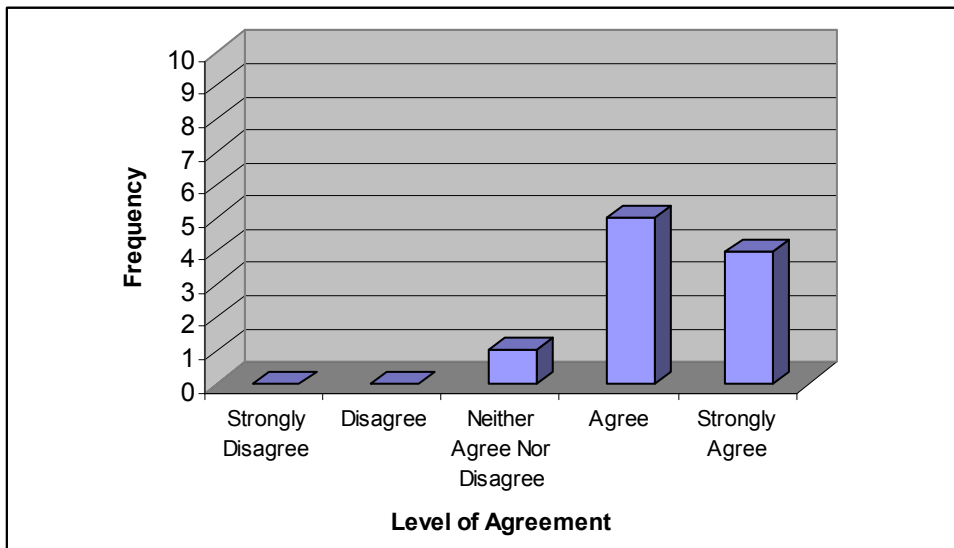
management models

Table 11: Summary Table for Question 5

Response	Total Response	Response %
Strongly Disagree	0	0%
Disagree	0	0%
Neither Agree or Disagree	1	10%
Agree	6	60%
Strongly Agree	3	30%
Total Respondents	10	
Skipped Question	0	

Figure 15 – Question 6: The BTM will increase the capabilities of leaders to effectively

drive change programs within <u>religious, non-secular</u> organizations more so than

traditional change management models.

Table 12**:** Summary Table for Question 6

Response	Total Response	Response %
Strongly Disagree	0	0%
Disagree	0	0%
Neither Agree or Disagree	4	44.45%
Agree	4	44.45%
Strongly Agree	1	11.10%
Total Respondents	9	
Skipped Question	1	

Figure 16 – Question 7: The BTM will increase the capabilities of leaders to effectively

drive change programs within <u>educational</u> organizations more so than traditional change
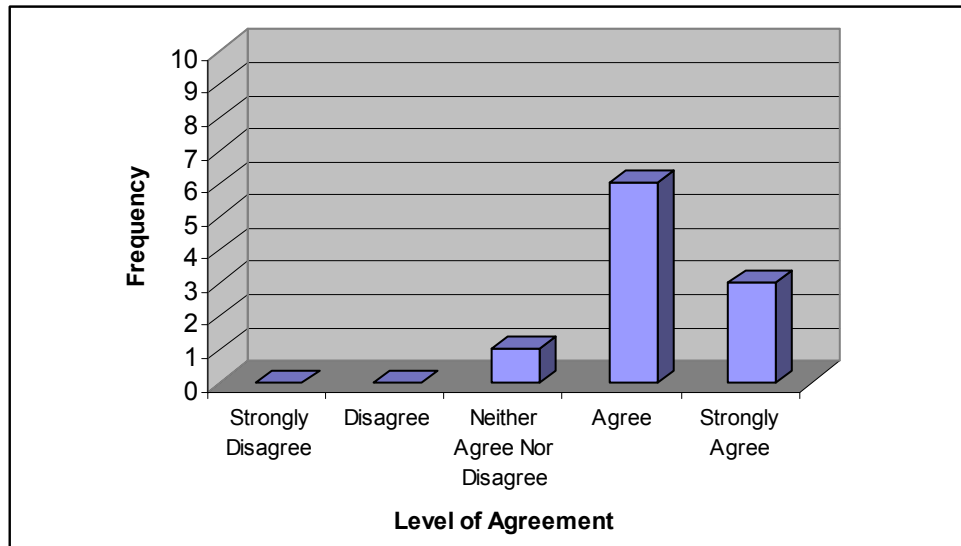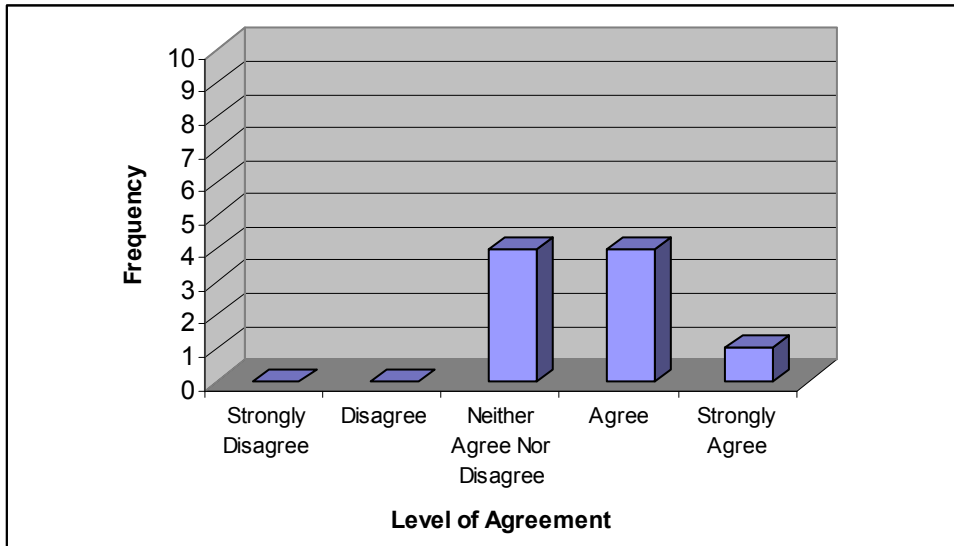
management models.

Table 13: Summary Table for Question 7

Response	Total Response	Response %
Strongly Disagree	0	0%
Disagree	0	0%
Neither Agree or Disagree	4	40%
Agree	5	50%
Strongly Agree	1	10%
Total Respondents	10	
Skipped Question		

Figure 17 – Question 8: The BTM will increase the capabilities of leaders to effectively

drive change programs within <u>government</u> institutions more so than traditional change
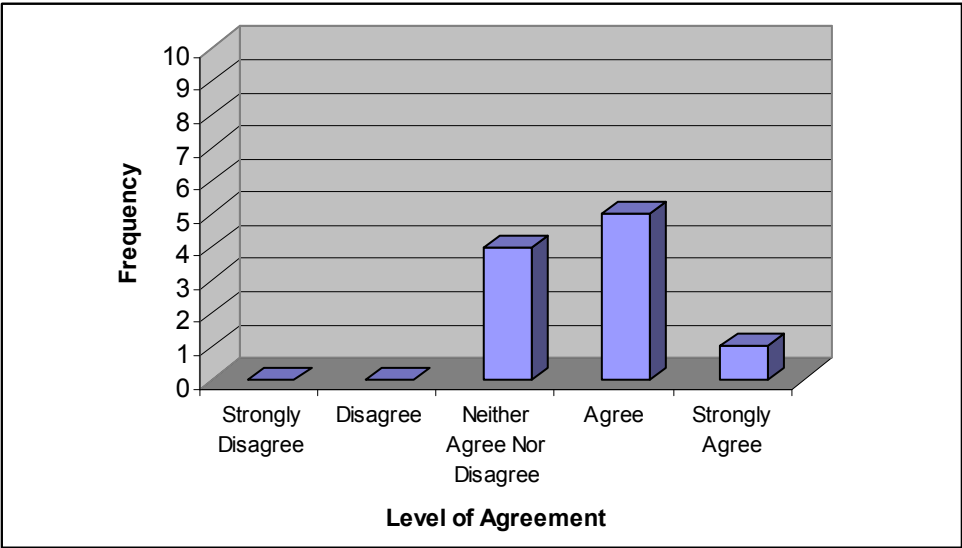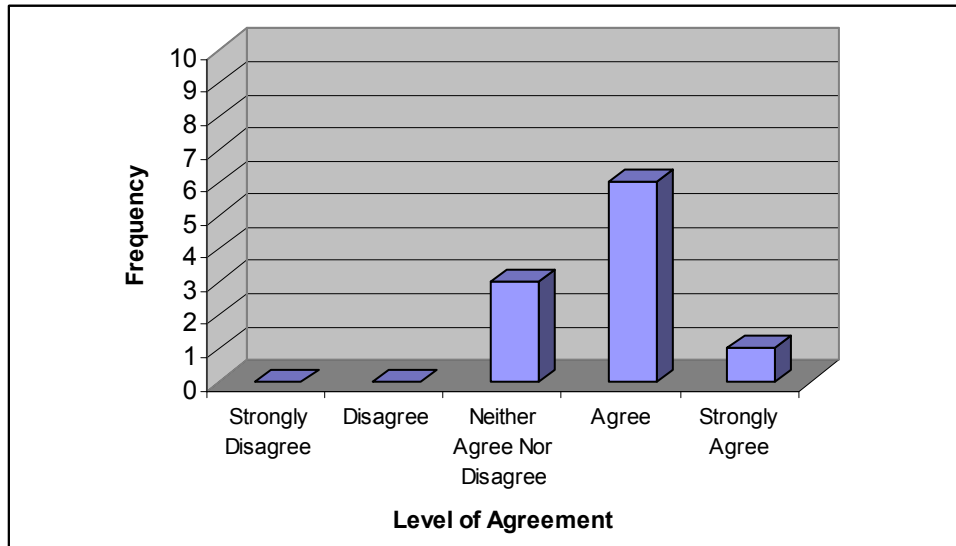
management models.

Table 14: Summary Table for Question 8

Response	Total Response	Response %
Strongly Disagree	0	0%
Disagree	0	0%
Neither Agree or Disagree	3	30%
Agree	6	60%
Strongly Agree	1	10%
Total Respondents	10	
Skipped Question		

Hypothesis Four – Effectiveness

H4: Change initiatives using the BTM will be perceived as having a higher

likelihood of overall effectiveness than those not using the BTM.

Hypothesis Four contends that organizations which adhere to the BTM structure

and methodology will experience a greater probability of effectiveness in their respective

180

change initiatives than those organizations who do not utilize the BTM. Research participant responses supported the assertion. This affords a strong overall insight into the potential viability of the BTM as a feasible alternative to traditional change management methodologies. Six out of the ten participants strongly agreed that change initiatives utilizing the BTM will experience a higher likelihood of effectiveness than those without the BTM. The remaining four participants noted agreement with the statement. This received the strongest level of support of all the facets of the model investigated. Figure 18 illustrates the results of question 9 by frequency and level of agreement and Table 15 provides a summary of the total responses and response percentages

Figure 18 – Question 9: Change initiatives using the BTM will have a higher likelihood of effectiveness than those not using the BTM.
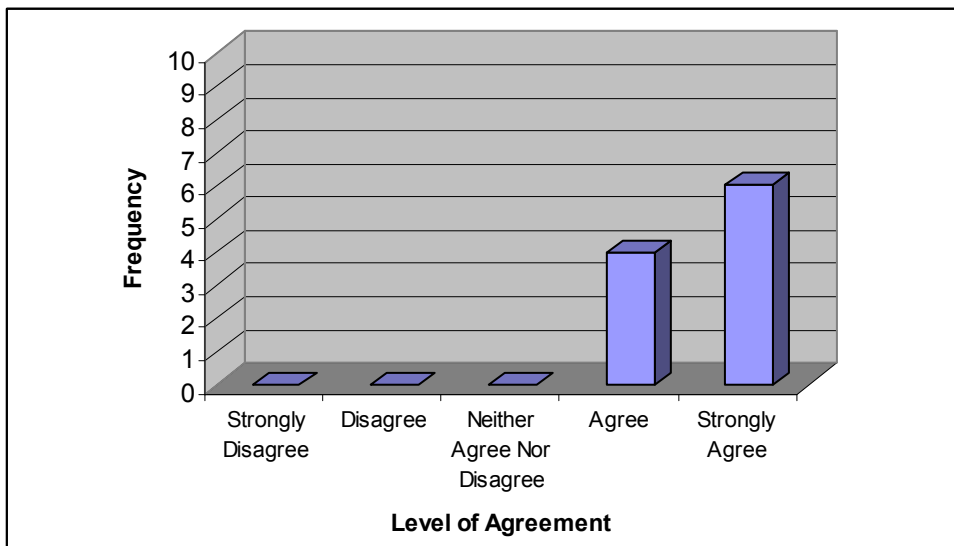
Table 15**:** Summary Table for Question 9

Response	Total Response	Response %
Strongly Disagree	0	0%
Disagree	0	0%
Neither Agree or Disagree	0	0%
Agree	4	40%
Strongly Agree	6	60%
Total Respondents	10	
Skipped Question		

Contribution to the Body of Knowledge

The research endeavored to assess the viability of the BTM as a feasible methodological approach for driving change, enhancing innovation, and increasing the quality of decision making within the context of organizational change and innovation projects.

This dissertation contributes to the body of knowledge through the proposal of a new organizational change model and soliciting feedback on its relative merits and weaknesses from experts and leaders in the field in order to bolster and provide credibility to the model. Moreover, the model was tested with research participants who hold the positions of CEO, CFO, CAO, president, consultant, and senior leadership in varying organizational types. The use of the upper-most echelons of leadership in research is limited in the change management theoretical realm and while limited in sample size, participant feedback from this senior perspective provides a supplement to the current change management theory.

From a methodological perspective, the dissertation has proposed a model which marries the strengths of reliable NPD (new product development) processes, the Osborn and Parnes CPS model, and principles of reengineering and improvement methodology to

create a robust, organizational change management model. This contribution has provided a prescriptive and disciplined change methodology to a body of knowledge that offers many general and imprecise approaches to change.

An additional methodological contribution to the body of knowledge is a prescriptive change management methodology which serves to specifically equip and support senior leadership in the process of driving change. The inclusion of a "think tank" function within the organizational hierarchy may serve as viable solution to better equipping executive leaders in generating successful change.

A serendipitous contribution was discovered through the solicitation of change recommendations from research participants who deemed the model an appropriate avenue for organizational succession planning efforts.

Chapter VI

Summary, Findings, Recommendations, and Conclusions

This final chapter of the dissertation includes a summary, findings, conclusions, and recommendations for future research as it relates to the BTM and its applicability as a viable organizational change and innovation model. In addition, this final chapter will reaffirm the research problem and will discuss the methods used in the study. Content will be focused on the results of the research as well as its future implications.

Summary

The overriding rationale for the research was to conduct exploratory research in order to ascertain the viability of a new, alternative organizational change and innovation model, the Brain Trust Model (BTM). In its essence, the BTM is a two-pronged methodological solution for driving organizational change. It encompasses two distinct operational components: 1) an organizational think tank, a new addition to the modern organizational structure for the purpose of equipping leaders to lead and serve as a catalyst for change; 2) a methodological framework for executing organizational change and transformation.

The purposes of this study were to: (a) offer an alternative to the myriad of problems associated with the current body of change management literature and provide viable solutions to successfully leading change within organizations; (b) solicit, assess, and synthesize "expert" opinion in order to determine the relative contribution of the BTM in contrast to the traditional methods of leading change and innovation within organizations; (c) realize improvements in the model, understand and improve its limitations, and ensure it aptly addresses the common barriers to leading change and

innovation projects; (d) determine if the BTM is perceived to be of greater value than traditional change management methodologies in enhancing innovation and the quality of decision making; (e) determine if the Brain Trust Model (BTM) will be perceived as fostering in organizations greater degrees of innovation than those organizations without the Brain Trust Model (BTM); (f) determine if the Brain Trust Model (BTM) will be perceived as enhancing in organizations a higher quality of decision making than those organizations without the Brain Trust Model (BTM); (g) determine if the Brain Trust Model (BTM) will be perceived as increasing the capabilities of leaders to effectively drive change programs within profit, non-profit, non-secular, and educational organizations more so than traditional change management models; and finally, (h) determine if change initiatives using the Brain Trust Model (BTM) will be perceived as having a higher likelihood of effectiveness than those not using the Brain Trust Model (BTM).

A three-round Delphi technique was conducted in order to explore fully and investigate the BTM. The research used an open-ended, face-to-face interview followed by two subsequent rounds to cull out and evaluate participant feedback and recommendations for enhancing the model. Furthermore, it sought to solicit and synthesize the feedback of an "expert" panel to assess the viability of the BTM as a solid methodological alternative within the field of innovation and change. In brief, the purpose of the research was to solicit and examine expert perceptions of the BTM and its respective methodology as a new paradigm in leading innovation and change. More specifically, the research endeavored to examine the question: "Is the Brain Trust Model

(BTM) perceived to be of greater value than traditional change management methodologies in enhancing innovation and the quality of decision making?"

The population of the study consisted of participants from the profit, non-profit, non-secular, government, and educational fields. Positions held in the aforementioned sectors were as follows: chief executive officer, chief financial officer, chief accounting officer, university president, vice president, organizational change consultant, professor, senior pastor, and chief academic officer. The participants held leadership positions and/or possessed solid expertise in change management, innovation, leadership, and quality improvement and/or possessed senior leadership experience in leading wide-scale change and innovation projects. Each participant possessed extensive experience and expertise in their respective sectors and industries. A total of 12 participants were solicited to participate in the study. Ten participants agreed to participate.

The actual Delphi research (i.e., Rounds 1-3) was undertaken between February 8, 2006 and April 3, 2006. Ten experts were involved in the study. The participant profile included eight leader/executives and two consultants/experts in the fields of change and innovation.

Data gathered from the Delphi Rounds were processed, coded, and ranked utilizing a simple rank-ordering of the top variables, (i.e., beginning with the top score in descending order) which is the common Delphi methodology (Delbecq, Van de Ven, & Gustafson, 1975).

Responses to the open-ended questions in the initial interviews were analyzed using content analysis. The data/responses captured via interval scales in Round Three

were analyzed using descriptive statistics, specifically the mode, because it was deemed the most appropriate indicator of central tendency due to…

Benefits of the Delphi Research Method

The Delphi method of research seemed to be the best approach for analyzing the viability of the BTM and conducting the research. The research sought to explore the applicability of the BTM in various organizational settings and contexts. Since the research was exploratory in intent and nature, the Delphi proved beneficial because it allowed for the collection of perspectives regarding the nature of change, irrespective of the BTM. This awareness was crucial in understanding how the participants perceived the concept of change and permitted a comparison of the scholarly research and the practical, day-to-day management of an organization.

The Delphi research also facilitated the utilization of a "consortium" of senior level, expert participants to evaluate the model and not only secure a collective viewpoint of the BTM, but to solicit methodological feedback from sources who possessed extensive practical experience in leading change. Moreover, the group became the "BrainTrust" behind the research and their collective judgment and recommendations proved quite indispensable in generating a consensus on what was required to enhance and evaluate the model.

The research method also fostered significant participant feedback and input in guiding and improving the change model. Because the research was exploratory in nature, subjective and value-based judgments were critical for evaluating the model. As a result of this, greater discussion and evaluation of the BTM change recommendations could have contributed to a more complete and robust perspective of the model.

Nevertheless, greater evaluation could have compromised the completion of the study due to the participants' levels of responsibility, leadership, and attendant time demands. While research participants who held senior positions in their respective organizations lent valuable and credible insight to the study, it posed a significant risk of dropout. This risk may have limited a more robust assessment and enhancement of the BTM.

<div align="center">Summary of Findings</div>

Round One interviews provided a venue for research participants to characterize what constituted a successful change and/or change management discipline in their view. The research suggests that successful managed change and innovation projects result in greater organizational profits or more profitable states that ultimately benefit shareholders. Equally as important were the operational and organizational efficiencies which organizations would enjoy as a result of change and innovation. These efficiencies are, in turn, associated with greater profits to the shareholders, thus highlighting the importance of return on investment and financial justification for initiatives related to change. Additionally, participants noted that organizational change initiatives characterized as successful will benefit the employee population and/or help to achieve an increase in employee morale, a result some may consider contradictory.

In accord with the change management research, the most important prerequisite, critical components for successful change and innovation initiatives are the active and ongoing support and championship of senior executives. Participants overwhelmingly endorsed the important role of senior executive management. Moreover, the research highlighted that while executive management support was critical, the research indicated a corresponding need for an engaged and committed employee population for successful

change to be realized. The "buy in" of employees to both the rationale for the change as well as their ongoing support was imperative to realize successful change and innovation. Finally, a clear understanding of the reasons behind change was deemed equally important. This seemed to align with the research literature which revealed that individuals must fully recognize the reasons underlying change in order to garner enough motivation and justification to develop a formidable enough stimulus to ensure success.

The basis for the failure of change initiatives and/or change initiatives not achieving their original aims was closely akin to the factors required for successful change initiatives to occur. The research indicated that an incomplete or misunderstood imperative for change was the veritable "Achilles heel" of most change initiatives. This was unique to the reasons cited in the research literature for change failures. Research participants alluded to this frequently and cited multiple anecdotal occurrences where a need was not fully defined or positioned which, in turn, greatly compromised the achievement of the initiative. Finally, the research illustrated the need for organizational buy in and indicated that unless support for the change was substantial, the natural resistance to change will eclipse the motivation for change and ultimately will kill the change endeavor.

Strengths

This study highlighted the various strengths of the BTM and its respective components. The targeted competencies of the participants or players within the BTM team were noted as especially significant for their highly diverse make up (e.g., highly creative, innovative, change agents). The uniqueness of skills that the BTM team could bring to the organization was noteworthy. It was contended that these specific skills

189

stood in opposition to the familiar skill-sets already present in the typical organizational scheme. This was strongly supported since the BTM concept would afford an organization a team of individuals who could provide a perspective or insight unlikely to be replicated or housed in perceptions of current organizational paradigms. This perspective would likely foster greater innovation and change, not only attributable to their unique and innate skills, but to their specific experiences in leading change and innovation initiatives.

The relative segregation of the BrainTrust in the course of elevating them in the organizational hierarchy and permitting complete focus on change and innovation would provide a crucial degree of objectivity and freedom to drive change and innovation, although some recommendations were put forth to counteract this effect. This stood in clear contrast to the current and typical organizational change paradigm that demands a two-fold responsibility of driving change and conducting day-to-day job responsibilities. This standard arrangement typically decreases the likelihood of implementing successful change since it becomes an afterthought instead of a top priority. An added benefit of the relative isolation and inclusion of the BTM was the positive benefit it may afford in the context of employee resistance. Results demonstrated that the BTM could provide solutions more palatable to the organization because they have little vested interest in the outcome of a recommendation. As a result of this neutrality, change recommendations may be perceived by organizational members as more equitable, thus increasing the likelihood of organizational adoption due to the belief that the BTM membership has little to gain as a result of the implementation of one of their change recommendations.

Finally, the reporting structure of the BTM was deemed a strong and distinguishing characteristic of the model. Reporting to the senior most individual in the organization was indeed perceived to be a potent forte of the methodology. Research participants related that the involvement of the senior-most leaders of an organization was a critical success factor for change. Providing a reporting structure which would facilitate executive involvement in the change process would foster a higher likelihood of successful implementation.

The research demonstrated that the BTM methodology, the process by which change and innovation initiatives would be conducted, was a distinguishing feature of the overall constitution of the model. The model was perceived to be parsimonious, yet, robust and multi-faceted enough to address the complexities of change. Moreover, the strict methodology will ensure the proper analysis required of successful change and innovation projects. This methodological balance could help mitigate the over-enthusiasm of participants and prevent the generation of ill-conceived ideas due to the methodological structure inherent within the process.

The "go/no go" gates or stopping points within the BTM methodological process was widely supported and alleged to be a major methodological breakthrough in the area of change. The stop points in the process could facilitate the necessary due diligence required of prudent and successful change. The due diligence the methodology would require could prevent the dedication of company expenditures and valuable resources on initiatives destined to fail from the outset. Recommendations for further improving the model, specifically the gate component of the model, consisted of creating heavy interaction with the CEO and board throughout each stage of the process. This would

191

help mitigate the counter effects of the aforementioned isolation the BTM team members could experience as a result of their positions in the organization.

The robustness of the BTM methodology was positively perceived. It was concluded that it would likely enhance an organization's ability to take complex, multi-faceted change and innovation projects and dissect them into manageable pieces, thus increasing the likelihood of successful implementation.

The benefit the BTM could provide to the top leadership and/or CEO was evidenced conclusively in the research. The benefits the BTM could offer to the CEO centered on the increase in feedback and communication channels back to the CEO and providing a conduit of information to the CEO that would otherwise be absent or muted. The isolation that the CEO, president, or senior-most leaders typically experience as a result of their positions was seen as surmountable as a natural consequence of this structure.

In totality, the BTM was considered to be a beneficial and innovative approach to organizational innovation and change. Moreover, the model was considered superior to traditional change management methodologies and perceived to possess a higher likelihood of effectiveness than its traditional methodological counterparts. Finally, the results indicated that the BTM was likely to provide solid and objective solutions that might not occur in traditional organizational settings.

Weaknesses

Feedback from this research indicated an inherent weakness in the model as originally conceived. Although deemed a positive attribute of the model, it was concluded that the objectivity provided the BTM through its reporting structure could

also be a detriment to its validity. Drawing individuals (i.e., the BTM team) away from the organization and its organizational bureaucrac—while beneficial in some contexts— could foster a lack of relevancy and applicability, consequently devising solutions which simply will not work in the organization. Additionally, the relative isolation and autonomy the BTM model affords could weaken accountability and employee ownership, resulting in an environment that could actually de-motivate team members or result in dysfunction. An added concern regarding the organizational positioning of the BTM centered on the possibility of members of the BTM being perceived as "the group behind the curtain". The group could result an ivory tower-like existence resulting in solutions that may or may not be relevant. This position, while providing a level of objectivity, may indeed limit important relationships that could result in a political disadvantage. Thus, the BrainTrust group might be unable to secure the organizational support necessary to achieve its respective goals.

Pertaining directly to the skills, abilities, and competencies of the BTM, challenges remain as to whether an organization can amass a group of individuals, unique from the organizational norm that can provide palatable solutions for an organization. The results indicated concerns on whether the BTM could possess the organizational knowledge and experience to be insightful enough to drive solutions. Appropriate change recommendations were forwarded to account for this issue; nonetheless, it is an issue that must be considered in any implementation of the BTM.

The utility and fit of the BrainTrust in smaller, cost-constrained organizations was deemed a limitation of the model. While regarded as a viable solution in larger organizations, questions remain as to how the concept would be translated to smaller and

mid-size organizations that could not afford to staff a full-time BTM team. Participant recommendations were made to devise a strategy for utilizing the benefits of the services of the BTM in smaller organizations. These suggestions centered around selecting a group of individuals who could serve the organization in a part-time, contractual capacity, akin to a board of directors.

Methodological limitations reside in the BTM methodology, specifically in the breadth and depth of the analysis required at each subsequent stage of the BTM process. While the detailed, disciplined approach to change and innovation was perceived a positive attribute of the model, there is the real potential that the BTM methodology will impose a discipline and level of detail far too complex for some organizational change initiatives to justify.

The research indicated that the BTM would still be subject to many of the organizational limitations which wreak havoc on any change and innovation endeavor: organizational politics, inflated cost projections and savings, turf battles, deception, and bureaucracy. The BTM model is still subject to these limitations, albeit the involvement of the CEO and senior leadership could provide it a political advantage. The BTM is still subject to the environments in which it is implemented and it does not yet account for negative organizational factors.

A final and potent challenge to the BTM is the ability of the senior most leaders to work with the BTM without experiencing a threat to the power and prestige that the position affords. The position of CEO, president requires a certain level of pride and self reliance, and the possibility of leaders experiencing a threat to their power and

competence is a very real prospect. Although little can be done to counteract this, it very well may limit or destroy the benefit the BTM can otherwise provide.

Common Challenges to Change

This dissertation research has indicated that the BTM may help mitigate some of the most common barriers associated with change. The following are a number of the change barriers the research literature overwhelmingly contends are most common: a lack of executive support and buy in, decisions based on incomplete data and information, and employee and organizational resistance. The BTM next will be assessed with respect to these barriers to change and addressed individually.

The buy in and support of executive leadership is a critical component of successful change initiatives since it is essentially a top down activity, one which cannot be delegated (Nadler, 1997; Reynierse, 1994). Because a primary purpose of the BTM is to support senior leaders in engaging and driving change within organizations, the BTM must be appointed and integrated into the organization by these leaders to enable the BTM to operate effectively. If indeed the BTM is implemented by the leader, a greater likelihood of commitment will be present because the decision was made to engage the BTM from the outset. Moreover, the issue of executive involvement will be addressed as the BTM methodology requires the ongoing involvement of the leader.

A common barrier to change is basing strategic and organizational decisions on incomplete or inadequate data and information. Due to the inordinate number of activities the chief leader is responsible for and the miscellany he or she must contend with, the BTM's methodology provides the structure and process for developing solid plans based on thoroughness and deliberation versus incomplete or inaccurate data.

Employee resistance to change is one of the most frequently cited barriers to successful change management (Bennis, 1989; Boonstra & Bennebroek Gravenhorst, 1998; Cummings & Huse 1989; Davenport, 1995; Ivancevich, Lorenzi, & Crosby, 1994; and Levy & Merry, 1986). While the model does not specifically provide a robust methodological structure for overcoming resistance to change, the steps inherent within the model could help mitigate resistance to change. Moreover, the research demonstrated that if the organization perceived the BTM as possessing no vested interest in the outcome of a change initiative, organizational members are less likely to perceive them as being threatening even though the radical innovation may indeed be threatening. In other words, if the BTM is perceived as an objective entity, then their suggestions could be perceived as less political and biased toward personal gain, therefore reducing the all too frequent resistance present in change initiatives.

Change Recommendations

The results indicated that a primary opportunity for augmenting the model centered on the accountability of the BTM as well as how the BTM might interact with the rest of an organization. This demonstrated a critical area neglected in the original construction of the BTM. Originally, the basis of the BTM centered on the role and task of the BTM team and the methodology. Factors of accountability and organizational interaction were not considered since the BTM would report directly to the CEO or senior-most leader in the organization. However, following the research, it was apparent that this issue must be considered in implementing the model.

A secondary, unanticipated result focused on the use of the "BrainTrust" beyond the original scope and purpose of the BTM. Utilizing the BTM as a rotational,

succession model for senior executives, upcoming retirees and high performing employees, was a position put forth which gained heavy agreement among the expert panel.

Recommendations

As previously noted, the Delphi method of research is well supported in the literature as a credible means of research in and outside the academic domain (Delbecq, Van de Ven, & Gustafson, 1975; Ley & Anderson, 1975; Thorn, 1978; & Van de Ven, 1974). It is also deemed a highly effective means of conducting research dependent on subjectivity when expert input and value judgments are required to assess models and/or research (Linstone & Turoff, 1975). Nevertheless, due to the exploratory nature of this research, a number of limitations are present and merit mention.

Although the Delphi method of research and its use of experts is touted as a viable method (Hillman, 1964), utilizing expert opinion and perceptions results in heavily subjective data. Although specific activities were undertaken to help address this (e.g., consensus building on perceptions of the BTM), the qualitative nature of the study and the small sample size has not lent itself to research findings or rendered conclusions which can be generalized across the population set. This may result in research findings which may not be externally valid.

Though the research participant group consisted of highly qualified experts in the topic of study, it should not be considered representative of the population at large and should be interpreted as such. The small sample size and opinion-based research, albeit highly valuable for exploratory research and feedback, has not rendered conclusions which can be generalized.

197

Moreover, the analysis of the results are also due consideration. Since the primary researcher was responsible for compiling and interpreting the feedback received in the individual interviews and, despite attempts to present participant feedback objectively, a level of interpretative subjectivity was nonetheless present and should be considered in the review of the results.

Although participants were selected in alignment with accepted Delphi protocol (e.g., Dalkey, 1969; Delbecq et al, 1975; & Zargari et al., 2001), the expert, research participants were not selected based on a random sampling process that presents problems of external validity. Nevertheless, the research possesses high heuristic value as it has endeavored to set a foundation and launching point for future research.

In light of the review of the literature, the findings of the research, and opportunities for future research, the following recommendations will be promoted.

1. While the purpose of the Delphi research was to assess the viability of the BTM, the BTM should be pilot tested in very large organizations (e.g., 5,000-10,000 employees) using a much larger sample set (e.g., 100 participants), to assess the pragmatic utility of the model. Specific steps should be taken to assess the BTM's methodology and structure to determine whether or not expert perceptions align with change and innovation outcomes utilizing the model in a test-piloted environment. Additionally, future research should determine if the highly- structured and rigorous BTM methodology qualitatively and quantitatively improves the performance or change initiatives of organizations.

2. The BTM should be customized for each individual organizational sector (e.g., profit, non-profit, government, non-secular, and education). While the original

format of the BTM appears to be applicable to each sector, it is hypothesized that a greater advantage could be realized through tailoring the concept of the BTM and its respective methodology to suit the individual needs of each organization type.

3. Similar to the aforementioned recommendation but unique due to the size and complexity of smaller, less bureaucratic organizational environments, design a unique BTM methodology to account for the needs and nuances of smaller organizations (e.g., 300 employees and less).

4. Conduct a Delphi Study designed and implemented in an identical format using research participants who hold the positions of middle- and entry-level managers. This analysis could serve as an important vehicle to evaluate the perceptions of the BTM from the entry- and middle-management layers in order to compare and contrast perspectives on the viability of the BTM. Conducting a similar study utilizing employees who hold no formal leadership or management responsibilities would provide insight into how palatable the BTM and its respective recommendations would be to organizational members not responsible for initiating and driving organizational change and innovation endeavors.

5. In response to research participants' recommendations for improving the BTM, develop an organizational succession model and program utilizing the BTM as the proving ground for individuals identified as future leaders; then, test the model to determine organizational applicability.

6. The ranking of the top reasons change initiatives fail and the top prerequisites for successful organizational change and innovation can be used to develop a comprehensive training and development program for leaders focused on those areas to

help ensure their presence in organizations. This would help ensure the successful initiation and implementation of change initiatives.

7. It is recommended that the BTM concept and its respective methodology should be researched in light of the cultural context. Moreover, investigate the receptivity of various cultures to the teamwork and collaboration inherent within the model. Conducting additional research to ascertain whether the BTM would be more applicable and successful in a collectivist-type culture (e.g., Asian) versus the American culture, which is manifest by a more individualistic ethos, should be considered (Aaker & Williams, 1998). It is hypothesized that since the BTM model is so heavily contingent upon teamwork and interaction, a collectivist culture would have a greater proclivity toward incorporating the BTM in its respective organizations.

8. Finally, the research participants should be provided the opportunity to assess the summary, recommendations, and conclusions forwarded in this document to ensure accuracy and assess their respective levels of agreement.

Conclusions

The study sought to both examine expert perceptions of the BTM as a new paradigm in leading innovation and change and assess the viability of the model and determine whether the BTM is perceived to be of greater value in driving change and innovation than conventional models.

The attempt at making the case for a change to modern change management was a focus of the review of the literature. Managing change in the business environment is stable at best and more often than not, a quixotic and frustrating endeavor.

While change is an historical phenomenon, it still remains a formidable challenge yet to be fully grasped or understood. The researcher began this initiative with a personal sense of responsibility and intellectual curiosity. The demands to produce and generate change in today's business environment are acute and expected of its leadership.   The harsh business reality today is such that well-intentioned leaders of business and other organizations—even with methodological constructs and aids,—are more likely to fail than succeed.

The bleak success rates (e.g. Anderson & Anderson, 2001; Maurer, 1996; Reger & Mullane, 1994; Strebel, 1996) of most change initiatives are clearly documented in the literature. Considering the fact that the field of organizational change is still in its infancy (Ketz de Vries & Balazs, 1999), the challenges of succeeding in today's ever-evolving business environment is not without challenge. Despite the theoretical sophistication, the demand for change remains. The attempt to construct a viable change model and methodology appears to be more likened to the race for "cold fusion" than solving a tangible business problem. It is a challenge that calls for a continual and aggressive focus on developing theoretical alternatives to the current change management literature. Despite the attempts of popular management literature, it is still evident that the change management discipline remains on the dark side of the moon and the ever-increasing demand for answers is fleeting.

There have been numerous theoretical orientations directed at increasing productivity through change and change management (Werr, Stjernberg, & Docherty, 1997). Nevertheless, an ability to extract success from this literature has not been realized (Reger & Mullane, 1994). The majority of practices and methodologies devoted

to change remain inadequate (Anderson & Anderson, 2001). Granted, it is easy for academe to point a learned finger at the phenomenon of change and make subjective judgments from an ivory tower. However, those who do so, may not have experienced the pain and frustration of leading change initiatives. All the same, because change initiatives fail at least 50% of the time (Maurer, 1996; Strebel 1996), it seems their accusations may be due consideration. However, Nadler (1997), a leading expert on organizational change, writes,

> "The truth is that change is inherently messy. It is always complicated. It invariably involves a massive array of sharply conflicting demands. Despite the best-laid plans, things never happen in exactly the right order and in fact, few things rarely turn out exactly right the first time around. Most important, the reality of change in the organizational trenches defies rigid academic models, as well as superficial management fads" (p. 3).

As others have stated, the change management paradigm is no longer sufficient for today's workforce and rapidly changing environment" (Axelrod, 2001, p. 22). Finally, consider, "Most of what's been written about transformational change is either too conceptual and therefore too impractical, too inspirational, and therefore too vague, or too company specific and therefore, too hard to apply to one's own situation" (Pascale, Millerman, & Gioja, 1997, p. 127).

Considering the rampant disdain for change, as well as the dismal failure rates of change initiatives, an attempt at a solution was offered, one that would perhaps contribute to the body of change management theory and possibly help forward an idea with the potential to improve the management of change and its relative success rates.

A final conclusion that would leave the research and discovery process unfinished unless addressed is due here. According to the results, the BTM was positively perceived by CEOs, CFOs, presidents and organizational change experts as a viable alternative to leading change and innovation initiatives within organizations. While the expert validation of the BTM was vital to understanding the applicability of the BTM in the modern organizational context, a clearer and more potent awareness emerged. This find has extended beyond the assessment of the BTM and suggests a distinct and marked difference and philosophy between academe and what we understand of the "organization". While the researcher developed a clear and unambiguous understanding of the BTM, a core belief has emerged which extends beyond the assessment of the development of a model. While it could be alleged that this matter is beyond the scope of a dissertation, it should be referenced because it emerged directly (and serendipitously) from this dissertation research. What originated and then emerged as a suspicion has taken root in reality and has been confirmed through the research: An awareness of an incredible gulf between academia and business.

The chasm is spoken of frequently on "both sides" but, as with all divergent points of view, an ability to plant both feet on each side is the "stuff of fiction" and naivety. The dissertation process has fostered an awareness that was neither attempted nor solicited; nevertheless, it has appeared. This awareness has resulted in a greater understanding of an alleged disdain and inability to translate the abstract to tangible practice within the business sector. This discovery has altered the researcher's thinking in a radical way. Whether it is aptitude or motivation should be left to the discretion of the reader. But in a world measured by the bottom line and a clear separation between

seconds and minutes, should there be a question of pondering the theoretical, albeit necessary? In order for academe and theory to be palatable to an organization, perhaps a sound coupling of academic theory with the practical application and efficiency that business is so adept at orchestrating should be deliberated.

What is more, in order for theorists to find equal footing in the arena in which they are attempting to advance, attention must be paid to developing theories with a practical, tangible counterpart intertwined. In many respects this was achieved in the development of the BTM; but, incompletely. It is clear from the research that the BTM and its applicability are perceived as a viable change and innovation model. Moreover, it is clearer that whoever can blend the important contribution of theory and frame it in a manner applicable to everyday organizational life, will realize significant gains, both personally and professionally. Perhaps then, a bridge between this chasm may be discovered.

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Appendices

Appendix A

Round One Delphi Interview Document

Appendix A

Round One Delphi Interview

Introduction and Instructions –

You have been asked to participate in this study because you possess solid expertise in change management, innovation, leadership, and quality improvement OR you possess senior leadership experience (CEO or Executive Vice President) in over-seeing wide-scale change and innovation projects. The purpose of the study is to conduct exploratory research on the development of an organizational change model: The Brain Trust Model (BTM). The purpose of the study is to ascertain the viability of the Brain Trust Model as an alternative model and method for leading innovation and change projects in various organizational settings. The study will seek to assess and synthesize your opinion in the field of innovation and change in order to determine the relative contribution of the BTM in contrast to traditional methods of leading innovation and change. The aim of the research is not solely to test the viability of the model, but to realize improvements to the model, understand and improve its limitations, and ensure it aptly addresses the common barriers to leading change and innovation projects.

This exploratory research will focus on your experiences and your perceptions of the relative contribution of the Brain Trust Model (BTM). Your responses will be examined independently as well as collectively with all other research subjects.

The interview will be recorded and transcribed word-for-word. Tapes and transcripts will be destroyed at the conclusion of the project. To support my note-taking and ensure accuracy, I would like to audio tape our conversation today. For your information, only I and Dr. VanGundy will be privy to the tapes which will eventually be destroyed after they are transcribed. In addition, you must sign a form devised to meet our human subject research requirement (Informed Consent Form). This document states that all information will be held in confidence, your participation is voluntary and you may stop at any time, and finally, I intend to do no harm to any research participant.

Interview Questions:

1. Verify the accuracy of this data by confirming:
   a. Your current position
   b. Years at current position
2. What is your definition of a successful change and innovation project?
3. Based on your experience, what are the most important prerequisites for successful organizational change initiatives? What are the critical components, critical success factors?
4. Based on your experience, what are the most common reasons change initiatives fail?

(Introduce BTM - The researcher introduces and fully educates the research participants on the BTM and answers any questions they may have regarding the actual model).

5. Based on your expert opinion, what are the relative merits of the model and its relative strengths?
6. Based on your expert opinion what are the relative weaknesses or limitations of the model?
7. What barriers to change does the model address?
8. What revisions or changes need to be made to enhance the Brain Trust Model to increase the likelihood of successful change implementation?

Appendix B

Round Two Delphi Questionnaire

Appendix B

THE BRAIN TRUST MODEL: A PROPOSED CHANGE TO MODERN CHANGE MANAGEMENT.
BRIAN EPPERSON – UNIVERSITY OF OKLAHOMA
MARCH 1, 2006

DELPHI ROUND TWO
(10 – 15 MINUTES)

PURPOSE:
The overall purpose of this questionnaire is to assess participant recommendations for improving the BrainTrust Model and supply you, the research participant, a summarization of the change recommendations and ideas received in all of the initial face-to-face interviews.

The cumulative result of participant feedback (provided below) is the result of the final interview question posed to you: What revisions or changes need to be made to enhance the Brain Trust Model?

Finally, the questionnaire will seek to determine the seven best recommendations for improving the Brain Trust Model.

BALLOT

INSTRUCTIONS:
Please review each change recommendation provided below. Using the drop down boxes provided, please identify the top seven change recommendations by assigning a 7 to the top change recommendation and a 1 to the last best recommendation. Please assign a 6 to the second best recommendation, a 5 to the third best recommendation, a 4 to the fourth best recommendation, a 3 to the fifth, and so on in that same format until you reach the 7th best recommendation. **Please vote for only seven change recommendations.**

The cumulative top seven change recommendations will be compiled and scored and the BrainTrust Model will be modified accordingly. Your responses will be confidential and the results will be provided in the next and final round

Upon completion, please email me your ballot. Thank you once again for your participation.

Please read each recommendation and click on the gray box to score the recommendation. Feel free to make comments in the section provided below.

Recommendation 1: NA

The CEO and/or Board of Directors or Board Committee to evaluate and measure the performance of the BrainTrust on a quarterly basis.

233

Rationale: This accountability will ensure ongoing motivation, incentives/rewards and consequences based on contribution, and prevent the generation of ideas/innovation without accountability for implementation or organizational applicability.

Comments:

Recommendation 2: NA

Retaining equal power among the membership, incorporate a rotating leadership role (chairman/spokesman) role within the team for a set period of time.

Rationale: This will provide one face to the CEO as well as prevent the leadership role from becoming a power and brokered responsibility.

Comments:

Recommendation 3: NA

Further define individual roles and responsibilities of the BrainTrust as well as the roles and responsibilities of individuals responsible for implementation (i.e., process improvement consultants, organizational development consultants).

Rationale: In order to ensure a high performing, highly efficient team, clarify in advance how the team will operate on a day-to-day basis. Additionally, define the hand offs and what the recipients of the hand offs will be responsible for relative to the recommendations of the BrainTrust.

Comments:

Recommendation 4: NA

Utilizing the "Go- No Go Gates" in the methodology, develop a process/procedure for interfacing with the rest of the organization (middle and lower management) to ensure buy in from the stakeholders, process owners, and leaders of divisions and departments.

Rationale: The purpose of this recommendation is multifaceted. The rationale is as follows: 1) It will prevent the perception of the "group behind the curtain"; 2) Will help keep the lines of communication open with the organization to ensure the BrainTrust receives real data, facts, and the necessary information to solve problems; 3) Will ensure solutions are applicable and relevant; 4) Will help ensure commitment, ownership, and buy in and prevent senior executives from feeling undermined; 5) Help avoid organizational resentment and resistance.

Comments:

Recommendation 5: NA

Identify a member of the organization (e.g. CLO Chief Learning Officer; Director of HR; COO) who serves as a resource and intermediary for the BrainTrust. The individual has no formal authority over the BrainTrust but is relied upon for information, feedback, and input.

Rationale: While it has been recommended that the BrainTrust remain largely independent of the organization, the BrainTrust will be more likely to generate solutions that are not only potent but utilizable if a leader of the organization serves this intermediary role.

Comments:

Recommendation 6: NA

Develop a project prioritization process, agreed upon by management, which would clarify and dictate organizational need.

Rationale: A group of this type could generate more ideas, solutions, and innovations than a company could conceivably manage. A prioritization process would help define strategic value to the organization, how projects will be sequenced, how change initiatives will fit together, and how and when projects will be implemented.

Comments:

Recommendation 7: NA

Utilize the BrainTrust as a rotational, succession model for senior executives, upcoming retirees, and high performing employees.

Rationale: Utilizing a rotational model would allow an organization to take select individuals from the organization and place them temporarily on the BrainTrust for a couple of years. This option could serve as a succession planning tool or a disciplined process for passing on valued knowledge of retiring executives. This would help utilize the wisdom and expertise of the most experienced leaders all the while reducing resistance of middle management because senior leaders have experience, possess valuable relationships, and have built trust among the organizational membership.

Comments:

Recommendation 8: NA

At each "Go – No Go Gate", the BrainTrust must go back to the CEO and executive leadership team in order to report progress and secure feedback.

Rationale: This interaction will help prevent the isolation of the BrainTrust, will ensure the CEO and leadership team are keeping a close eye on progress, and make certain the BrainTrust is on track and not moving beyond the scope of the original process. It

will also provide a means for guidance without compromising the creative freedom and liberties the BrainTrust concept asserts.

Comments:

Recommendation 9: NA

Ensure the scalability and flexibility of the BrainTrust methodology to ensure it is applicable for all sizes and types of innovation and change initiatives.

Rationale: The methodology must be scalable, but has not been recommended that there be a threshold of what the BrainTrust methodology can and cannot be applied toward. It is recommended that all change and innovation projects should filter through the methodology.

Comments:

Recommendation 10: NA

Within the make up of the BrainTrust membership, ensure experienced business professionals and/or retired business executives constitute a small part of the BrainTrust.

Rationale: While the objective, fresh, and novel perspective is valued, an entire team with no practical experience in the professional environment in building, developing, or implementing business solutions will likely lead to "pie in the sky" solutions that cannot or will not be implemented. This will also help bolster the credibility of the BrainTrust team as well as their respective recommendations.

Comments:

Recommendation 11: NA

In smaller organizations where hiring and staffing a BrainTrust is cost prohibitive, retain BrainTrust members as you would a Board of Directors. Offer a retainer in which they are paid quarterly, possess clear and unambiguous responsibilities, obligations, and are held to strict measures of confidentiality and liability.

Rationale: This could prove beneficial by utilizing working people from other companies, other executives from creative/innovative companies who can offer suggestions to solve organizational problems. This does not imply that it is always the same "think tank" because availability may pose an issue, but there exists a population to draw from. This may prove beneficial in that depending on the problem, it may impact the make up of the team. This could also prove advantageous to those who sit on this board as they may benefit from the exchange of ideas and best practices and may reach solutions that may be taken back to their organization.

Comments:

Recommendation 12: NA

Devise a strategy for opening lines of communication and feedback from all levels of the organization in order to make the BrainTrust a clearinghouse for employee feedback.

Rationale: In order to prevent the "people behind the curtain" perception of the BrainTrust, ensure their solutions are applicable, and the front line is open and supportive of their recommendations, utilize the BrainTrust as an avenue for company research and analysis – to collect employee suggestions, thoughts and feedback.

Comments:

End-

Please save the questionnaire to a location on your computer for back up in case you need to resend the file in the event of an email glitch or you experience a problem with sending the file. Please email me your responses at your earliest convenience.

Thank you for your participation!

Appendix C

Round Three Delphi Paper and Web Questionnaire

THE BRAIN TRUST MODEL: A PROPOSED CHANGE TO MODERN CHANGE MANAGEMENT.
BRIAN EPPERSON – UNIVERSITY OF OKLAHOMA
MARCH 1, 2006

DELPHI ROUND THREE
(10 MINUTES)

Purpose:
The purpose of this third and final round is to review the "revised" Brain Trust Model based upon the revisions/recommendations generated in Round 1 & Round 2 and assess the viability of the BTM.

Instructions:
Instructions:
Please examine the "revised" BTM. Upon completion of your review, please rate how strongly you agree or disagree with each of the following statements by placing a mark in the appropriate box. Please make only one selection per statement. The questionnaire will take approximately 10 minutes to complete. If you have any questions regarding the questionnaire, please email bepperson_phd@valornet.com or call 918-639-9454.

Each question should be viewed from your perspective and from the perspective of change management methodologies and practices you have either seen or experienced personally. You are not expected to know all the "traditional change management methodologies", the questions are limited to what you know, understand, and or have applied personally.

1) The BTM will foster in organizations greater degrees of innovation than those organizations without the BTM.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
☐	☐	☐	☐	☐

2) The BTM will provide organizations a higher quality of decision making than those organizations without the BTM.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
☐	☐	☐	☐	☐

3) The BTM will increase the capabilities of leaders to effectively drive change programs within organizations more so than traditional change management models.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
☐	☐	☐	☐	☐

4) The BTM will increase the capabilities of leaders to effectively drive change programs within profit organizations more so than traditional change management models.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
☐	☐	☐	☐	☐

5) The BTM will increase the capabilities of leaders to effectively drive change programs within non-profit organizations more so than traditional change management models.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
☐	☐	☐	☐	☐

6) The BTM will increase the capabilities of leaders to effectively drive change programs within religious, non-secular organizations more so than traditional change management models.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
☐	☐	☐	☐	☐

7) The BTM will increase the capabilities of leaders to effectively drive change programs within educational organizations more so than traditional change management models.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
☐	☐	☐	☐	☐

8) The BTM will increase the capabilities of leaders to effectively drive change programs within government institutions more so than traditional change management models.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
☐	☐	☐	☐	☐

9) Change initiatives using the BTM will have a higher likelihood of effectiveness than those not using the BTM.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
☐	☐	☐	☐	☐

Appendix C – Web Version

Appendix C – Web Version

THE BRAIN TRUST MODEL: A PROPOSED CHANGE TO MODERN CHANGE

3. Instructions

Instructions:
Please examine the "revised" BTM. Upon completion of your review, please rate how strongly you agree or disagree with each of the following statements by placing a mark in the appropriate box. Please make only one selection per statement. The questionnaire will take approximately 10 minutes to complete. If you have any questions regarding the questionnaire, please email bepperson_phd@valornet.com or call 918-639-9454.

Each question should be viewed from your perspective and from the perspective of change management methodologies and practices you have either seen or experienced personally. You are not expected to know all the "traditional change management methodologies", the questions are limited to what you know, understand, and or have applied personally.

<< Prev   Next >>

Done

THE BRAIN TRUST MODEL: A PROPOSED CHANGE TO MODERN CHANGE

4. Statements

1. The BTM will foster in organizations greater degrees of innovation than those organizations without the BTM.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
○	○	○	○	○

2. The BTM will provide organizations a higher quality of decision making than those organizations without the BTM.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
○	○	○	○	○

3. The BTM will increase the capabilities of leaders to effectively drive change programs within organizations more so than traditional change management models.

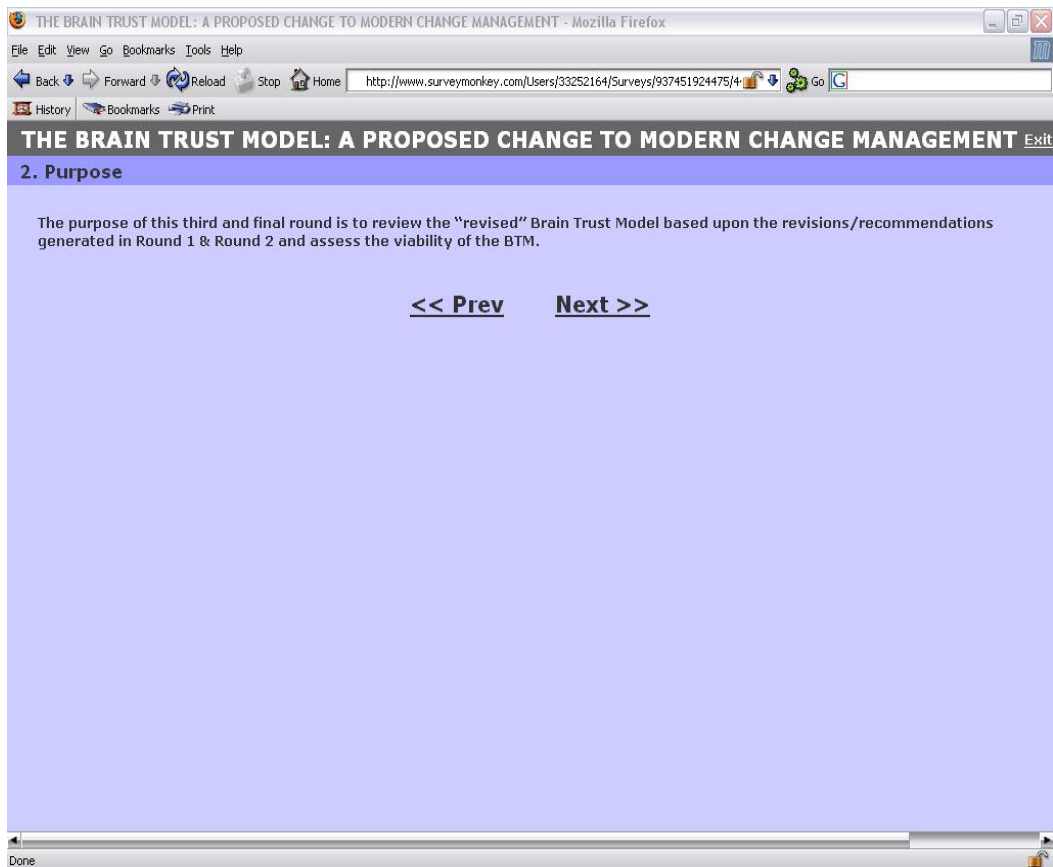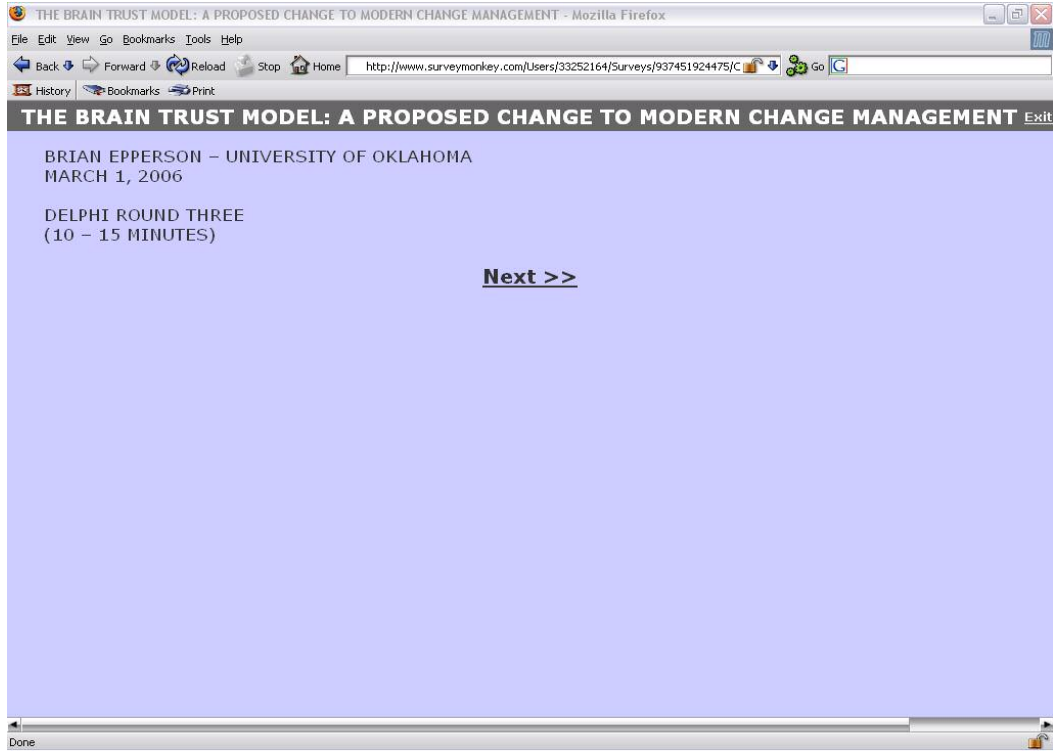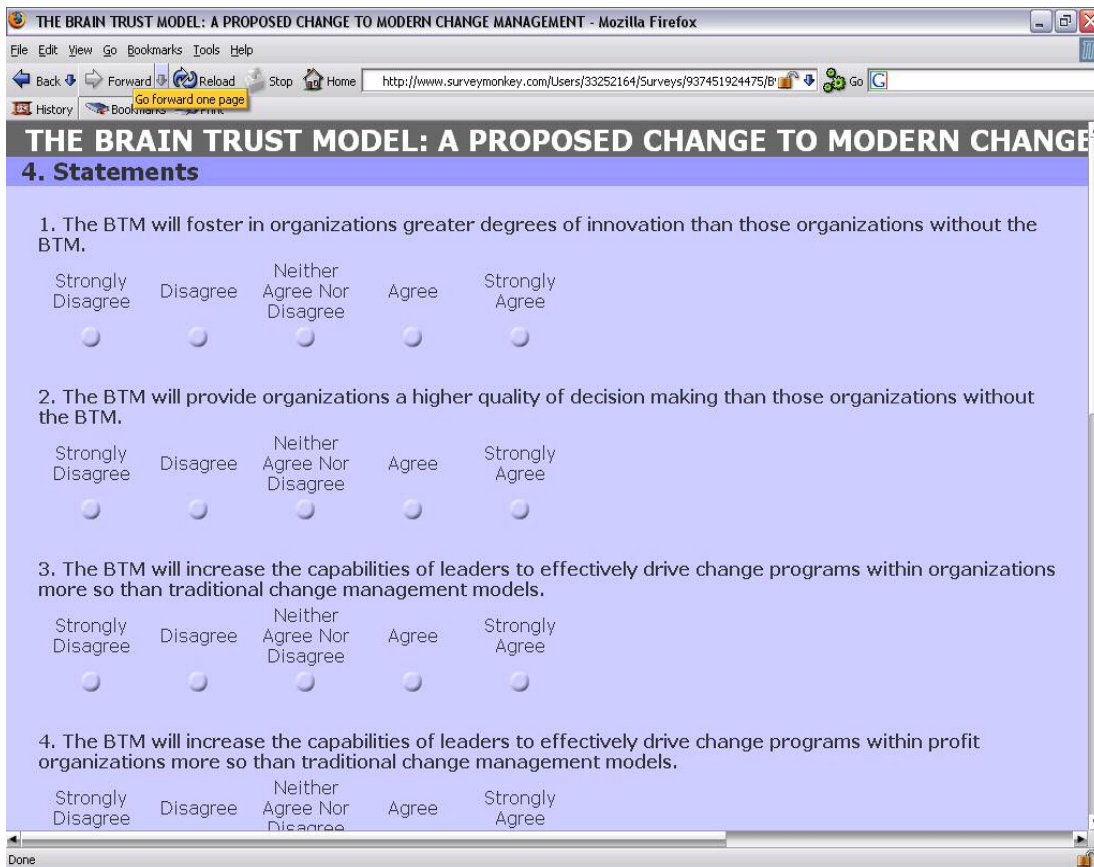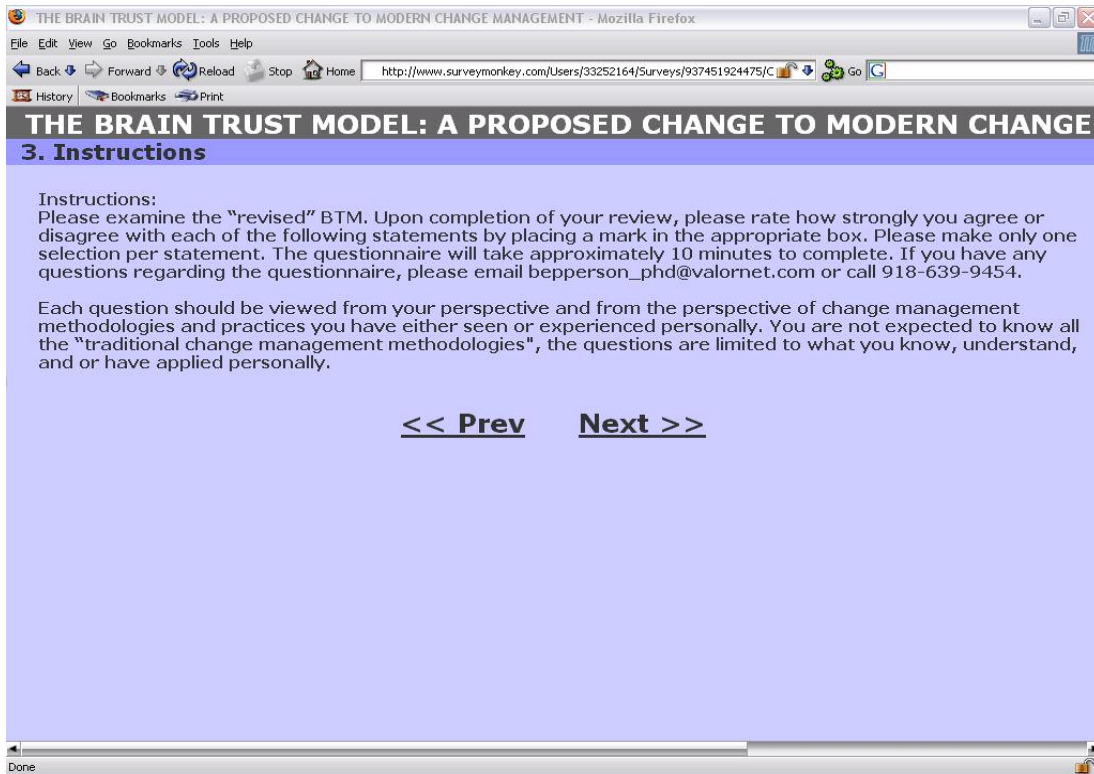| Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree
○	○	○	○	○

4. The BTM will increase the capabilities of leaders to effectively drive change programs within profit organizations more so than traditional change management models.

Strongly Disagree	Disagree	Neither Agree Nor Disagree	Agree	Strongly Agree

Done

Appendix D

Informed Consent Document

INFORMED CONSENT
TO PARTICIPATE IN A RESEARCH STUDY

PROJECT TITLE:	**The Brain Trust Model: A Proposed Change to Modern Change Management**
PRINCIPAL INVESTIGATOR:	**Brian R. Epperson**
CONTACT INFORMATION:	**918-639-9454**
	bepperson_phd@valornet.com

You are being asked to volunteer for a research study. This study is being conducted under the auspices of the University of Oklahoma-Tulsa campus. You were selected as a possible participant based on one of two criteria. You possess solid expertise in change management, innovation, leadership and quality improvement OR you possess senior leadership experience (CEO or Executive Vice President) in overseeing wide-scale change and innovation projects. Please read this form and ask any questions that you may have before agreeing to take part in this study.

The faculty sponsor of the study is Dr. Arthur VanGundy

Purpose of the Research Study

The purpose of this study is to conduct exploratory research on the development of an organizational change model, the Brain Trust Model (BTM) developed by the principal investigator, Brian Epperson. Additionally, the study will seek to ascertain the viability of the Brain Trust Model as an alternative model and method for leading innovation and change projects in organizational settings. The study will seek to assess and synthesize "expert" opinion in the field of innovation and change in order to determine the relative contribution of the BTM in contrast to the traditional methods of leading change and innovation. The aim of the research is not solely to test the viability of the model but to realize improvements to the model, understand and improve its limitations, and ensure it aptly addresses the common barriers to leading change and innovation projects.

The primary research question the study seeks to resolve is whether the Brain Trust Model (BTM) is perceived to be of greater value than traditional change management methodologies in enhancing innovation and the quality of decision making.

Procedures

If you agree to be in this study, you will be asked to do the following things: Upon receipt of your request for participation in the study, you will receive a follow-up phone call to confirm your decision to participate in the study and to further explain the purpose of the study.

The study will begin with an audio-recorded interview and an overview of the Brain Trust Model (BTM). This interview will last approximately 45– 60 minutes. The interview will consist of questions directed at determining your characterization of a successful change and innovation project, as well as to determine your perception of the most important prerequisites for successful organizational change initiatives. Questions regarding your opinions on the most critical components and critical success factors in leading change will be presented. Your opinion will be solicited regarding the most common reasons you perceive that change initiatives fail.

You will then be introduced to the model and will be asked to provide feedback on the merits/strengths of the model, as well as what change barriers the model addresses. Finally, you will be asked to report your recommendations/change ideas for revising/modifying the BTM.

The initial meeting and interview will last between 45 to 60 minutes.

The first questionnaire will be emailed to you following the initial interview. Responses will be received from the first interview and the data analyzed. Responses will then be categorized and or grouped. The categorization should result in a summary list of the comments and feedback received and conducted in a manner that can easily be digested by all the respondents.   (10 minutes)

The revised BTM will be emailed to you based upon changes generated in Rd 1 & Rd 2. A final questionnaire will be provided via email to determine the relative merit of the "revised" BTM. (10 minutes)

Risks and Benefits of Being in the Study

The study has no foreseen risks to research participants.

The benefits to participation are as follows:
     The purpose of the research is exploratory in nature and seeks to determine the viability of a new, alternative organizational change and innovation model for organizations. Organizational change is a requirement for organizational sustainability, yet the dismal failure rate of a large majority of change/ transformation initiatives today presents significant opportunities for improvement in the current change methods in use today.   As aforementioned, research participants in the study are considered experts in the discipline of change management, or are responsible for the leadership of change initiatives within organizations. Therefore, their involvement in the study will serve as not only an educational exercise for the participants, but as an opportunity to augment and contribute to the evolving theoretical framework of change management as a discipline. Moreover, the aim of the research will not be to solely test the viability of the model, but to realize improvements in the model, and to understand and improve its limitations with the aspiration of improving the success rate of change initiatives.

Compensation

You will NOT be reimbursed for your time and participation in this study.

Voluntary Nature of the Study

Participation in this study is voluntary. Your decision whether or not to participate will not result in penalty or loss of benefits to which you are otherwise entitled. If you decide to participate, you are free to not answer any question or withdraw at any time.

Confidentiality

The records of this study will be kept private. In published reports, there will be no information included that will make it possible to identify the research participant. Research records will be stored securely in a lock box at the researcher's primary residence for five months until the completion of the study (May 2006). Transcribed notes will be kept on a home computer, password protected, and will be erased upon completion of the study (May 2006). Only the researcher will have access to the records. Taped sessions of the interview, as well as transcripts of the interview contents, will be destroyed. The actual tapes themselves and the written notes will also be destroyed. Upon completion of the study, the information will be removed from the computer on which the information is stored.

Participants' names will not be linked with their responses unless the participant specifically agrees to be identified. Please select one of the following options.

☐ I prefer to leave my identity unacknowledged when documenting findings; please do not release my name when citing the findings.
☐ I consent to the use of my name when recording findings and that I may be quoted directly.

Audio Taping Of Study Activities:

To assist with accurate recording of participant responses, interviews may be recorded on an audio- recording device/video recording device. Participants have the right to refuse to allow such taping without penalty. Please select one of the following options.

☐ I consent to the use of audio recording.
☐ I do not consent to the use of audio recording.

Contacts and Questions:

The researcher(s) conducting this study can be contacted at 918-639-9454 by telephone or by e-mail at bepperson_phd@valornet.com. Dr. Arthur VanGundy can be contacted at 405-325-6042 or by e-mail at avangundy@cox.net. You are encouraged to contact the researcher(s) if you have any questions.

If you have any questions about your rights as a research participant, you may contact the University of Oklahoma – Norman Campus Institutional Review Board (OU-NC IRB) at 405-325-.8110 or irb@ou.edu.

You will be given a copy of this information to keep for your records. If you are not given a copy of this consent form, please request one.

STATEMENT OF CONSENT

I have read the above information. I have asked questions and have received satisfactory answers. I consent to participate in the study.

_____   _____
Signature   Date