AN EVALUATION OF APPRECIATIVE INQUIRY AS AN ALTERNATIVE ORGANISATION DEVELOPMENT APPROACH

A thesis submitted in fulfilment of the requirements for the degree

MASTERS OF COMMERCE

Department of Management

RHODES UNIVERSITY

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December 2016

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Abstract

The research provides an insight into the main challenges of previous Organisation Development processes, and Appreciative Inquiry is explored to establish the value it can offer as an alternative which minimises these challenges in today's organisations.

Organisation Development originated during the early 1950s and has evolved, adapted and changed dramatically since then. Two classical Organisation Development processes, Lewin's 3-Step model and the Action Research spiral, are described, and typical challenges of applying them in today's organisations are outlined. To remain competitive, organisations need to identify, adjust, and adapt to changing circumstances. These changing circumstances are constant and are due to increasingly complex demands from technological, economic, managerial, and cultural needs.

Appreciative Inquiry as an approach is explored as an alternative Organisation Development process: it shifts the question from 'what is going wrong' to 'what is going right in the organisation'. Appreciative Inquiry consists of the Discovery, Dream, Design and Destiny stages, and searches for the best in people and their organisations.

In accordance with the constructionist paradigm, the research offers conclusions through the confirmation of past practices, conversations and relationships combined with creative new methods or experimentation of a positive intended future. The One-Group Pretest-Posttest, as a design, was selected to explore the effect of the variable (the Appreciative Inquiry intervention) in relation to the pre- and post-experimental evaluation. The design consists of an initial engagement (Pretest), the influencing variable (an Appreciative Inquiry intervention) and final engagement (Posttest) with the same group.

The research was supported by a mixed method approach, with qualitative data supported by quantitative data. The quantitative data provided a general understanding of how participants experienced the change interventions. The qualitative data provided the information on how respondents experienced

Organisation Development before an Appreciative Inquiry intervention and their views after an Appreciative Inquiry intervention.

A South African secondary school was selected as a research site. Limited research is available regarding the application of Organisation Development and especially Appreciative Inquiry as a process in schools in general, and in South African schools in particular. A survey questionnaire was the instrument for collecting the quantitative data regarding the participants' biographical information and change process perceptions. For the collection of qualitative data, interview questionnaires were used.

The findings indicate that whereas previous change processes appear to have regarded the various staff levels of the school as separate entities, during the Appreciative Inquiry approach all staff were included as being an integral part of the organisation. The main finding after completion of the Appreciative Inquiry intervention was that collectively discussing and defining issues in a positive light instead of a problem to be solved changes the perspective of participants. Through the application of the Appreciative Inquiry's four stages, participants were invited to think in a new way by applying innovation, enhancing participation, maintaining a positive core, and providing practical solutions through provocative statements.

Conclusions reached from the research are that Appreciative Inquiry is a viable alternative for minimising Organisation Development challenges in contemporary organisations. The conclusions are based on factors such as understanding the reason for change; strong leadership; defining what is a successful intervention; understanding the Appreciative Inquiry process, the value of provocative statements; and the sustainability of change.

Declaration

I hereby declare that this thesis is my own work and that all sources that I have used or quoted have been indicated and acknowledged by means of complete references.

I also declare that this thesis has not been submitted for a degree at any other university.

_____

S. van der Merwe

Acknowledgements

I am grateful to Mr. T. L. Amos and Mr. M. J. Louw, my supervisor and co-supervisor at Rhodes University, for their ongoing encouragement, patience, critical input, and support in the research process and the writing of this thesis.

I am indebted to the staff of the school for making themselves available for the individual and focus-group interviews that I undertook. Without their participation and contribution, this study would not have taken place. In particular, I would like to thank the Principal for allowing me to conduct this research, and whose drive and commitment to establish an organisational learning culture and practice in the school created excellent conditions for this study to unfold.

I owe a great deal to Dr. S. Southwood for her insights and expert editorial support. Her rapid response and supportive contributions were invaluable.

Thanks are due to Mr. J. Baxter of Rhodes University Department of Statistics for assistance with data analysis.

I also extend my grateful thanks to the colleagues and friends who, through many reflections and discussions, helped to shape my thinking.

Finally, my deepest thanks go to Jeanne, my wife and best friend, who supported me throughout this study, encouraged me to go on, and took care of the family during the years of evenings and weekends I spent on literature searches or bent over the keyboard.

Acronyms

AI	Appreciative Inquiry
HR	Human Resources
OD	Organisation Development
4-D	Appreciative Inquiry process consisting of four stages: Discovery, Dream, Design, and Destiny
FAMSA	Family and Marriage Society of South Africa

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CHAPTER 1: INTRODUCTION

1.1 Context of the research

Organisations - in their many forms - form part of society and span from well-structured conglomerates to small enterprises consisting of a few staff members. Brown and Harvey (2006:5) defined an organisation as a "consciously coordinated social unit, composed of two or more people that functions on a relatively continuous basis to achieve a common goal or set of goals". Decisions and actions in organisations have an impact on staff as a collective as well as on an individual basis (Mullins, 1996). These decisions and actions are an inevitable feature of organisational life in order to meet the increasingly complex demands from technological, economic, political, and cultural shifts (Cummings & Worley, 2005). Due to the pace of developments, today's organisations experience unprecedented pressures to adapt to changing market conditions with a workforce flexible to accommodate planned adjustments (Brown & Harvey, 2006).

Organisations evolve, dissolve, and merge over time (Rothwell, Stavros, Sullivan, & Sullivan, 2010). For today's organisations to remain competitive, change has become a matter of survival and has a profound impact on staff. Some organisations ignore the call for change and face extinction, whereas some introduce more rules and policies and therefore become more bureaucratic (Rothwell et al., 2010). According to Brown and Harvey (2006), the difference between successful and unsuccessful organisations lies in the commitment to address difficult-to-measure aspects, with specific reference to the flexibility to meet changing conditions.

Successful organisations, they argue, share the same traits that contribute toward their success in industry (Brown & Harvey, 2006). Typical traits that are likely to be present in successful organisations are illustrated in the following table 1.1.

Table 1.1: Typical traits

Trait	Description
Faster	More responsive to innovation and change
Quality conscious	Total commitment to quality
Employee involvement	Adding value through involvement
Customer oriented	Creating niche markets
Smaller	Made up of more autonomous units

(Source: Adapted from the original by Brown & Harvey, 2006)

The traits described in the above table 1.1 could initiate and drive organisational change. These traits are what differentiate the changing organisation and the non-changing organisation and, according to Brown and Harvey (2006), contribute towards a successful organisation. They argue that apart from changes in methods and strategies, individual members' potential also needs to be developed to embrace change. An organisation's staff members are expected to quickly adapt to the new directions because of change (Anderson, 2012).

To adapt to effective ways of working, it is argued that organisations need to take innovative strategic paths to initiate change efforts (Rothwell et al., 2010). One such strategic path is the application of organisation development (OD) principles. French and Bell (1995) stated that OD emerged in the early 1950s as a unique organisational improvement strategy to incorporate change in a systematic manner. OD is described "as an interdisciplinary field with contributions from business, industrial/organisational psychology, human resources, and management" (Anderson, 2012:2). OD needs to be a planned change process (Robbins, 1996), and Cummings and Worley (2005) stressed that all approaches to OD rely on some theory about planned change.

A model for change is a simplified representation of the general steps involved in initiating a change process (Rothwell et al., 2010). This research focuses on Appreciative Inquiry (AI) as a change approach. Through its deliberately positive

assumption about people, AI transforms the ways to ask questions of organisational improvement and efficiency, aligning with modern organisational views (Cooperrider, Whitney & Stavros, 2005).

AI is explored against Kurt Lewin's 3-Step model and the Action Research spiral. Lewin's models were selected as they have been the mainstay of OD since the 1950s and are still actively used by organisations. Burnes (2004a) stated that although Lewin's work is still acknowledged, it must be seen against rapid, transformational change in modern organisations. For this research to explore AI as an alternative OD approach, the possible challenges of Lewin's two models need to be discussed.

The research was based on AI as an effective change approach in the context of a school. While OD has traditionally been associated with the industrial/commercial sector, it is also associated with schools as a planned, coherent effort focused at system improvements. Van der Westhuizen, de Bruyn, Erasmus, Janson, Mentz, Meyer, Steyn, Theron, van Vuuren, van der Vyver and Xaba (2013) stated that OD in schools has the potential to enhance organisational adaptability and effectiveness of subsystems. From an OD application perspective, the school is recognised as being an organisation (Van der Westhuizen et al., 2013).

Van der Westhuizen et al. (2013) indicated the following characteristics illustrating the school as organisation:

- The objectives for teaching drive the school's objectives directly.
- The presence of employees gives the school a character of communality resulting in relationships.
- The relationships result in mutual arrangements (formal and informal) distributing tasks and authority.
- The above-mentioned occur within a formal structure.

Schools as part of the broader education system in South Africa are based on historical inequalities underpinning the importance of sound strategic management principles to enable an effective teaching (Thurlow, Bush & Coleman, 2003). Schools

are governed by the Department of Basic Education and under the South Africa Schools Act no. 84 of 1996 the following types of school are identified:

- Government schools which rely entirely on government funding.
- Governing body-funded schools which are partly funded by parents and government and are administrated by a school governing body.
- Independent or private schools which are self-funded.

Excluded from the above are alternative learning schools and home learning facilities. The selected research site was a governing body-funded girls-only English medium school in Grahamstown, South Africa.

The particular school was selected as a research site for the following reasons:

- The school was considering the evaluation of the effect of possible change due to the appointment of a new principal.
- The school's organisation structure consists of various levels of seniority.
- The school has experienced change interventions in the recent past.

Schools face a variety of external challenges, including national economic situations, language, religion and historical background, to accommodate within their strategic planning (Van der Westhuizen et al., 2013). Since the national elections in 1994, the changes in South Africa's education system have been underpinned by two priorities, both representing a significant shift from past policies: a) racial integration and b) equity (Chisholm, 1996 as cited by Chisholm, 1999). As schools are at the forefront of understanding and implementing transformational ideas, the question needs to be asked whether the schools have sufficient skills to accommodate change (Johnson, Hodges & Monk, 2000). To establish these skills remains a challenge for schools with a degree of autonomy, which include private and independent schools (Thurlow et al., 2003).

Accommodating external challenges and ensuring internal effectiveness requires adequate management from a strategic and flexible viewpoint. OD as a systematic process can assist in formulating what is needed to enhance the effectiveness.

1.2 The research statement

The way organisations operate has undergone major change since the 1950s. OD has directed attention toward strategic change and participation, with an emphasis on organisational effectiveness (Anderson, 2012). The major critiques of Lewin's two models (3-Step model and the Action Research spiral) are discussed in Chapter 2, but the following critiques are important in formulating the research statement:

- Both of Lewin's methodologies started with the principle of problem solving: the goal of the change intervention becomes problems to be solved (McLean, 2006).

- Focus of these classical processes was a top-down approach relying on the informal managerial network as a method of change (Rothwell et al., 2010).

In contrast to this, AI focusses on what is going right and what is motivating instead of starting out to solve problems (Rothwell et al., 2010).

In the fast moving world of today, traditional OD could be perceived as not meeting organisational requirements to be an effective change mechanism. Today's organisations are not just measured by financial statements but also by organisational culture, employee satisfaction, empowerment, and system productivity, all of which OD plays a critical role in establishing (Rothwell et al., 2010). This research statement poses: An evaluation of Appreciative Inquiry as an alternative OD approach.

1.2.1 Purpose of the research

The above stated research statement needs to provide an insight into the main challenges of previous OD processes to consider AI as an alternative approach. These challenges then need to be explored against the value AI can offer. The purpose of this research is: to identify the main challenges in OD processes in today's organisations and explore if, and how, the application of the AI approach minimises these challenges.

1.2.2 Research goals and objectives

Pre-set goals provide milestones for the study (Teddlie & Tashakkori, 2009). To provide practicality to the goals, each goal is driven by its supportive objective/s. Table

1.2 below indicates the goals in support of the purpose of the study. The supportive objectives are the indicator of whether the related goals have been met.

Table 1.2: Goals and objectives of the research

Goals	Supportive Objectives
Goal 1: Determine participants' perception of challenges regarding previous change intervention processes	1.1 Explore participant's perceived challenges of previous change interventions. 1.2 Determine if strong leadership was a decisive factor during previous change interventions. 1.3 Determine the effectiveness of previous change.
Goal 2: Apply the four stages of AI	2.1 Participants develop their own provocative statements.
Goal 3: Determine participants' view of AI	3.1 Explore what organisational values are perceived to be associated with AI. 3.2 Explore if and how the application of AI is perceived to address the real change issues of the organisation. 3.2 Determine if AI will be of significant use in the future OD processes.

(Source: Researcher's compilation)

The goals and objectives will investigate if AI is a feasible alternative to Lewin's 'classical' models.

1.3 Research design and methodology

The "experimental research design" (Leedy, 1993:297) is selected for this research. The three goals shown in table 1.2 align with the three steps of the experimental

research design of the "One-Group Pretest-Posttest Design" (Leedy, 1993:300). This is achieved by applying the initial engagement (Pretest), to determine participants' perceptions regarding previous change intervention methodologies. The influencing variable, as a second step of the experimental design, aligns with the AI intervention and the final step (Posttest) in determining participants' perceptions of AI. All three steps (Pretest-intervention-Posttest) are undertaken with the same group of participants.

A mixed method approach, with qualitative data supported by quantitative data, is followed (Creswell & Clark, 2011). The quantitative information provides empirical data, whereas the qualitative data offers the potential to understand how participants experienced change interventions (Creswell, 1994). Surveys are used for collecting quantitative information, whereas for qualitative data, interviews are used as instruments for data generation (Creswell & Clark, 2011).

A key aspect of AI is the participation of all school staff members in the process. To enable this, the target population to participate consisted of the total school staff complement of 83 members, which included teaching and support staff. The complete population was used to collect quantitative data. Due to the size of the population, and the time-consuming process of collecting qualitative data, purposive sampling was used as a selection process to determine interview participants. Sampling involves selection of participants who are typical or representative of the target population (Teddlie & Tashakkori, 2009).

A survey questionnaire was the instrument for collecting the quantitative data regarding the participants' biographical information and opinions concerning change processes. In alignment with the research goals, two surveys as described in section 4.6.1 were conducted: the first survey to establish the participants' views concerning previous change initiatives and a second survey after an AI intervention.

For the collection of qualitative data, described in section 4.6.2, interview questions are used. Only a sample of members participated in the interviews; the participants were selected through purposive sampling. The sample is based on participants' seniority level (equal number per seniority level) and role in the school. The interviews with the selected sample were conducted before an AI intervention as well as after the intervention.

1.4 Structure of the text

Chapter 1

This chapter introduces the research context and offers background leading to the research question. The research within a school environment is explored against the school educational background with consideration why this particular school was selected as an organisation. The research purpose, goals, and objectives that drive the research are discussed. The design and methodology used to achieve the end-result are outlined in this chapter.

Chapter 2

Two classical organisation development (OD) models, Lewin's 3-Step and Action Research, are discussed against the background of OD as a systematic change effort in organisations. Typical OD challenges resulting from applying the two classical models are explored. The research site being a South African school, an overview of the application of OD in general in schools concludes this chapter.

Chapter 3

In this chapter, Appreciative Inquiry (AI) is explored as an alternative OD process supported by AI definitions. The principles, practices and assumptions in which AI is embedded are discussed. AI is investigated by weighing up some of the positive and negative aspects of the AI approach. The main thrust of the chapter is an overview of the practical application of AI which includes the Discovery, Dream, Design and Destiny stages of AI, also called the 4-D model. The chapter concludes with a discussion of the application of AI as an approach in schools.

Chapter 4

Chapter 4 focusses on the research design and methodology. The paradigm for the research is discussed with the explanation for a mixed methods approach. The chapter addresses the population, sample, and data collection instruments applicable for the mixed method approach. The chapter further discusses the experimental design approach and how it supports the research goals and data collection process, as well as the analysis of the combined data sets. The chapter concludes with an outline of the ethical considerations.

Chapter 5

This chapter presents and discusses the findings of the research according to the three goals of the research. The chapter provides biographical information regarding the participants in the qualitative and quantitative data collection. The findings are explored as participants' views regarding previous change processes, applying the four stages of AI, and determining participants' opinions of AI.

Chapter 6

Chapter 6 provides a summary of the chapters, research conclusions, and possible limitations of the research. The chapter concludes with recommendations for future research and the value of the current research against the goals of the research.

CHAPTER 2: OVERVIEW OF ORGANISATION DEVELOPMENT

2.1 Introduction

This chapter provides a theoretical overview of organisation development by outlining the need for change interventions in organisations, and discusses the essence of OD as an organisational change process, referring to OD definitions over time. The chapter explores earlier classical OD models with reference to Lewin's 3-Step model of planned change and the Action Research spiral. Possible shortcomings in applying Lewin's models in modern organisations are discussed. The review of shortcomings led to a comparison of Lewin's classical models and contemporary OD models. The research site being a South African school, the application of OD in general in South African schools concludes this chapter.

2.2 Organisations and change

Organisations are continuously challenged to survive due to globalisation, market tendencies, product innovation, consumer behaviour, amongst a never-ending list. Additional to these external challenges, organisations also experience internal challenges such as unrealistic staff expectations, positions in an organisation's life cycle, and outdated work methodologies (Anderson, 2012).

Harvey and Brown (2001:8) stated that: "The fundamental nature of management success is changing". Managing an organisation effectively is a major challenge and failure to change could lead to the failure of the organisation itself (Harvey & Brown, 2001). Based on studies undertaken during 1998, Burke and Cooper (2000) stated that 40% of organisations in South Africa downsized three or more times in a two-year period. Organisations therefore need to find ways to manage variable external and internal challenges to set the organisation on a successful path (Rothwell et al., 2010).

A key characteristic of successful organisations is effective change (Anderson, 2012), where the OD role will have as an end objective the improvement of the total system in a planned and systematic manner. This implies going beyond the surface changes to transform the underlying assumptions and values governing behaviours.

Importantly, staff members need to understand and accept the need for change. Van Tonder and Roodt (2008) noted that during an OD intervention people could assess which interventions work, which ones do not and why, and learn from their collective experience.

2.3 Managing change in the organisation

This section explores the differences and commonalities between change management and OD. The value in differentiating between OD and change management is to identify OD as a planned and systematic way to address not only organisation-wide but also smaller work area change initiatives. Change management and OD are both ways in which change can be managed. Change management in the simplest sense was described as the process of helping a person, group, or organisation change (Rothwell et al., 2010).

The following table 2.1 illustrates the differences in application between change management and OD.

Table 2.1: Change management and organisation development comparisons

Change Approach	Emphasis on:	Methods	Dominant Values	Management of Change
Change Management	Outcomes	Elite processes	Economic	Engineering and directing
Organisation Development	Processes	Participatory processes	Humanistic	Faciliation and coaching

(Source: Marshak, 2005:3)

As illustrated in table 2.1 above, various differences between change management and OD are apparent, - specifically the emphasis of the approaches: change management is more focused on the outcomes, whereas OD focuses on the processes. Change has always been a central aspect of any OD intervention, but has

been differentiated by the specific focus of the intervention as well as the implementation method (Anderson, 2012). Change management can be seen as focussing on vision, mission, and goals, whereas OD's focus is more on strategic planning with cognisance of the human and personal aspects of change (Anderson, 2012). Jamieson and Worley (2008) debated the difference between OD and change management according to the following specifics:

- The value-base of humanism, participation, choice, and development are unique to OD.

- The application of knowledge and methods from behavioural sciences to organisation systems produces a different set of interventions and targets for change.

- The combined use of on-going data, client characteristics and capabilities, specific values and a cyclical orientation in design is inherent to OD.

A characteristic of OD is a planned and systematic approach to change aimed at improving an organisation's ability to survive by changing its problem solving processes (Brown & Harvey, 2006). However, there are times when organisations need to change dramatically, without plan, in order to survive. Due to the speed required of these changes, they will not necessarily follow OD principles, values, or processes (McLean, 2006). Regardless of the approach, it is the drive of continuous and relentless change that must guide the process for both change management and OD (Rothwell et al., 2010).

Rothwell et al. (2010) also stated that a significant difference may be the importance of values and ethics in OD, illustrating the high regard for human acceptance, with OD perhaps lending itself to a more defined process in changing human behaviour and reaction to change, based on behavioural science. The characteristic of the required change, as determined by the organisation's circumstances, will indicate if an OD or change management route will be followed.

The field of OD is wide and complex, resulting in various interpretations of what OD is and what its specific outcomes are (McLean, 2006). Such an example is the following definition: "Organisation development is the process of increasing organisational

effectiveness and facilitating personal and organisational change using interventions driven by social and behavioural science knowledge" (Anderson, 2012:3). It applies to changes in the strategy, structure, and/or processes of an entire system such as an organisation, department or work group or individual job role. OD aims at modifying an organisation's strategy and 'way of doing things'. "Change is a departure from the status quo" (Rothwell et al., 2010:23).

At the core of the change is the objective to be more effective and efficient, focussing on factors that will contribute to the success of an organisation. According to Jamieson and Worley (2008), OD's desired outcomes include improved organisation performance (organisation improvement), improved organisation capacity for future change (transfer of knowledge), and individual development (skills, knowledge, and potential).

OD needs to transfer the knowledge of effective change to all concerned in the organisation. The transfer practices require change leadership and effective management. Organisational learning has become an evaluation mechanism of OD effectiveness as well as an intervention by itself (Anderson, 2012). This transfer of knowledge is a crucial task of OD as it will assist leaders to drive the change processes.

2.4 Definitions of organisation development

OD has been defined in various ways, reflecting several views. Below are three OD definitions. The reason for selecting these three was that they represent the evolution of OD over a time span of 40 years, in particular a move from a top management driven initiative to member engagement.

- OD is "an effort planned, organisational-wide, and managed from the top, to increase organisation effectiveness and health through planned interventions in the organisation's processes using behavioural-science knowledge" (Beckhard, 1969 as cited by Anderson, 2012:2).

- OD is a "systemic and systematic change effort, using behavioural science knowledge and skill, to change or transform the organisation to a new state" (Beckhard, 1969 as cited by Rothwell et al., 2010:13).

- OD is a "process that applies a broad range of behavioural science knowledge and practices to help organisations build their capacity to change and to achieve greater effectiveness, including increased financial performance, customer satisfaction and organisation members' engagement" (Cummings & Worley, 2005:1). This definition is used for the research, based on the focus on effectiveness as a result, and the adaptability to be used in smaller entities of the organisations.

The role of OD does not necessarily stop after the change process. OD is used as continuous improvement to move closer to the organisation's vision (Harvey & Brown, 2001). OD processes focus on the long term, typically in setting up work practices and methods aimed at sustainability.

2.5 'Classical' organisation development models

The exploration of Kurt Lewin's 3-Step model and the Action Research spiral provide insight into the origins of OD as well as the challenges these models have met in their application in modern organisations.

2.5.1 Lewin's 3-Step model

One of the early OD models was Lewin's 3-Step model (unfreezing-changing-refreezing) and was seen as a general framework for understanding organisational change (Cummings & Worley, 2005). This was and still is considered as the basic model for change and still has a significant influence on OD (Anderson, 2012).

Burnes (2004a) stated that Lewin's belief, that only by resolving social conflict could human relations be solved, played an important role in his theories. The formulation of principles played off against the Second World War, the pinnacle of social conflict at that time. Lewin, as a humanitarian, believed that the key to resolving social conflict was to facilitate planned change through learning to enable individuals to restructure their perceptions (Burnes, 2004a).

The specific time frame of Lewin's contribution is noted in the following observations:

- Burnes (2004b) stated that Lewin's work stemmed from his concern to find an effective approach to resolving social conflict through changing group behaviour (whether these conflicts are at the group, organisational or societal

level). Burnes (2004a) pointed out that understanding the internal dynamics of a group is not sufficient by itself to bring about change.

- Lewin promoted an ethical and humanist approach to change that saw learning and involvement as being the key processes for achieving behavioural change. In effect, each employee's concern should be noted and clarified during a change process (Robbins, 1996). Lewin also recognized the need to provide a change process whereby the members could be engaged in and committed to changing their behaviour (Burnes, 2004a).

Lewin's 3-Step model was based on problem solving, which implies a negative permutation of the current process and all its supporting activities. The organisation was therefore seen as a problem that needs to be solved (Cooperrider et al., 2005). The 3-Step model focuses on replacing the problem with an alternative, and ignores the positives in the current process. This sets a negative tone in which the current processes are problematic and the associated organisational staff have done 'wrong'. This emphasis on 'wrong doing' often leads to a search for who is to blame, which results in resistance to participate in any change intervention (Watkins, Mohr & Kelly, 2011). Anderson (2012) suggested that if a team continually examines what is 'wrong', this habit may carry over to the implementation of any possible solution, as team members may point out weaknesses and faults with even the most promising changes. The model consists of the following three phases, which are further discussed in the paragraphs below.

- Unfreeze.
- Change / movement.
- Refreeze.

2.5.1.1 Unfreeze phase

The organisation is aware that change is necessary: Harvey and Brown (2001) said that the organisation feels dissatisfaction or even pain in the current situation. The existing status or equilibrium needs to be broken down or destabilized before the old behaviour can be unlearnt and new behaviour successfully adopted (Burnes, 2004a).

This unfreezing is necessary to overcome individuals' resistance and group conformity (Kritsonis, 2005). Cawsey, Deszca and Ingols (2012) stated that the unfreezing can also be initiated by some organisational crises, for example market requirements or market tendencies.

A principle prerequisite for the unfreezing phase is identifying the reasons why change is required. McLean (2006) associated this with an assessment process to evaluate what is prohibiting the organisation from changing. The preparation for change includes the evaluation of the core foundations: the beliefs, values, attitudes, and behaviours that currently define the organisation. Motivation of the participants is important to maintain the momentum during the process. During this unfreeze phase it is very likely that an organisation's core values and beliefs - as well the way things are done - could be disputed, which may in turn trigger strong individual reactions (McLean, 2006). It can be expected that this phase will be met with resistance due to the uncertainty and fear of the unknown (Cawsey et al., 2012). Understanding peoples' fears and concerns resulting from resistance, is imperative to take appropriate, effective, and consistent actions (Harvey & Brown, 2001). Burnes (2004a) stated that those concerned have to feel safe from loss and humiliation before they can accept the new information and reject old behaviours.

2.5.1.2 Change / movement phase

During this phase, the organisation starts to look for ways and methods to rectify the issues identified. Burke (1987) referred to taking action that will change the social system from its original level of behaviour or operation to a new level. On a practical level, this will set the tone for how staff members need to start thinking and acting during the adoption of the change (Cawsey et al., 2012). Kritsonis (2005) mentioned three different ways that can influence staff to accept the change:

- Persuading them that the current status quo is not beneficial.
- Work together on a better solution based on relevant information.
- Connect the new perspectives to influential formal and informal leaders.

Staff members might continue to feel concerned either because they perceive change as a threat which could worsen their working conditions or, more often, because of the

unknown in general (Harvey & Brown, 2001). Burnes (2004a) stated that Lewin's view that an attempt to predict or identify a specific outcome from the planned change is very difficult because of the complexity of the forces involved. Instead, one should seek to take into account all the forces at work, then identify and evaluate these forces against all the available options.

Rothwell et al. (2010) stated that more resistance to change could be expected from poorly managed change. Staff members who are resistant to change, and even those who are passive towards change, need to be accommodated and incorporated into the process. A key factor during the change process is clear communication regarding the process and the progress already achieved. Robbins (1996) supported the view that no matter how effective the communication processes are, they are worthless until clearly understood by staff. When managing change, this can require a great deal of time and effort.

2.5.1.3 Refreeze phase

When the proposed changes are implemented and staff members have embraced the new ways of working, the organisation is ready to refreeze (McLean, 2006). According to Lewin (1958) as cited by Burke (1987), the step involves the establishment of a process that will make the new level of behaviour relatively secure against change. If this step is not adhered to, the change will be short lived, and staff will revert to their previous habits (Kritsonis, 2005). An important sign of the refreeze is the incorporation of values into the new work ways. This will manifest in the daily business of the organisation (Kritsonis, 2005). The change needs to be sustainable to ensure that staff feel confident to continue with the new changes.

The purpose of refreezing is to stabilize the new equilibrium that has resulted from the change (Kritsonis, 2005). Refreezing the new behaviour must be, to some degree, congruent with the already existing behaviour and accepted values. This will ensure that desirable new thinking will be part of the organisation (McLean, 2006). The stability from the refreeze will position the organisation to be prepared when a new change spiral of the Action Research model is needed in the future. This stability will be reinforced by celebrating successes which will lay the motivational foundation for future change processes.

2.5.2 Action Research model

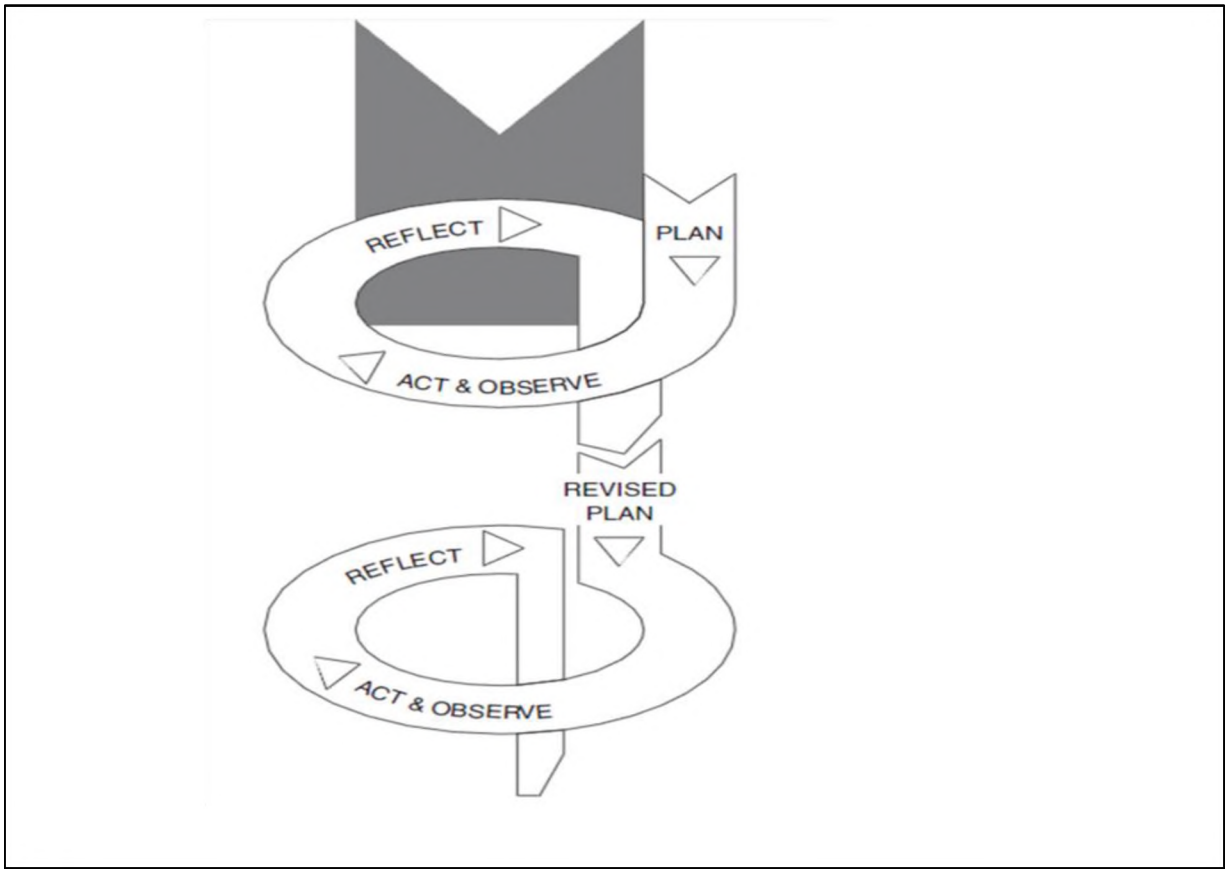
As with the above outlined 3-Step model, Kurt Lewin is generally considered as the creator of the Action Research model (Rothwell et al., 2010). In many ways, it is considered as a more refined approach to the 3-Step model (Burnes, 2004a).

Burnes (2004a) concluded that Lewin conceived Action Research as a two-pronged process: it emphasises that change requires action and is directed at achieving this, and it recognises that successful action is based on analysing the situation correctly, identifying all the possible alternative solutions and choosing the one most appropriate to the situation at hand.

2.5.2.1 Action Research process (spiral)

Action Research is a continuing series of cyclical events, consisting of research and actions followed by more research and action (Rothwell et al., 2010). Models for the application of the Action Research model are quite diverse. A variety of interpretations of the actual process steps have been documented, such as Elliot's action research model, O'Leary's spirals of research, and Kemmis and McTaggart's action research spiral (Koshy, 2005). Bruce and Wyman (1998) viewed Action Research as a continuous process of reconnaissance, fact-finding, planning, action, and evaluation. Kemmis and McTaggart's Action Research spiral is illustrated in diagram 2.1.

Diagram 2.1: Action Research spiral



(Source: Kemmis and McTaggart's as cited in Koshy, 2005:4)

Lewin (1946) as cited by Burnes (2004a) said that Action Research proceeds in a spiral of steps, each of which is composed of a circle of planning, action, and fact-finding about the results of the action, as illustrated in diagram 2.1 above. It is an iterative process whereby research leads to action and action leads to evaluation and further research. Koshy, (2005) maintained that the process may not be as neat as the spiral of self-contained spirals of planning, acting, and observing, and reflecting suggests. These stages will overlap, and initial plans will quickly become obsolete in the light of learning from experience. In reality, the process is likely to be more fluid, open, and responsive.

Action Research recognises change as a continuous, cyclical, lifelong learning process rather than a series of short programmes (Rothwell et al., 2010). Greenwood and Levin (1998) stated that Action Research refers to the conjunction of three elements: research, action, and participation. The cyclical components reflecting the Action Research process can best be summarised as planning a change intervention, implementing the process, reflecting on the process and consequences, and then re-

planning (Zuber-Skerritt, 1996). Action Research is designed to identify a particular problem and seeks to improve a particular condition (Lichtman, 2014). Characteristics of Action Research are the systematic approach to identify issues, gather information, and provide solutions through the analyses. As described by Berg (2001), Action Research focusses on methods and techniques of investigation that take into account the study population's history and culture. Action Research facilitates evaluation and reflection in order to implement necessary changes in practice with increased understanding and confidence – both for an individual and for an institution (Koshy, 2005).

To enhance the development and improvement, constant evaluation of the current process is necessary to adjust where required. McLean (2006) stated that the Action Research model is very similar to a continuous improvement model whereby processes are explored on an ongoing basis to ascertain whether further improvements can be obtained. The key result of change based on analytical data is a scientific methodology for managing planned change (Robbins, 1996). Bassey (1998) as cited by Koshy (2005) regarded Action Research as an enquiry which is carried out in order to understand, evaluate, and then to change in order to improve the current practices. This view was endorsed by Zuber-Skerritt (1996) who stated that the aims of any Action Research project or programme are to bring about practical improvement, innovation, change, or development of social practice, and therefore a better understanding of the particular practice by the practitioner. The following is a summary of the typical steps which can be included in an Action Research process (spiral).

2.5.2.2 Step 1: Identifying and limiting the topic

An initial step is to identify what needs to be studied by defining the actual problem (Anderson, 2012): "This is with the expectation that by solving the problem there will be an improvement of the current conditions or practise" (Bruce & Wyman, 1998:13). As an example, this could be due to a loss of income which could threaten the future existence of the organisation. The topic would then be the loss of income with the research focus on aspects such as: lack of sales, inferior product, and wrong markets. These goals must be kept in mind when initially identifying, and later narrowing, the

focus of the topic to the area of interest to the organisation (McLean, 2006). By identifying the topic, other possible distractions will be eliminated.

2.5.2.3 Step 2: Gathering information/data

To investigate a topic for action research, it must be manageable, and not a seemingly impossible task to be accomplished. Once the topic is decided and agreed by the relevant stakeholders, information related to the topic can be gathered. Robbins (1996) stated that research based on interviews, surveys, and observations will provide information about possible concerns. Rothwell et al. (2010) stated that learning through Action Research can also be by discussion activities when data is collected.

The above needs to be gathered in a way that patterns of perceived problems can be identified (Robbins, 1996). A data set which has no depth will not prove useful when the data is analysed and conclusions are drawn. To strengthen the reliability of the data, multiple resources need to be included. However, Koshy (2005) stated that using several different methods for collecting data will not necessarily result in a more comprehensive study, but could improve the quality of the data.

2.5.2.4 Step 3: Diagnosing the problem

Inaccurate data will lead to an ineffective change programme (Brown & Harvey, 2006), therefore regular verification will assist in achieving the required accuracy for analysis. An additional benefit will be the correct comparison between the data and diagnosis. Robbins (1996) compared this step to the role of a physician in diagnosing an ailment by narrowing down the possibilities through questioning the patient. Koshy (2005) pointed out that during the data analysis the objective is to identify themes and patterns in order to be able to present robust evidence for any claims. Depending on the size and complexity of the project, an initial diagnosis is suggested. This needs to be discussed with the various stakeholders before a final diagnosis is presented.

2.5.2.5 Step 4: Developing an action plan

The process of developing an action plan consists of systematic steps of fact-finding and planning (Bruce & Wyman, 1998). Once the data have been analysed and the results of the analysis interpreted, an action plan is determined, based on the final diagnosis of the problem. This plan will indicate what will be done by whom and when,

as well as the expected result (Brown & Harvey, 2006). This is the 'action' part of Action Research. The plan is essentially a proposed strategy for implementing the solutions. The action plans must be developed around the specific goals identified in moving the organisation forward (McLean, 2006).

2.5.2.6 Step 5: Implementing the action plan

Once all the relevant role players agree to the action plan, the detail regarding a successful implementation is required. McLean (2006:19) reiterated Lewin's earlier statement: "no research without action; no action without research." During the implementation, continuous evaluation regarding progress and adherence to the plan and its objectives is necessary (McLean, 2006). If there is an indication that the focus is deviating from the original problem identification, the plan needs to be adjusted. During implementation, it needs to be noted that individuals are likely to conform to the norms of the group to gain acceptance of that group (Robbins, 1996).

2.5.2.7 Step 6: Sharing and communicating the results

The sharing of information with all relevant stakeholders is an important aspect to gain credibility for the process: it will enhance the collaborative process required for optimum results (Bruce & Wyman, 1998). Failure to share the results will create doubt if similar processes are attempted in the future. This could also create suspicion between staff and management with a detrimental effect on future undertakings.

2.5.2.8 Step 7: Reflecting on the process

Robbins (1996) suggested that the initial objective needs to be compared against the effectiveness of the change, and McLean (2006) was of the view that if the objectives are met, the changes become institutionalised. However, Action Research is a guideline and cannot be followed as an exact checklist; the borders of the actual steps are difficult to define and even overlapping could occur (Rothwell et al., 2010). The Action Research spiral of reflect, plan and act needs to anticipate that the various steps in the process are not always clearly defined in terms of a start and an end. The value is in applying the principles and learning from the 'journey' in experiencing the 'spiral', and it is the blurred edges of the Action Research model's various stages that are the essence of the correct application. However, Herr and Anderson (2015) warned that perspectives can be drawn from our own experiences resulting in

distortions, and it must be noted that the blurred edges can be compounded by the researcher's own bias of a particular stage or concepts in the process.

2.6 'Classical' models in modern organisations

Since the introduction of Lewin's theories during the 1950s, organisations have adopted new management philosophies, and the understanding of how the process of change is adapted and implemented has evolved (Watkins et al., 2011). Burnes (2004b) concurred that organisations will have to change their approach in how they are managed if they are to apply change theories. Although it is logical to view Lewin's work with a modern and critical perspective as a vehicle for OD, it needs to be remembered that Lewin's theories in resolving social conflict through behavioural change were developed in the theatre of the Second World War and the aftermath thereof (Burnes, 2004a). Although Longo (2011) claimed that the 3-Step model and Action Research spiral are still applicable today, many things have changed since the 1950s, when the models were presented. Change is now perceived as a continuous process, ongoing in every conversation instead of the stop-start unfreezing-changing-refreezing planned change model (Watkins et al., 2011).

Rothwell et al. (2010) stated that a general critique of Lewin's 3-Step model and Action Research spiral is the top-down approach to change. Burnes (2004a) was of the view that, in particular, Lewin was criticised for being too mechanistic and having an overly simplistic view of organisations and change. Lewin's models are also critiqued for being based on the following assumptions (Burnes, 2004a):

- Organisations operated in a stable state;
- Was only suitable for small-scale change projects;
- Ignored organisational power and politics;
- Was top-down and management-driven.

Burnes (2004a) stated that Lewin's approach, particularly the planned change model, has attracted major criticisms for being too mechanistic and having an overly simplistic view of organisations and change. The main concerns about Lewin's theories (3-step

model and Action Research) in a fast moving organisational environment are outlined below.

- Lewin's models focus on processes with a specific identified start and end stage, whereas Burnes (2004a) notes that organisations are never frozen, but are fluid entities with many 'personalities'. To the extent that there are stages, they overlap and interpenetrate one another in important ways (Burnes, 2004a). The duration of the various stages against the dynamic modern organisation can be a hindrance (McLean, 2006), because the process of continuous improvement and evolvement is not absorbed into Lewin's models. In today's organisations, the change is not just allocated to thinking strategically ahead, but also needs to include external and internal influences on the change process (Anderson, 2012).

- Kritsonis (2005) argued that Lewin's models make rational sense but, when implemented, the lack of consideration of human feelings and experiences can have negative consequences. Staff might feel that their emotional involvement and experiences are ignored during the planned change process. Consequently, the enthusiasm and buy-in to the change can be limited and can result in resistance to the change (Kritsonis, 2005).

- Both of Lewin's models (3-Step and Action Research) start with the principle of problem solving: the goal of the change intervention becomes problems to be solved (McLean, 2006). The 3-Step model admits that change is necessary by initiating the unfreezing stage, but it is argued that the modern business world is changing at a pace which gives no time to settle, and consequently to refreeze after a change process has been implemented (Longo, 2011).

- Action Research focuses on problem diagnoses early on in the process, but by focusing on problem solving, a negative permutation of the current process and all its supportive activities is assumed. Solving problems is approached backwards by identifying what went wrong and then suggesting possible solutions (Watkins et al., 2011). The process is therefore focussed on replacing the problem with an alternative, and ignoring possible positives in the current process (Rothwell et al., 2010). This also sets a negative tone

whereby the current processes are seen as problematic, and the associated staff members are implicated.

- OD focuses on deficits and attempts to solve issues on this basis (Watkins et al., 2011). Limited room is allowed to gain a positive momentum for the activities and process and to extract encouraging aspects from the current situation. Lilja and Richardsson (2012) reflected that conceptions of planned change have tended to focus on how change can be implemented in organisations. These frameworks describe the activities that must take place to initiate and carry out successful organisational change.

- Focus is on a top-down approach relying on the informal managerial network as a method of change (Rothwell et al., 2010). Burnes (2004a) was also of the view that Lewin's theories advocate a top-down, management-driven approach to change and ignore situations requiring bottom-up change.

- A frequent criticism of Lewin's model is around the refreezing phase (Burnes, 2004a). Refreezing implies that the changed or new work ways are established and then applied in a rigid way. However, the world is essentially an ambiguous place where detailed plans are not possible, flexibility is essential and organisations are far too dynamic to move into a refreeze period (McLean, 2006). Further, developments that are more recent indicate that change should be regarded as a continuous process ongoing in every conversation and not as a beginning, middle and end (as in Lewin's unfreezing-changing-refreezing) (Watkins et al., 2011).

- Although understanding that adaptability will fluctuate between each of the steps, the overarching criticism remains a lack of flexibility of the various steps of the planned change model (McLean, 2006). Anderson (2012) was of the view that the organisation in a frozen step is an over-simplistic description of complex organisational operations. However, constant change notwithstanding, refreezing does have the important influence that it allows staff to position themselves within the transition with a clear understanding of what is expected, resulting in better performance (Ritchie, 2006 cited by

Longo, 2011). Given that participants need to feel safe from loss before they can accept the new information and reject old behaviours, refreezing should be seen as an initial step rather than a prescription for finality (Burnes, 2004a).

2.7 'Classical' versus 'new' organisation development

OD has evolved and adapted substantially since the 1950s (Anderson, 2012) as discussed in section 2.5. Grant and Marshak (2008) stated that the new ensemble OD that has emerged, is based more on constructionist, postmodern and new science paradigms than on the assumptions of the early founders (of OD), and include practices associated with AI as a change process. The emerging set of new OD models are here referred to collectively as 'new' OD (Watkins et al., 2011). The key differences between 'classical' and 'new' OD are illustrated in the following table 2.2.

Table 2.2: Differences between classical and new organisation development

Classical OD (1950 – 1980)	New OD (1980 onwards)
Change is episodic and can be created, planned and managed	Change is continuous and can be self-organizing
Emphasis on changing behaviour and what one does	Emphasis on changing mind-sets and how one thinks

(Source: Adapted from original by Grant & Marshak, 2008)

Table 2.2 illustrates the differences between classical and new OD. Classical OD is seen as an irregular and isolated 'once-off' event which is focused on changing behaviour. New OD is an ongoing process focussing on a different mind-set regarding the complete process.

Kritsonis (2005) was of the opinion that there is no right or wrong approach. In reality, organisational transformation may require a range of models to address the variety of change needs. Due to the constant flow of new methodologies, careful consideration is required in selecting OD to ensure the chosen approach will add value to the organisation (McLean, 2006). The key to identifying an OD model, or even a combination of various models, is to select according to the current situation and the work-ways in the organisation. Change models serve as guidelines and are best

understood as a representation of the change process steps (Rothwell et al., 2010). Models must be attuned to the corporate culture and group norms of the setting in which they are applied, and so improvisation is essential (Orlikowski & Hofman, 1997 as cited by Burnes, 2004b).

OD is useful to determine strategies and focus on the external market (Anderson, 2012). This is more apparent in that changes are meant to advance the economic well-being of the organisation (Rothwell et al., 2010). To keep up with worldwide demand, organisations need to implement new products, methods, etc. at a much faster pace to remain competitive. To enable this fast pace, staff members need to adjust quickly to the different ways of working. Previous thinking assumed human behaviour is similar as the material world - cause and effect - similar to the 3-Step and Action Research models (Watkins et al., 2011). However, the employee of today is also an involved employee who understands the processes and organisational objectives better. Therefore, staff members need to be included to understand any change process implemented. In comparison, the change philosophy in years gone by was considered solely a management action (change management).

2.8 Organisation development challenges

OD is not a quick intervention to gain immediate results (as in better financial results), but a process which could include a variety of disciplines in the organisation (Rothwell et al., 2010). Table 2.3 indicates the main reasons why organisations initiate OD. In establishing these reasons, it is more probable to establish the success of such interventions. With reference to the third objective of the first goals, improving organisation effectiveness is an outcome in the majority of the reasons stated in table 2.3. The table indicates that 20% of organisations initiated OD to increase productivity and 19% to be responsive to clients, competitive positioning, and increase employee involvement.

Table 2.3: Main reasons for organisation development programmes

Change intervention goals	Percent of organisation
Increase productivity	20%
Increase responsiveness to clients	19%
Improve competitive positioning	19%
Increase employee involvement and participation	19%
Increase employee morale	18%
Develop new managerial skills and strategies	14%

(Source: Adapted from the original by Brown & Harvey, 2006)

Table 2.3 summarises Brown and Harvey's (2006) view of the most often cited primary reasons for OD processes as an intervention. OD is at times seen as a solution for a variety of problems that should be solved in other ways, and failure to establish the reasons for initiating a change process generally leads to disappointing results. The following table 2.4 is the view from an IBM Global CEO Study (2008) as to the major challenges when implementing change.

Table 2.4: Challenges when implementing change

Challenge	Percentage
Changing mind sets and attitudes	58%
Corporate culture	49%
Complexity is underestimated	35%
Shortage of resources	33%

Challenge	Percentage
Lack of commitment of higher management	32%
Lack of change know how	20%

(Source: The Enterprise of the Future: IBM Global CEO Study, 2008)

The above table 2.4 highlights that particularly noteworthy hurdles to overcome in implementing change are: "changing mind sets and attitudes" and "corporate culture".

The objective of an OD process is to improve the effectiveness of the organisation in all areas (Brown & Harvey, 2006). The following could influence the effectiveness of an OD change process:

2.8.1 Leadership

For an OD intervention to be successful, it needs to be motivated and driven by management (Brown & Harvey, 2006). Leadership implies an understanding and support of OD processes. The change vision needs to be articulated by the leaders to allow the rest of the organisation to follow. Thurlow et al. (2003) acknowledged that change in schools is a daunting task and indicated that strong leadership is required. If the leaders can develop a compelling vision that captures the organisation members, greater acceptance and support of the change process is likely to result (Cawsey et al., 2012). Acknowledging the various leadership styles in an organisation, the responsibility of driving the change process remains the tasks of the leaders (Bruce & Wyman, 1998). Involved leaders will initiate and articulate the change with their attitude and demonstration of change leadership competencies (Rothwell et al., 2010). Competencies perceived as ideal for leading a change intervention are communication, networking, self-confidence, initiative, and attention to detail (Rothwell et al., 2010).

2.8.2 Underestimating the effect of resistance to change

The perception of staff regarding what is 'acceptable' change or beneficial to the individual members can be based on various interpretations (Mullins, 1996). To align

these various perceptions with reality is an important factor to address resistance to change.

Change is associated with a loss of control as new information confronts the established processes (Anderson, 2012). Staff members may assume that the movement away from the established ways will have negative consequences for them. Mullins (1996) stated that the way in which the change interventions are done can have an impact on the attitudes of staff. Anderson (2012) concurred that resistance is a reaction to the emotions being bought up by uncertainty and fear created by the possible effect of the change. The argument by McLean (2006) was that if a pleasant change prospect is offered, the majority of people will accept it. Similarly, McLean (2006) was of the view that the key issue is not the change itself, but the perceived benefits or detriments resulting from the change.

There needs to be a clear understanding and preventative plan of what can be done to overcome resistance to the proposed change (Rothwell et al., 2010). One option to minimise resistance to change could be regular, meaningful communication regarding the change process and reinforcement of the advantages the change will bring. Brown and Harvey (2006) stated that staff will more readily accept change if the benefits of the change are communicated to them in a clear manner. Regular feedback on the process before, during, and after the change intervention will assist in eliminating the perceived negativity of the change experience (McLean, 2006).

2.8.3 Failure to involve all role players in the change process

The valuable knowledge that staff can contribute during the change process must not be ignored. Participation of staff in the change process will increase their involvement and will minimise resistance and possible failure (Brown & Harvey, 2006). Participation is not merely asking their opinion in a vague manner but empowering staff to suggest new and effective work methods. French, Bell and Zawacki (2000) asked if it could be that at times top-level managers do not truly want empowered staff. Staff members have their own mixed feelings about empowerment and are more likely to accept change if they were consulted during the change process (Van Tonder, 2004). Watkins et al. (2011) took participation in the organisation further by stating that participating staff members are more likely to take ownership of the process and initiate improvements and change to achieve a potentially better organisation.

2.8.4 Unclear objective of the change

McLean (2006) argues that change interventions must be driven by an actual and correctly identified motive as the process can be energy sapping and an emotional experience for staff. Identifying goals will assist staff to maintain a clear perspective of the reason and expected outcomes of the intervention. Anderson (2012) stated that vague and inaccurate data collection and consequently improper diagnosis can result in focus on the wrong issue. Care must be taken not to haphazardly articulate the expected outcomes of the change intervention that do not have any resemblance to the real issues (Anderson, 2012).

2.8.5 Failure to identify the target area

The target size will have a direct influence on the magnitude of the intervention. The OD intervention can be targeted at a whole organisation or just a specific area or department (McLean, 2006). In selecting the target area for the intervention, the larger organisational context needs to be considered as interactions between the various departments will exist (Anderson, 2012).

2.8.6 Inappropriate time for a change intervention

Even if an OD intervention is the highest priority in an organisation or area of implementation, the daily activities need to continue while the change process is planned and implemented. The daily activities could coincide with a chaotic period where staff cannot focus on the change process (Anderson, 2012). Staff members need to have the emotional capacity to devote time to the change intervention. Without this dedication, the intervention could be too risky, with an inconclusive result being a real possibility (Anderson, 2012).

2.8.7 Inappropriate positioning of organisation development

Due to the relative newness of the OD function (Brown & Harvey, 2006), the positioning of OD could vary between organisations. In most organisations, this function is in the Human Resources (HR) domain. Marshak (2005) stated that most (OD functions), in fact are part of the HR Division and usually exist in the same combination with training, executive and leadership development and succession planning, thus blurring and confusing the difference amongst OD, training and HR planning. Organisation development may include any domain in the organisation that

is in need of performance improvement (Rothwell et al., 2010). This is mostly due to the fact that the implementation of change can be done through staff-related guidelines / policies / procedures, which are situated in HR's domain. McLean (2006) stated that as OD fits into the broader HR development framework, HR needs to maintain the credibility to implement change. The HR, OD, and training fields do not remain static and therefore the relationships need to be evaluated on an ongoing basis (Rothwell et al., 2010).

2.8.8 Implications of an unsuccessful change intervention

Anderson (2012) stated that, following an unsuccessful intervention, defensive behaviour will increase and will make the introduction of any new change ideas difficult. The key issue is the negative effect on future interventions: staff will lose confidence in future assessments due to the belief that management cannot implement a change intervention successfully (McLean, 2006). Scepticism will be an initial hurdle for all future change processes to first be solved before the change process can be commenced. This will add to the process timeline which, in turn, will add to the doubt of success (Rothwell et al., 2010).

2.9 Organisation development in South African schools

Schools are designed for change: their central purpose is to manage learning and learning is change (James & Connolly, 2000). South African schools rapidly changed to include a complex mix of races, cultures and educational backgrounds (Niemann, 2006). Moreover, school leaders were faced not only with the transformation of their schools, but also the need to ensure that school structures and methods unlock the full potential of both learners and teachers (Naidu, Joubert, Mestry, Mosogo & Ngcobo, 2008).

OD might be interpreted in numerous ways but the following aspects of OD are relevant in a school context (Van der Westhuizen et al., 2013):

- OD could improve the effectiveness of processes in schools.
- The school is viewed in totality including all elements and relationships.

- OD will systematically analyse school activities and provide appropriate solutions.

The level of a school's preparedness and receptiveness for change in general and OD in particular depends on a number of factors (Van Huyssteen, 1999 as cited by Steyn, 2002) which include:

- The history of OD interventions in the past.
- The management of OD processes in schools.
- The degree to which school staff are aware of the reasons for OD interventions.

Van der Westhuizen (2013) stated that school leadership need to foster a culture conducive to effectiveness by taking decisions, involve staff, communicate and motivate. It is leaders who understand diversity and can articulate the vision who are required to manage the change (Niemann, 2006). Van der Westhuizen et al. (2013) indicated that managing resistance to change is the responsibility of the school principal, similar to that of a managing director in a corporate organisation.

The following were listed as factors that give rise to resistance to an OD intervention and consequent change in schools (Van der Westhuizen et al., 2013):

- Loss of a familiar situation and circumstances.
- Not understanding the reason for change.
- Fear of change.
- Exclusion from participation.
- Loss of personal choice and values.

There is a strong similarity between the above-mentioned reasons why teaching staff resist change and what was found in organisations as described in section 2.8.

Leaders are required to provide effective systems, structures and cultures in schools as an ongoing demand (Naidu et al., 2008). In most cases, it would be the senior management team (including the principal) that would initiate and lead the change. Steyn (2002) suggested that principals should adhere to the following leadership concepts to assist in the change process:

- Applying a participatory instead of a 'top-down' management approach.
- Sharing of responsibilities with the rest of the senior management team.
- Enhancing a continuous improvement approach to maintain change momentum.
- Creating a learning culture amongst all staff in the school.

Change experienced in schools implies curriculum changes and creating measurements to assist schoolchildren (Whitaker, 1993). Limited resources in schools and unpredicted crises are cited as main challenges to change implementation (Thurlow et al., 2003). According to (Cummings and Worley, 2005, cited by Rothwell et al., 2010), today's school management needs to include business-orientated approaches such as increased financial performance, customer satisfaction, and member engagement.

The application of OD in schools in South Africa is not very common due to the traditional view of schools only being an educational centre (Thurlow et al., 2003). Due to legislation as in section 1.1, schools are increasingly required to operate as self-sufficient 'business' units in order to survive and attract high calibre teachers and students. This empowerment leads to the need of effectiveness where OD processes can be supportive, therefore resulting in an increase of OD (Thurlow et al., 2003).

The following is a summary of the main conclusions from applying OD in South African schools (Davidoff & Lazarus, 1997):

- Strong leadership is key to the implementation of OD; hence the introduction of leadership courses. For change to be maintained, leadership from the

school principal is important (Hall & Hall, 1987 as cited by Van der Westhuizen et al., 2013):

- Introduction of new policy and operating procedures (discipline and appraisal systems).
- Inviting all applicable participants in the development of a new curriculum.
- Staff members need to embrace new thinking and let go of old work ways.

2.10 Summary

Chapter 2 provided a discussion of change in organisations. To provide focus on OD, it was distinguished from change management, and OD as a facilitator of change was put in perspective against various definitions over time to illustrate OD's evolvement. An overview was provided of classical models that represent earlier OD thinking. In section 2.5 two classical models (Lewin's 3-Step model and Action Research spiral) were explored in terms of their applicability in today's change environment and possible challenges were raised concerning application of these models in modern organisations. As a South African school was selected as the research site, the application of OD in schools was outlined. The next chapter deals with the principles, practices, and assumptions on which AI is based, and outlines the perceived benefits and criticisms of AI.

CHAPTER 3: OVERVIEW OF APPRECIATIVE INQUIRY

3.1 Introduction

Chapter 3 provides definitions of AI, outlining the principles underpinning AI. AI practices and the benefits associated with AI will be discussed together with possible criticisms of AI. AI as an example of contemporary OD, will be discussed as a possible alternative to Lewin's 3-Step model and Action Research spiral.

The major part of the chapter will be concerned with the AI 4-D model of Discovery, Dream, Design, and Destiny. The discussion of the Design stage includes the McKinsey 7S model which was used to assist in the design by providing a framework for organisation structure. This is followed by a discussion of the 4-D model's Destiny stage, focussing on implementation. The chapter concludes with an overview of the application of AI in schools.

3.2 Appreciative Inquiry as alternative organisation development

It was discovered during the application of Action Research as an OD process that the energy of participants was depleted while diagnosing problems, but, conversely, a high level of cooperation, innovation and level of participation were present when the participants were asked to share their biggest success stories based on when the institution was at its most effective (Van Tonder & Roodt, 2008). AI is an approach to development which begins by searching for positives– everything that served to give life to the system and to people when they were most alive, effective, committed, and empowered (Cooperrider et al., 2005). AI originates from studies undertaken at the Case Western Reserve University in Cleveland, Ohio, by David Cooperrider as part of a research project on physician leadership (Bushe, 2012).

"Since 1980, Cooperrider and others, experimenting with Appreciative Inquiry in organisational settings, discovered that AI is a powerfully effective way to enable organisations to learn about their systems in ways that result in transformative change, often literally at the speed of imagination" (Watkins et al., 2011: 23).

Table 3.1 below further illustrates the differences between the 'classical' as discussed in Chapter 2 and 'new' OD (Watkins et al., 2011). It must be noted that, whereas Grant and Marshak (2008) refer to 'classical', Watkins et al. (2011) use the term 'traditional' and the 'new' is referred to as Appreciative Inquiry.

Table 3.1: Traditional organisation development versus Appreciative Inquiry

Traditional organisation development	Appreciative Inquiry
Organising is a problem to be solved (Deficit thinking)	Organising is a mystery to be embraced (Positive thinking)
Identification of the problem Analysis of causes Analysis of possible solutions Action planning	Valuing the best of what is Envisioning – what might be Dialoguing – what should be Innovating – what will be
Assumes: Organisation is a problem to be solved	Assumes: Organisation is a mystery to be discovered
Back Door – what is in the way of what we want?	Front Door – what is it we ultimately want?

(Source: Adapted from Watkins, Mohr & Kelly, 2011)

The key difference between traditional OD and AI illustrated in table 3.1 is the way an intervention is approached. With traditional OD the approach is from a 'problem' perspective which in turn could create a culture of problem and fault finding in the organisation. AI is more focused on seeing possibilities through envisioning, dialogue and innovation.

3.3 Appreciative Inquiry definitions

AI invites a different way of thinking about organisational change in comparison to the 'classical' OD models (Lewis, Passmore & Cantore, 2011). Cooperrider et al. (2005) stated that this different way is based on the underlying assumption that the organisation is a solution to be embraced rather than a problem to be solved (Cooperrider et al., 2005).

Various definitions of AI exist and the following are listed:

- "Appreciative Inquiry is an approach to seeking what is right in an organisation in order to create a better future for it" (Coghlan, Preskill & Catsambas, 2003:5)

- "Appreciative Inquiry is, essentially, a collaborative and highly participative, system wide approach to seeking, identifying and enhancing the 'life-giving forces' that are present when a system is performing optimally in human, economic and organisational terms" (Watkins et al., 2011:22).

The descriptive definition used for this study was:

"Appreciative Inquiry is the cooperative search for the best in people, their organisation, and the world around them. It involves the discovery of what gives 'life' to a living system when it is most effective, alive and constructively capable in economic, ecological and human terms" (Cooperrider et al., 2005:3).

The definition selected for this study was based on the unlocking of staff's potential by discovering what gives life. Watkins et al. (2011) stated that the word 'appreciative' highlights something of increasing value and 'inquiry' means the approach of seeking understanding.

A commonality in the majority of AI definitions is the acknowledgement that what an organisation is doing will become the building blocks for the AI approach (Cooperrider et al., 2005).

3.4 Appreciative Inquiry principles

The differentiator between AI and the classical models (Lewin's 3-Step model and Action Research) is encapsulated in five principles. Watkins et al. (2011) considered

the principles as the building blocks of AI. Cooperrider et al. (2005:7) claimed that the following "five principles inspired and moved the foundation of AI from theory to practice". These are discussed in the sections that follow:

- Constructivist principle.
- Principle of simultaneity.
- Poetic principle.
- Anticipatory principle.
- Positive principle.

Launching an intervention based on AI requires an understanding of these principles to fully grasp the application of AI as the basis of the 4-D cycle (Cooperrider et al., 2005).

3.4.1 Constructivist principle

The seeds of change in the organisation arise with the first questions asked in the Discovery stage. The questions asked become the context out of which the new future is constructed (Cooperrider et al., 2005). AI needs to be approached with an open mind, prepared to be guided by learning and discovery, and avoiding any preconceived ideas of the outcome (Watkins et al., 2011). Cooperrider et al. (2005) were of the view that the most important resource for generating constructive organisational change is cooperation between the imagination and the reasoning function of the mind.

3.4.2 Principle of simultaneity

The principle of simultaneity recognizes that inquiry and change are not truly separate moments; they can and should be simultaneous (Cooperrider et al., 2005). The questions asked during the inquiry become the story out of which the future is conceived and constructed (Watkins et al., 2011).

Inquiry and change happen concurrently and not independently (Rothwell et al., 2010). Change will be initiated by asking the first question which will result in analysis and

feedback, consequently leading to a changed organisation (Watkins et al., 2011). The information obtained via all the questions will result in stories from which the ideal future will be conceived and built (Cooperrider et al., 2005).

3.4.3 Poetic principle

In writing the organisation's story, members are free to choose which part of the story to study: its problems and needs, or its moments of creativity or joy, or both (Coghlan et al., 2003). Information is collected not only about the real experiences in the organisation, but also about the emotional experience that accompanied those experiences (Cooperrider et al., 2005).

The poetic principle acknowledges that human organisations are open books and the past, present and future are endless sources of learning and inspiration (Watkins et al., 2011). These experiences and emotions of character building events in the organisation's history need to be documented. Capturing will not only reflect the factual steps but also the emotional reactions toward a possible intervention. It will also encourage organisations to document events and specifically the reactions related to these events.

3.4.4 Anticipatory principle

This principle assumes that an organisation is perceived based on the organisation's current behaviour with a projected view of the future (Rothwell et al., 2010). The anticipatory principle is an understanding of the actions and reactions that are grounded in the members' anticipation of future beliefs (Rothwell et al., 2010). These beliefs are a result of learned behaviour and expectations.

The most important resources for generating constructive organisational change or improvement are our collective imagination and our discourse about the future (Watkins et al., 2011).Therefore, what the staff members anticipate will be endorsed and become a reality. Our ability to create organisations that are more effective is limited only by our imagination and the inability to anticipate the future with a collective will (Cooperrider et al., 2005).

3.4.5 Positive principle

Cooperrider et al. (2005) emphasise that momentum for change requires a great deal of positive social bonding as well as attitudes such as hope, inspiration and the sheer joy of creating. The stronger and more positively the organisation positions itself regarding these attitudes and bonding, the more positively these images will project (Rothwell et al., 2010).

3.5 Application of Appreciative Inquiry principles

Sudman and Bradburn (1982) as cited by Foddy (1993) noted that the AI intervention could be an unusual event in the sense that it could be the first time experience for the members regarding the management of change. Understanding the AI principles and the specific foundation of seeking the positive as a springboard for the change could have an impact on any future change initiatives. Further, although the application of AI could be an ongoing evolution, a constant need of inquiring has to be part of continuous creative thinking (Watkins et al., 2011).

3.6 Appreciative Inquiry practices

The following are the practices of AI in support of the above-mentioned principles (Cooperrider et al., 2005):

3.6.1 Focus on the positive as a core value

Cooperrider and his colleagues argue that there is a preference by people to be associated with positive ideas rather than negative problem-identifying issues and the positive core value is one of the most underutilised yet powerful resources in changing organisations (2005).

Lewis et al. (2011) warned that sometimes it is almost as if the opportunities in organisations cannot be seen until they are recognised as problems. Organisations become 'problem' versus 'solution' focused, and do not always acknowledge that a 'problem' is not always required as a reason to improve some aspects in the organisation. During this stage the organisation has the opportunity to value its current practices in order to embrace new practices (Cooperrider et al., 2005).

3.6.2 Inquiry into stories of life giving forces

AI is not just based on theory but offers the opportunity to practical solutions particularly during the Design stage (Watkins et al., 2011). What the contributory stories from staff need to represent are the practical day-to-day life stories. These stories are based on informal passage discussions and can contribute towards forming the culture constituting a central aspect of organisational life: they describe the social fabric of the organisation and are founded in the legends and myths of how the organisation practically functions (Viljoen, 2015).

The practical application of tasks is grounded in 'how we do things' in the organisation and can be described as the organisational culture (Robbins, 1996). Organisational culture is vested in the values, beliefs, informal rules, and expectations that govern the organisation's life (Bushe, 1995). Words that shape these are phrases that are mostly informally spoken in the passages of the organisation. These stories have the power to change organisational dialogue and eventually organisational culture (Bushe, 1995).

3.6.3 Defining themes from the stories

Data resulting from the stories, that are sorted in themes, provides focus during the change application and allows for easier prioritising in terms of importance for the change process (Watkins et al., 2011).These themes constitute the fibre of the data collected, on which the ideal future is imaged. The identified themes will become the basis for collectively imagining what the organisation has the potential to be (Watkins et al., 2011). When dealing with data, the attention to what aspects need to be changed can become blurred if themes are not clearly identified, described and classified.

Themes can be defined during the change process, or pre-selected themes can be used if the specific areas for change are already identified (Cooperrider et al., 2005). This enables the AI intervention to be focused and avoids wanting to change everything in the organisation.

3.7 Appreciative Inquiry assumptions

Based on the above outlined principles and practices, the following assumptions underpinning AI as per Cooperrider, Whitney and Stavros (2005) are:

3.7.1 People are drawn to the positive

When given a choice of positive and happy events/outcomes, or negative and sad events, human nature tends to focus on the positives (Watkins et al., 2011). Evidence clearly suggests that positive thinking can have an impact on our performance, health and sense of well-being (Watkins et al., 2011). The emotion of a positive-orientated lifestyle will inspire action and a willingness to take initiative in a positive frame of mind. Bushe (1995) referred to it as the heliotropic principle, based on the tendency of plants to grow and turn towards sunlight. Organisations grow towards what gives life to them and AI attempts to create a new and better affirmative image, better aligned with the organisation's critical contingencies. If an organisation sets positive anticipations, the organisation will inevitably start to move into these anticipations (Watkins et al., 2011).

The basic process of AI is to begin with a grounded observation of the 'best of what is', during the Discovery stage, then through vision and logic, collaboratively articulate 'what might be', ensuring the consent of those in the system to 'what should be' and collectively experiment with 'what can be' (Bushe, 1995). The acknowledgment of positive contributions could encourage participants to be more willing to participate and offer valuable inputs. Participants will also be inspired to make more of such moments of success (Coghlan et al., 2003).

As AI focuses on the positive and includes the participants' actual experiences, members experience a sense of commitment, confidence and affirmation that are regarded as successful experiences. The momentum towards the positive will enhance solutions instead of problems or issues. A positive view will assist in establishing a positive future and, in the process muster people together toward this newly defined positive future (Cooperrider et al., 2005).

3.7.2 The power of words

Lewis et al. (2011) stated that meaning is emergent in language, not encoded by it, and this makes language and conversation an important source of organisational change and renewal. Change is expressed in the words of the participants.

AI as a change approach is based on the power of words to create a desirable new world (Egan & Feyerherm, 2005). During the Discovery stage of the AI cycle, the participants have the opportunity to tell their stories of what in the organisation makes

them feel 'alive'. These are the descriptions of the circumstances in organisational life that could lead to high motivation of participants.

3.7.3 Participants will create the world they pay attention to

Watkins et al. (2011) emphasised that the change is initiated by asking the first question. From the very first inquiring question, the thinking will be focused around the reaction to that question and subsequent answers (Egan & Feyerherm, 2005). That will create the area on which interviews and data collection will be focused. Staff members can talk themselves up or down depending on their mind-set (Egan & Feyerherm, 2005). It could start in how a change inquiry is phrased. An example could be that rather than initiate a theme such as staff incompetence, it could be restated as a change opportunity to create value-add training. For any individual to be more open to these questions, part of the discussion should include known reference points in order to bridge the gap into the unknown (Coghlan et al., 2003). This enables participants to feel more comfortable with the proposed focus area.

3.8 The 4-D Appreciative Inquiry model

While models for AI used may vary, they are based fundamentally on what is understood to be the original 4-D model originally developed by David Cooperrider (Watkins et al., 2011). An additional 'D' for Define was later added to accommodate the finalisation of the scope and arrangements of the process, but as the Define stage is not always applicable, the model is referred to as the 4-D model.

This research focuses on the 4-D model. To provide perspective, the 4-D model is compared to an alternative AI model, the Mohr/Jacobsgaard 4-I model (Watkins et al., 2011). Table 3.2 below provides a summary overview of the 4-D model and 4-I model to illustrate the differences.

Table 3.2: Comparisons between 4-D and 4-I models

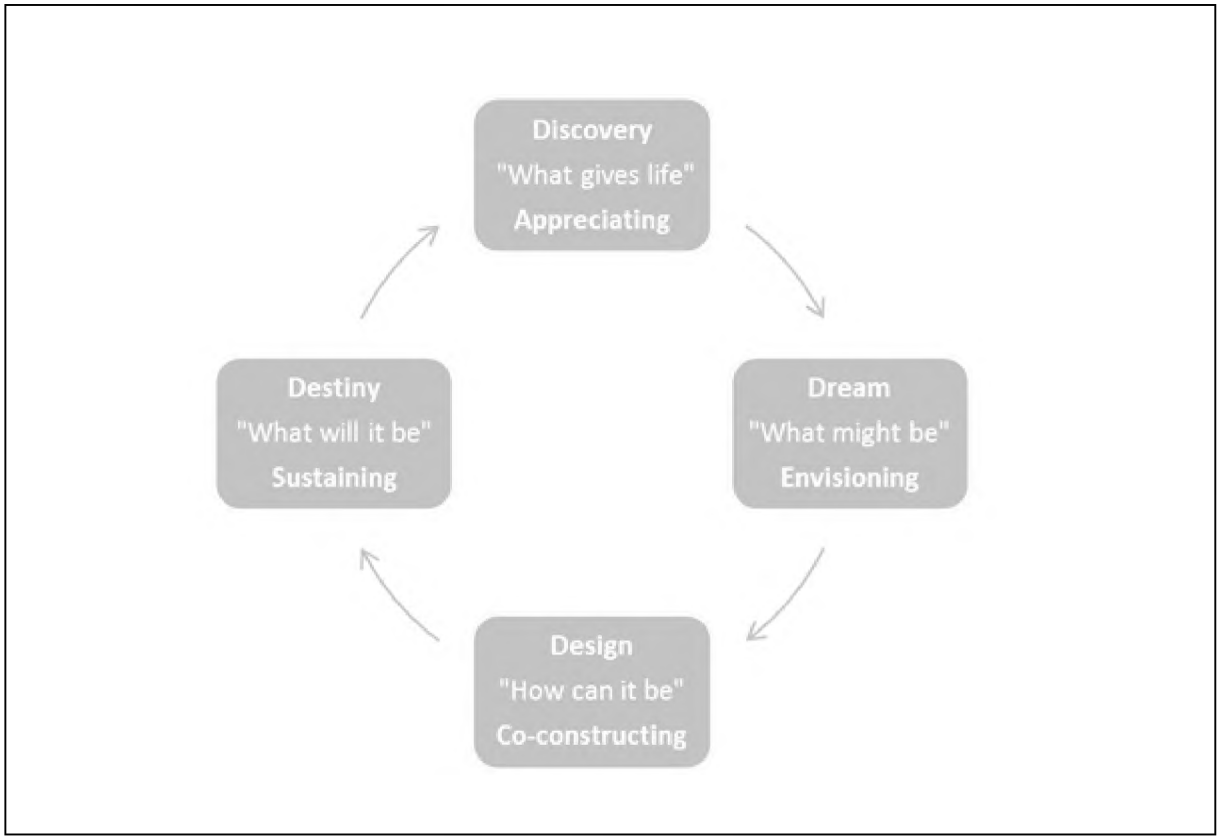
4-D model (with added fifth 'D' for Define)		4-I model (with added fifth 'I' for Implementation)	
Stage	**Short description**	**Stage**	**Short description**
Define	Defining the focus of the intervention	**Initiate**	Introduction of AI theory and determining the scope of the intervention
Discovery	Appreciating the best of 'what is'. Identifying factors that give life to an organisation	**Inquire**	Obtaining data on the positive aspects of the current environment
Dream	Challenging the current organsation by envisioning the preferred future	**Imagine**	Share the collective information and develop provocative propositions
Design	Articulation of the dreams into practical change - in the form of provocative propositions	**Innovate**	Enable explorations and comments to agreed actions for implementation of the design
Destiny	Actual sustainable implementation of the design propositions	**Implement**	Actual implementation of the proposed actions

(Adapted from original by Coghlan, Preskill & Catsambas, 2003, in collaboration with Southwood, 2016)

Although the different interpretations of the 4-D model and 4-I model highlight different areas, as shown in table 3.2 above, the principles reflect the same thinking. The major difference between the two models concerns terminology and definition to describe the various stages (Coghlan et al., 2003). The 4-D model was used in this research as it is the most widely used model.

The 4-D model according to Rothwell and colleagues, remains the most-often used (Rothwell et al., 2010). The original model consisted of Discovery, Dream, Design, and Destiny stages. During the Discovery stage the current state of the organisation is appreciated by identifying 'what gives life'. This is followed by the Dream stage where 'what might be' is envisioned. This is followed by the Design stage where a vision of how the organisation can be is constructed together. The Destiny stage focusses on implementation and developing an organisational environment conducive for sustaining the implementation. During the Destiny stage, statements need to be converted into action plans to ensure that AI concepts are not merely abstract principles, but workable solutions specifying who will do what and when (Cooperrider et al., 2005). An additional Define stage has been added to the original 4-D model to represent the initial stage of defining the focus and scope of the intervention. The 4-D model described the OD process that enquires into, discovers, and enhances what is already in an organisation (Cooperrider et al., 2005). To obtain a clear overview of the 4-D model and the sequence of its various stages, the model is illustrated as follows:

Diagram 3.1: The 4-D Appreciative Inquiry cycle



(Source: Cooperrider, Whitney & Stavros, 2005:5)

As illustrated in diagram 3.1, the 4-D AI cycle is specified in four stages: Discovery, Dream, Design, and Destiny. The 4-D model must be viewed with the understanding that the change process starts with the articulation of the image – the changed or new view of the future, and not the end of a linear planning process (Watkins et al., 2011). A detailed description of the 4-D model is in section 3.11.

3.9 Benefits of Appreciative Inquiry

It is believed that AI as a philosophy can fundamentally reshape the practice of organisational learning, design and development (Watkins et al., 2011). Watkins et al. (2011: 282) are of the view that "AI is not just one more OD process but, rather, a way of seeing and being in the world". The AI approach provides innovative solutions for change challenges (Cooperrider, et al., 2005), carrying forward aspects that actually provide 'life to the organisation', and thus ensures that any provocative statement contains a strong element of reality. Further perceived benefits that AI add to an OD process are offered below:

3.9.1 Focuses on a positive solution

During the four stages of AI, the momentum is vested in positive memories, ideas, and dreams. As the positive core is interwoven in the change process, it provides the organisation the opportunity to value its past and embrace new ideas into positive possibilities (Cooperrider et al., 2005).

The culture of positive thinking will limit the possibility where an AI intervention turns into a 'disgruntle session' (Anderson, 2012). As the AI approach begins with identifying the team's strengths and releasing positive energy, there will be little room for negativity during the process. The power of AI is that it generates a climate where participants realise that they can appreciate themselves and their organisation (Watson, 2013).

3.9.2 Diversity through contribution

To enhance the success of an OD intervention, all participating members must feel free to contribute and express their beliefs. The more people are involved in the intervention, the better are the chances that the data collected is rich and diverse (Cooperrider et al., 2005). The AI approach gives an equal voice to each member and, for it to succeed it needs to be a genuine participatory process in which all staff

members are included (Elliott, 1999). The rules of engagement regarding respect of diversity will lead to richer solutions and more willingness to accept proposals. The value of proposals will increase if there is a sincere belief that suggestions could benefit organisational and individual goals.

3.9.3 Provides new solutions

AI is more successful and transformative when innovative and new ideas leading towards actions are established (Anderson, 2012). Carrying forward aspects that actually provide 'life to the organisation' will ensure that any provocative statement will contain a strong element of reality. The openness in which AI sessions are conducted will foster freethinking with creative solutions instead of focussing on the problems (Anderson, 2012). However, participants need to understand that providing a new solution might not be an overnight process and therefore AI must be given a fair chance to prove itself as a change process (Elliott, 1999).

3.9.4 Ownership

The involvement of participants in an AI approach could also be interpreted as taking ownership of the new changed way and reduce resistance to change. The change initiative assists staff in feeling more inspired and experience a sense of freedom to change (Rothwell et al., 2010). By participating and contributing to the process, members develop a sense of ownership of the identified solution. Staff will seize the initiative through the provocative statement as it aligns organisational vision with their views of what is important (Bushe, 1995).

3.10 Critique of Appreciative Inquiry

To enable a balanced view of AI, the benefits need to be evaluated against criticisms of AI. As with the benefits outlined in section 3.9, the perceived shortfalls could be a never-ending list.

McLean (2006) was of the view that AI focuses only on underpinning the positive aspects of organisational culture and does not explore the full range of strengths and weaknesses. However, AI does not deny the existence of organisational problems, but reframes them in positive dialogue and focusses on strengths and successes (Anderson, 2012).

Due to the various stages of the AI approach, ample opportunity is available to rephrase an identified problem into a positive solution. In particular, and when positioned correctly, the Dream stage is the direct opposite of 'problems'. The focus is on 'the best of what is' which is a positive alternative to 'what is wrong' (Rothwell et al., 2010). AI does not turn a blind eye to negative situations or deficit orientated realities in organisations, and AI does not substitute a rosy or romantic picture; rather, it accepts these realities for what they are – areas in need of conversation and transformation (Coghlan et al., 2003).

The perceived problems will be positively redefined into an ideal dream rather than traditional 'problem solving 'mechanisms. This view of how the future takes shape gives us a whole new way of understanding the process of change in an organisation (Watkins et al., 2011). Grant and Humphries (2006) however, as cited by Bechtold (2011), found that the affirmative dialogue did not always result in sustainable organisational change as unsaid matters could be ignored. A conclusion about the perceived criticism of AI was articulated by Bushe (1995) who states that change can be created by paying attention to what one wants more of rather than paying attention to problems. The desire to achieve the projected outcomes could overshadow any perceived criticisms.

Cooperrider et al. (2005:XX) quoted Tomas White of GTE Telephone Operations: "AI can get you much better results than seeking out and solving problems. If you combine a negative culture with all the challenges we face today, it could be easy to convince ourselves that we have too many problems to overcome – to slip into a paralyzing sense of helplessness…… Don't get me wrong. I'm not advocating mindless happy talk. AI is a complex science designed to make things better. We can't ignore problems – we just need to approach them from the other side."

The above statement draws attention to the reality of applying AI: the focus during the change process will be more on positive aspects resulting in an organisation culture of seeking solutions instead of reasons for failure. Anderson (2012) stated that problems in organisations do exist but AI provides the opportunity to reframe these problems.

3.11 **The 4-D model's various stages** (including the 5th added stage)

The 4-D model focuses on what is currently working well in the organisation, and finds success in understanding the group's own valuable contributions toward change (Anderson, 2012). The 4-D model paves the way for a practical change approach starting with the articulation of the ideal future organisation (Watkins et al., 2011). AI provides a means to generate a collective image of a new and better future by exploring the best of what is and has been (Bushe, 1995). When given a choice, almost all people choose the positive and therefore would work to make their 'dreams' become reality (Egan & Feyerherm, 2005).

With the purpose of organisational transformation, AI is best understood with the 4-D model of Discovery, Dream, Design, and Destiny (Cooperrider et al., 2005). These steps indicate the practical implementation of each stage as well as the way to provide support to succeed with each stage. These stages, including the initial Define stage added by Bushe, are articulated below:

3.11.1 Define stage

This stage focuses on the question framing and the structure required for an AI intervention (Watkins et al., 2011). Rothwell et al. (2010) stated that the Define stage is intended to confirm contracting requirements with project sponsors, organisational leaders, and participants. These stakeholders can also be internal and external clients, therefore it is important to define / establish the rules of engagement during the Define stage (Rothwell et al., 2010).

Clarity must be obtained regarding the 'why', 'how' and 'when' questions of the planned intervention. Without a real objective, the process could derail the essence of the AI approach by focussing directly on the problem/s instead of shifting the focus from the 'classical' problem solving to creating a positive inquiry platform (Watkins et al., 2011).

The decision to look at the positives will move the initiative in a positive direction and by defining the topic positively, will confirm the initial positive aspects further (Bushe, 1995). During the Define stage the decision on what type of data will be collected will set the pattern for the AI approach forward (Watkins et al., 2011). If the data collected focused on a specific issue, it could lead to trying to solve the identified issue, instead

of considering broader and alternative solutions. This could deviate from the initial objective to formulate a more effective and efficient organisation.

During the Define stage, the reason/s why an OD intervention is deemed necessary need/s to be investigated. Some examples of typical reasons, as stated by Rothwell et al. (2010), could be:

- Changing technology due to advances in know-how.
- Introducing cost limitation due to declining profit.
- External pressure to comply with legislation.
- Internal pressure as a direct result of external pressure.

The reasons for change may be imbedded in the above factors or because of other external or internal trends (Rothwell et al., 2010). The Define stage can also be used to clarify the scope of the project and identify the roles and responsibilities for the AI approach ahead. The following could be leading statements in defining the scope of the AI intervention:

- To address the typical 'how', 'what', and 'why' questions regarding the forthcoming AI approach and to establish where the investigation will take place (Cooperrider et al., 2005).
- To establish the success factors against which the change intervention will be measured. This will further assist in determining the specific milestones in the change project (Rothwell et al., 2010).
- To create awareness of additional stress on the workforce and their families due to a change intervention (Rothwell et al., 2010).
- To manage the expectations from AI is essential to obtain momentum. AI needs to distance itself from being seen as a crisis management tool that will solve various / all types of problems automatically, and should rather be trusted as a participative process (Elliott, 1999).

3.11.2 Discovery stage

The object of the Discovery stage is to appreciate the best of 'what is' by focussing on the best experiences or moments in time (Cooperrider et al., 2005). This stage values the best of 'what is' as the organisation's key strength/s (Lewis et al., 2011). In an organisational environment, these can be translated as the times when the organisation feels the most driven and staff experience a high level of motivation. The main objective of the Discovery stage is to collect information and engage in narrative exploration (Cooperrider et al., 2005). Part of the Discovery stage is the engaging in dialogue which allows for open sharing and the discovery of possibilities (Cooperrider et al., 2005).

The objective of the Discovery stage is to collect data by stimulating participants' excitement and create a platform to share values, experiences and an ideal future for the organisation (Cooperrider et al., 2005). To achieve outcomes that will support the AI approach, the following key elements need to be achieved during the interview process: encourage storytelling, and establish patterns of 'life giving' examples. This information should be focused on the ability to collect strength-based, life giving data and must steer clear of the negative and typical problem-describing situations (Rothwell et al., 2010). This stage serves as a foundation for the subsequent stages in the process by facilitating the collection of data, and releasing latent energy. Both of these will serve to mobilize and sustain the system through later stages of the inquiry (Grandy & Holton, 2010).

Information collection as such is not the AI approach end goal, but it provides the platform to ignite enthusiasm and willingness of participants to share their perception of the ideal (Cooperrider et al., 2005), and this may be considered as the cornerstone of the proposed change. An additional goal to the actual data collecting is the excitement and stimulus the sharing of stories will bring (Cooperrider et al., 2005).

Further reasons why data collection is considered important include that good data generates information regarding organisational effectiveness, and data collection leads to all types of statistical information which could ignite interest in change (Nadler, 1977 as cited by Anderson, 2012).

Data collection that is representative of daily organisational tasks will provide credibility in the change process by identifying the perceived issues in the organisation. Gaining approval from senior management to start data collection will ensure sanctioning from the highest level. Defining the objectives and goals of the data collection will assist in sanctioning this process with all relevant stakeholders (Brown & Harvey, 2006). A responsibility of senior management, who will act as the sponsor through the change process, must be an ability to deal with whatever results the information collection provides. The following proposed key steps for data collection are discussed below:

- Prepare for the Discovery stage.
- Encourage story telling.
- Establish patterns of 'life giving' examples.

3.11.2.1 Prepare for the Discovery stage

During the Define stage, the majority of the process guidelines will have been conceptualized and confirmed. During the preparation for the Discovery stage, AI needs to be explained as a process highlighting the benefits to counter the possibility that not all participants are aware of the guidelines or, in fact, the suggested change process. This is a good time to reiterate / clarify the purpose of the change initiative and outline the subsequent stages of AI. The Discovery stage includes engagement with the team and relevant stakeholders regarding the AI approach, its strengths and rewards (Anderson, 2012). Coghlan et al. (2003) stated that instead of focusing on the problems, members rather identify (discover) what is working particularly well in their organisations.

3.11.2.2 Encourage story telling

An AI interview seeks to encapsulate the appreciative stories in the organisation (Watkins et al., 2011). The value in story telling is to establish themes of what was important for the interviewee regarding similar topics/situations. Cooperrider et al. (2005) stated that the story refers to highlights in the work environment experienced by the interviewee. It is important for the interviewer to focus on what the interviewee did (behaviour) and the emotions felt (values) (Cooperrider et al., 2005).

The stories told are like data with a soul and must therefore be encouraged to reflect the passion of the storyteller. A key element of AI is based on the power of words to create the new desirable organisation (Egan & Feyerherm, 2005). The interviewer must encourage the interviewee to elaborate on what gives life in the organisation. Lewis et al. (2011) declare that once we start to appreciate organisational stories as a powerful source of change, we begin to see a rich and complex pattern of possible organisational resources.

3.11.2.3 Establish patterns of 'life giving' examples

Story telling is a cornerstone of AI as the stories provide depth and breadth with more meaning that just a checklist of tasks (Watkins et al., 2011). The listener (interviewer) needs to focus on the life giving factors regarding structures, staff morale, systems and procedures contained in the stories (Cooperrider et al., 2005). These themes can only be obtained by probing the answers received and will play a role in the subsequent Dream stage of AI.

It must be anticipated that not all participants would have bought into the AI approach. During the interview, some unexpected behaviour will surface regardless of the preparation. If not dealt with properly, this could pose a threat to the expected outcome of the interviews (Watkins et al., 2011). Any negative remarks could move toward total criticism of the process and absorb energy which could rather be focused on the positive aspects of the process. The advantages of the AI approach need to be appropriately clarified and transferred to all role players. Bushe (1995) stated that AI attempts to establish a positive and better image of the organisation. It is acknowledged that some participants will utilise the situation to complain and provide negative inputs, offering no real positive solution. Allowing participants the freedom to say what is on their minds, could sometimes spill over into negativity toward the organisation and needs to be anticipated (Cooperrider et al., 2005).

Even with the best intentions of creating a positive energy, some individuals will use every opportunity to raise a negative remark and sometimes in a general and undefined state. Any criticism represents an absence of something that is perceived as the ideal image. This negativity could stem from a particular work circumstance or just low morale in a particular group. Cooperrider et al. (2005) suggested the following on how to deal with negative remarks:

- Note the negative remark and request that it be dealt with later. An ideal place to revisit these negatives is during the Dream stage which will shift the focus from negative to the ideal state.

- If any participants are persistent, devote time for them to say what is on their minds, listen supportively, and do not make any comments. Bushe, (1995) suggested asking if there was a time, even the smallest moment, when they saw innovation at its best. If they say it never happened where they work, find out if they have ever had a positive experience in previous organisations or anywhere else.

During the Discovery stage the focus needs to be on 'the best of what is' (Rothwell et al., 2010). This will be a balancing act between the freedom of topics, and the focus on specific topics on which the change process was initiated. Ideally, these topics should be limited to five areas of discussion (Watkins et al., 2011).

3.11.3 Dream stage

The Discovery stage is followed by the Dream stage. During this stage, participants view the future with the imagination of what could be the ideal organisation and articulate the potential vision that would encapsulate this ideal (Anderson, 2012). Building on the previous stage, the dreams need to be shared and discussed amongst participants. These dream images will be of what the organisation would look, be, feel and function like if the exceptional moments would become the norm instead of the exception (Watkins et al., 2011).

During this stage, there is an envisioning of 'what might be' by amplifying the positive core in imaging the preferred future (Rothwell et al., 2010). The probabilities are of an improved or better organisation run by an improved staff component. The Dream stage is a practical application, underpinned in the organisation's history, focussing on the true potential (Cooperrider et al., 2005). Building the dream is a direct result from the stories as told during the previous stage, translated into an ideal future (Watkins et al., 2011). Participants envisage the ideal future and articulate what is needed for the Dream to become a reality (Anderson, 2012).

The creation of the ideal and shared image of the preferred future often progresses through two stages (Watkins et al., 2011):

- The initial step is to create the image of the desirable organisation. Participants are requested to imagine in bold terms what the system could be in an ideal future on the basis of the knowledge gained from the Discovery stage (Van Tonder & Roodt, 2008). These images or stories are the drivers to confirm the positive core within the organisation with energy and enthusiasm (Cooperrider et al., 2005).

- Following on the above is the consolidation and noting down of common themes applicable to the desirable organisation (Cooperrider et al., 2005). Bold provocative statements (Egan & Feyerherm, 2005) integrate these creative ideas of the future and the actual design. During the Dream stage, the participants are encouraged to talk about (and dream about) not 'what is', but about 'what might be' a better organisation and a better world (Cooperrider et al., 2005).

During the Dream stage the organisation's full potential is discovered by paving the way for the actual 'shift' in the status quo (Rothwell et al., 2010). By establishing a positive atmosphere, staff will be encouraged to share stories. The amount of preparation and the degree to which clarity and refinement is obtained about what common 'dream' is sought, vary widely (Lewis et al., 2011). The Dream stage is strategically significant in terms of leading to a higher level of creativity and commitment (Rothwell et al., 2010).

The constructive stories, with the accompanying emotion, will release a creative energy to new levels in an organisation (Watkins et al., 2011). Most of these positive stories could start with a reflection of what worked well with their previous employer. Listening to colleagues' stories of good, experiences elsewhere can ignite participants' imagination about the creative edge of the organisation's abilities (Watkins et al., 2011). Dreams create a positive world such that staff would be motivated to make the identified dreams a reality (Egan & Feyerherm, 2005).

Participants need to be in the right mind-set to co-construct and envision the preferred future (Viljoen, 2015). The vision can provide continuity in linking the past with the new

envisaged future, and this will not only provide coordination but a safe passage way for those unsure about change (Yukl, 2002).

These stories are the vehicles for bringing out the positive core of the organisation in the same spirit as the Discovery stage (Cooperrider et al., 2005). The participants need to be encouraged to share the essence and emotions of the stories, not a bullet point description of events. The Dream dialogue is often integrated into the appreciative interviews with questions about wishes, hopes, and dreams (Cooperrider et al., 2005). Based on the information obtained from the interviews, the participants envision themselves and their organisation functioning at their best (Coghlan et al., 2003).

The principles of AI must continuously be reinforced, particularly the principle that AI is not a problem solving tool, but a way of thinking without boundaries, especially in the Dream stage. To illustrate, Egan and Feyerherm (2005) provided the example that instead of talking about staff turnover problems, the dream should be about retaining high performing staff members. This approach would create limited room for negative remarks regarding the feasibility or practical limitations of the 'dreams'. By generating words, phrases, and stories that illustrate the organisation at its best and paint a compelling picture of what the organisation could and should become, vested in their values and beliefs (Egan & Feyerherm, 2005). In essence, this is what the organisation wants to be and what aspects are valuable to its members.

Any attempt to change a culture should begin with a clear vision of the new strategy (Brown & Harvey, 2006). If we are able to dream a positive world, the majority of staff will work to make the dream a reality (Egan & Feyerherm, 2005). A vision is a direction for an organisation (Cooperrider et al., 2005). It is what the organisation strives towards and expresses a desire to be more than it is currently. Organisations are driven by a vision, not by directives from the chain of command. Due to the importance of establishing a vision in the organisation, the following two aspects need to be explored further:

3.11.3.1 Ownership of the vision

Leaders need to think ahead, research the changing environment, anticipate changes in the systems and implement (Meyer & Botha, 2004). Leaders need to ensure

stakeholder participation by asking for insight and engaging in dialogue to formulate the vision (Rothwell et al., 2010). The intention is that the vision is developed by taking account of the following:

- The vision is based on a 'dream' that is stretching, yet obtainable.
- The vision is a combination of the positive thoughts of all members in the organisation (Brown & Harvey, 2006) and is thus the articulation of the stakeholders' own views.
- The above will contribute towards sustainability in the vision as it is the 'dream' of the stakeholders.
- The vision needs to energise the AI approach during the next stages.

Once the group begins to create a shared vision of the new and improved organisation, the power of AI becomes apparent. Unlike other visioning exercises, AI creates a vision for the future that is grounded in examples from the organisation's past (Cooperrider et al., 2005).

3.11.3.2 Dream questions drive the vision

The questions asked during the Dream stage will assist in shaping the vision and cement the path for the follow-up Design stage. These questions need to cover the desired future of the organisation as well as those of the individuals. Based on these dreams, strategies could be proposed which could result in positive change collaborations during the later Design stage (Coghlan et al., 2003). Excellent leaders also remain with the change process long enough to ensure the vision is successfully transferred to the next leader (Meyer & Botha, 2004). Even if the organisations differ in terms of the environments in which they operate, the questions will be of a similar pattern. Typical examples of questions to ignite the imagination during the Dream stage (Viljoen, 2015) are:

- What will be the future vision of what you want to be?
- What is the future that you want to co-create?

The aim of the Dream stage is to reach a compelling umbrella statement or framework that embodies the desired values and principles that will inform the Design stage. It is critical that all participants try to imagine a better future, not necessarily the final answer, but an improvement. The Dream stage collectively envisions the organisation's future by constantly pushing the potential of the organisation by dreaming the future (Watkins et al., 2011). Once these stories are collected, the real work of change begins, in that the stories need to enter the language, systems and ideas of the organisation (Bushe, 2007).

3.11.4 Design stage

The Dream stage articulated the strategic focus, such as a vision of a better world, as a powerful purpose. During the Design stage the future, as articulated in the Dream stage, will be constructed collaboratively into real organisation activities. Cooperrider et al. (2005) described the Design stage as where the Dream has the potential to become the everyday reality through co-constructing provocative (and inspiring) statements that are grounded in realities. These represent the actions required to move the organisation to the desired level (Anderson, 2012). The key themes (based on the dreams) need to be identified and further developed into provocative statements (statements of intent) (during the Design stage) that will guide towards the preferred future (Watkins et al., 2011). Dreaming is a journey of mutual discovery, not an analytical journey. Therefore stories should be valued rather than critiqued, judged or analysed (Cooperrider et al., 2005). It is often easier to criticise and slide into negativity than light the way. Any negativity needs to be used as a springboard toward a positive direction. 'Dreaming' provides a fertile forum for articulating individual hopes and aspirations into the process (Grandy & Holton, 2010).

A particular deliverable of the Design stage could be choices that are made about 'how can it be the ideal' as identified during the Dream stage (Cooperrider et al., 2005). This is a conscious invention of strategies, methods, and processes needed to achieve the formalised dreams. This stage essentially addresses the questions of how the participants can make the Dream happen – and the understanding that there are multiple strategies to carry this forward (Watkins et al., 2011).

The activities to support the Design stage will depend on the complexity of the change in the organisation (Rothwell et al., 2010). Moving from a powerful image of the

preferred future of an organisation that lives and breathes, the essence of the provocative statements is a process that takes various forms (Watkins et al., 2011).The challenge of organisational design can be met by adopting one of the following approaches:

- Individual action approach

  Participants are asked to think about parts of the 'dream' they want to explore further and make it part of their lives (Watkins et al., 2011). These are simplistic actions where all participants have the opportunity to state their individual commitment.

- Whole system approach

  The team can choose to either develop its own design framework or choose an existing and established model (Watkins et al., 2011). Typical examples of existing models of organisational architecture are Open Socio-Technical Systems framework, McKinsey 7S framework and the Weisbord Six-Box framework (Cooperrider et al., 2005). Once the Design elements are selected, the relationships that have an impact on the organisation's operations need to be explored further (Cooperrider et al., 2005).

The environment has an impact on the activities of the organisation which has a level of responsibility toward the geographical area and community in which it operates. The organisation and environment relationship could be the result of the cooperation between the organisation's inputs and the design components (Rothwell et al., 2010). In determining the design components, environmental factors need to be taken into consideration as these can influence strategy and components of the design. These external and internal aspects/factors are based on the relationship between the organisation and the environment (Cooperrider et al., 2005).

Having meaningful relationships with the internal and external environments will assist in simplifying ideas into practical realities during the Design stage. Bushe (2007) claimed that change, like most things, gets managed through relationships and strong relationships can overcome bad designs and plans, while good designs and plans usually cannot overcome bad relationships. Staff members need to work from the inside out to identify those relationships that helped build the positive core so that

positive and constructive relationships are identified as strengths which then can be built on (Cooperrider et al., 2005).

3.11.4.1 Role of the internal environment

AI is applied to all internal processes to sustain momentum and focus during the Design stage (Watkins et al., 2011). Formulating the 'what might be' will have an impact on all internal groups in an organisation. Groups that would represent the internal environment are: staff members, family members, owners, staff representatives and shareholders (Cooperrider et al., 2005). Rothwell et al. (2010) gave the following design components as examples of the internal environment:

- The use of technology to ensure effectiveness in the processes.
- Organisational feedback processes to obtain information regarding performance.
- Performance management to distinguish between exceptional and unacceptable work performance.
- Culture, including values, norms shared amongst staff members.

3.11.4.2 Role of the external environment

The design of specific new ways of operating in the organisation needs to take into consideration the external environment in which the organisation operates as it could influence the design. The organisation is envisioned as a network of key stakeholders who share the accomplishment of tasks to achieve social transformation (Watkins et al., 2011).

Rothwell et al. (2010) stated that the following could be considered as some of the major external factors in design:

- Activities to be instigated in defining what functions will be performed to gain an advantage over competitors (Rothwell et al., 2010).
- The external environment consists of various factors that can influence the organisation and thus need to be taken into consideration in strategic

planning, for example suppliers, customers and regulators (Rothwell et al., 2010).

3.11.4.3 Provocative statements

The Design stage activities are documented in 'provocative statements'. The objectives of the provocative statements are to articulate the desired processes and qualities as identified during the Dream stage (Cooperrider et al., 2005). The preliminary list of common themes needs to be developed further into statements representing the Design of the organisation. This statement is the final process about what action is forthcoming from the Design stage (Lewis et al., 2011). These common themes, from which the provocative statements will emerge, could include elements such as: improving relationships, nurturing, listening, understanding, trust, compassion, quality care, service, and independence (Cooperrider et al., 2005).

Further questioning and refinement of the vision is likely to occur as the 'dream' meets reality and the challenges of implementing the vision take precedence. Staff members discover how they can contribute to the delivery of the desired outcome and how they are connected and valued in its achievement. Their contribution to the the development of the desired future is captured through the co-construction of a series of relevant provocative statements that encapsulate their highest hopes for the future.

A provocative statement is a proposition or proposal that bridges the best of 'what is' with what 'might be' (Cooperrider et al., 2005). The provocative statement is a visual image of what needs to be done expressed in words (Rothwell et al., 2010). These propositions then become the basis for a new, radically dispersed, and broadly participatory system of organisational capacity building (Rothwell et al., 2010). The emotions linked to the word 'provocative' might offend some groups. Without deviating from its powerful purpose, it could be replaced by 'possibility statement' (Watkins et al., 2011).

Characteristics of a good provocative statement

A good provocative statement will challenge the status quo and help suggest real possibilities that represent desired possibilities for the organisation and its people (Cooperrider et al., 2005). It is essential for the sustainability of the change initiative that the provocative statements convey the positive ideas from the Dream stage into

the practical steps of what is required in the ideal organisation (Cooperrider et al., 2005). The provocative statements need to be meaningful and an overarching umbrella of the desires indicated during the AI approach so far. They form the foundation of how participants see their new organisation and are written as if the situation is already obtained (Lewis et al. 2011). To ensure that these statements are sufficiently substantial to take the organisation into the future, the following are guidelines for good provocative statements:

- These statements should be a derivative from the interviews where staff members stated the desired future (Cooperrider et al., 2005). The statements need to be a desire of the organisation and its people. The desire of all participants will be the added motivation to ensure that the statements become a reality in the day-to-day life of the organisation.

- The statements need to challenge the organisation. There is little value in statements that do not stretch staff towards a specific objective. The challenge could accommodate a collective goal to achieve the statements. Watkins et al. (2011) stated that the word 'provocative' is ideal for this purpose as it refers to an exciting future.

- For the organisation to move up a step, new thinking is required. The provocative statements need to move away from the mundane and reflect a radical and visionary future (Lewis et al., 2011).

- The statements need to be in the active voice and must avoid meaningless or vague words (Watkins et al., 2011). They must reflect the clear expectation, and be understandable for all participants.

The Design stage is the key to sustaining and eventually concluding the positive change during the AI approach (Cooperrider et al., 2005). This is where the practicality of change becomes evident. The challenge is to invent a process of organisation redesign, unique to the organisation's culture, which avoids the trap of mechanistic problem solving.

This Design stage is about giving form to the values, ideas, and vision framed as provocative statements and the identification of high impact strategies that will stretch

the organisation to bring them about. It is about building bridges between the best of 'what is' and the preferred future (Cooperrider et al., 2005). The construction of the new future begins by getting to the detail of what it should look like when it is achieved, starting with the end in mind. During this stage, the focus is on the 'how', but should also further clarify how to recognise once it is achieved. The purpose of a design effort, according to Anderson (2012), is to develop consistency between the organisation's strategy, goals and structure. Typical questions asked during this stage are:

- What strategy and actions would help to achieve the goals?
- What will need to be happening for the organisation to achieve the desired outcomes/relationship?
- What would need to change – from what to what?

To meet the above, a strong strategy is needed to support the 'dream organisation' of the future. Participative methods for organisation design can be combined with AI (Watkins et al., 2011). According to Meyer and Botha (2004), the first aspect during the Design stage is to formulate a strategy on how this stage will be approached.

Before embarking on the Design stage the question that must have clarity is what needs to be designed. The identified 'dreams' must be given direction, purpose and a structure wherein these dreams become a reality (Cooperrider et al., 2005). As an example of the above: if the initial dream was based on the improvement of communication, then the design will result in identifying and formulating effective communication processes.

Meyer and Botha (2004) concluded that OD plays a predominant role in strategic transformation or change management in organisations. Every plan, process, structure, intervention, goal, target, task, activity, action and occupation-taking place in the organisation should be tested against the strategy to ensure that each contributes in some positive way towards the desired result. During the application of the 4-D model, the vision of the school was used as a reference to encourage the Design elements applicable to all aspects related.

The Design stage defines the basic structure that will allow the 'dream' to become a reality (Cooperrider et al., 2005). Even during the confirmation of the Design strategy, AI principles would ideally be apparent. The core of the AI design is generativity (Bushe, 2007). One of the central sources that influenced the creation of AI was a paper called "Toward Generative Theory" by Kenneth Gergen who argued that the most important thing social science can do is to give us new ways to think about social structures and institutions that lead to new options for action (Bushe, 2007). To support the generative approach the participants need to embrace and continue in new ways to think about social structures, leading to new strategic options (Bushe, 2007).

Bushe, (2007) also stated that if participants believe they are authorised to take actions during the design of the organisation, it will foster AI principles throughout the Design stage. Staff members do not need permission to act once the leaders have clarified what is permitted or out of bounds.

3.11.4.4 McKinsey 7S model

The McKinsey 7S model is a framework which may be used for assisting with the Design aspects and, in particular, the application of the provocative statements (Cooperrider et al., 2005). The model can be used to help identify what needs to be aligned/realigned to improve performance, define strategy and style of management (Viljoen, 2015). This framework can be of value for asking the right questions in designing the ideal organisation. The model is also sufficiently comprehensive for experienced participants and easy to understand by all participants (Rothwell et al., 2010). This research explores the McKinsey 7S framework as an organisational design model for the Design stage of AI. Initially developed in the early 1980s by Tom Peters and Robert Waterman, the basic premise of the model is that there are seven internal elements of an organisation that need to be aligned if it is to be successful. Effective organisational change is a relationship and interaction between these elements (Waterman, Peters, Thomas & Phillips, 1980). The seven elements are: strategy; structure; system; core shared values (also referred to as superordinate goals); leadership style; skills; and staff. These seven elements are divided into hard and soft components.

Hard components of the McKinsey 7S model

Specific components in the McKinsey 7S that can be classified as hard components are: strategy, structure and systems. Hard components are easy to identify and management can directly influence these components. To support a systematic approach during the intervention, the components of the McKinsey 7S model were followed.

Strategy

Waterman et al. (1980:20) described strategy as "those actions that a company plans in response to or in anticipation of, changes in its external environment – its customers, its competitors." Included in the strategy will be the vision and 'why' the organisation exists. The strategy will be elaborated further by exploring the functions which the organisation could perform, as well as its products and markets (Rothwell et al., 2010).

The key to sustaining the momentum is to build an 'appreciative eye' into all the organisation's systems, procedures, and ways of working (Watkins et al., 2011). The strategy, as a cornerstone of the supportive design components, should influence the overall development or improvement of the design in a positive way.

Structure

Structure divides the various tasks to provide coordination, specialisation, decentralisation or centralisation, and integration, (Waterman et al., 1980). The structure typically determines where a given work group is placed in the organisation's hierarchy, the formal leader of the group, and formal relationships between groups (Robbins, 1996).

Systems

Organisational systems are seen as all formal and informal procedures that ensure the organisation's day-to-day functioning (Waterman et al., 1980). Systems are generic work-standards which are designed to facilitate work (Anderson, 2012)

Soft components of the McKinsey 7S model

On the other hand, soft elements are more difficult to describe, and are less tangible and more influenced by change. However, these soft elements are no less important than the hard elements in organisation design. Soft components are: core shared values, leadership style, skills, and staff.

Core shared values

Waterman et al. (1980:24) state that these components refer "to guiding concepts – a set of values and aspirations, often unwritten, that goes beyond the conventional formal statement of corporate objectives". Values are an expression of individual beliefs of what is right and wrong (Anderson, 2012). Anderson (2012) further stated that these beliefs are relatively constant in all types of circumstances.

The individual values of staff members will form the foundation on which the members perform work and conduct themselves, thus establishing the collective organisational values in the process. The values identification will assist in answering typical organisation related questions as identified in Rothwell et al. (2010):

- How do I want to treat others?
- What do I stand for?
- What do I want to work each and every day?
- How do I show I care for others?

The core values represent non-negotiable behaviours in the organisation. The values will form the foundation on which the principle thinking during the Design stage is based. The importance of values when conceptualising the various aspects of OD are outlined below.

- Values would provide existing and new staff with guidelines of behaviour. This could be extended as a framework of how staff members will treat each other as well as the organisation's customers. Individuals enter an organisation with preconceived ideas and expectations of what can be done and will not be accepted.
- Returning to the values helps to guide staff members when they are uncertain on how to proceed (Anderson, 2012). Values are compared to a ship's anchor in that they provide stability and consistency during difficult periods (Viljoen, 2015).

- Rothwell et al. (2010) state that values such as teamwork and respect reflect a strong bond of association between individual and organisational values. The organisation can learn from another's perspective and discover the underlying similarities and differences and, as a result, avoid repeating mistakes (Anderson, 2012).

- Values can provide a framework for achieving goals and increase the effectiveness of the organisation. Values are not always focused on the actual statistical goals, but could include 'how' these goals were obtained. This represents the moral platform on which these goals could be achieved. Whether members acted in accordance with the values and helped to further those values, is an important point of learning and evaluation after any engagement (Anderson, 2012).

The core values are underpinned by humanistic assumptions which include respect, trustworthiness, equality of people and a belief in dignity and worth (Anderson, 2012). These values should already be lived to a certain extent by the staff in the organisation and should be a matter of confirming during the Design stage.

During the normal day-to-day activities of an organisation, the differentiation between values and non-values can be misinterpreted. The clear definition and enhancement of the selected values could assist in clarifying the values and non-values. Anderson (2012) warned that if OD were to move significantly away from its humanistic roots in favour of organisational efficiency and productivity, OD would be unrecognisable from its origins. The following are typical activities that should not be considered as values, but could be influenced by the core values of the organisation:

- Operational practices.

- Business strategies.

- Cultural norms.

- Competencies.

The last three soft components of the McKinsey 7S model are: leadership style; skills; and staff.

Leadership style

Leadership style is seen as the manner in which leaders carry out their functions and how they behave towards subordinates (Mullins, 1996); staff may be listening to what managers say but will follow and believe what managers do (Waterman et al., 1980).

Mullins (1996) stated that leadership style can be classified in three broad categories:

- Authoritarian.
- Democratic.
- Laissez-faire.

During the Design stage, the preferred leadership style needs to be determined for (a) guiding the initial change and (b) to reach the objectives. Robbins (1996) states that the effectiveness of the leadership style will be the decisive factor to achieve the goals, and needs to be associated with the manner in which the results were achieved as well as the effect on staff (Robbins, 1996).

Skills

Waterman et al., (1980:24) stated that "skills enable us to capture a company's crucial attributes as no other concept can do". These skills can include managerial, technical, conceptual, people, physical, interpersonal skills (Robbins, 1996).

Staff

The design of the organisation will imply that staff with the applicable qualifications and experience is required. Waterman et al. (1980) stated that staff needs to be considered as resources to be nurtured, developed, guarded and allocated to perform the required skills.

The value of using a model such as McKinsey 7S is to provide a systematic framework during the design at a time when the momentum and potential for innovation is extremely high (Watkins et al., 2011).

3.11.5 Destiny stage

The last stage in the 4-D cycle is the Destiny stage ('what will it be') and focuses on activities to ensure the dream becomes a reality (Cooperrider et al., 2005). The Destiny stage, also referred to as the Delivery stage by Watkins et al. (2011), is the implementation of the information established during the Discovery, Dream and Design stages. The Destiny stage addresses the action plans to implement the future that was created from Discovery to Dream stages.

The information encapsulates the desired images and ideas of the future (Watkins et al., 2011). To create a radically new, innovative organisation, or to tweak an existing one, the 4-D steps should be nurturing innovative thinking to benefit the organisation. During the Destiny stage the common future is expressed in terms of implementation actions (Lewis et al., 2011). Apart from the action plans, the organisation needs to confirm a culture that is conducive to a learning organisation. A characteristic of such a learning organisation will be the freedom staff members have to use their own initiative. Anderson (2012) states that the Destiny stage needs to commit parties who feel empowered to take action to the best of their ability. The Destiny stage is concerned with planning, followed-up and underpinned by dedicated actions to take forward the route identified during the Discovery, Dream and Design stages (Lewis et al., 2011). The Destiny stage consists of two major steps (Cooperrider et al., 2005):

- Participants converse and agree the actions on how to deliver the provocative statements (Rothwell et al., 2010). This can be referred to as the integration of AI principles and provocative statements into daily organisational life.

- The Destiny stage is also the beginning of an ongoing process of building an appreciative learning culture (Cooperrider et al., 2005).

Practical steps to enhance the Design aspects for the way the future organisation will operate include:

3.11.5.1 Maintaining momentum

The provocative statements can be revisited and updated with additional interviewing to ensure the best way forward. The provocative statements are therefore a living aspect to improve efficiency. The impact of smaller improvements or tweaking should

not be underestimated: a series of well-planned smaller changes can be introduced over time, with the view of changing long-term projects (Rothwell et al., 2010). The provocative statements open up opportunities for innovation and new thinking as well as new ideas to be practically incorporated into everyday operations (Watkins et al., 2011). Brown and Harvey (2006) emphasised that the success of organisational development programmes may depend largely on the ability of those doing the planning and eventual implementation.

Should the Destiny stage be perceived as exclusively a management initiative or drive, there is the risk of losing momentum due to lack of participation by all staff levels. Staff must be empowered through AI to initiate and implement ideas by nurturing a learning culture. Change is often a more difficult state, requiring more conscious energy, emotion, or attention than originally anticipated and may require more attention than asked for (Anderson, 2012).

Cooperrider et al. (2005) stated their reason for naming this stage 'Destiny', instead of the more conventional term 'delivery', is because of the liberation Destiny will bring in absorbing a total change – a path of positive protest. The Destiny stage as such should empower staff to maintain the flow of new ideas and invent a process of organisation redesign unique to the organisation (Watkins et al., 2010).

3.11.5.2 Ensuring that all levels support the change

For change to be meaningful, it needs to be substantial enough for staff to understand the implication of the change (Van Tonder, 2004). The involvement of all organisational levels with the understanding of the change impact will result in an easier adoption of any change initiative suggested by management. The basis for the motivation to 'live' the change is volunteerism (Lewis et al., 2011). A too heavy-handed demand to relinquish control can reduce commitment, accountability, and energy.

One of the challenges faced by OD practitioners is the maintenance of motivation levels in an era when change is taking place almost too rapidly to assimilate (Moerdyk & Van Aardt, 2003). Staff members need to be confident that management will incorporate them into the change initiative and through the Design and Destiny stages, their participation will be valued.

There should also be a concept of consistency in the meaning of change, applicable to all levels in the organisation (Van Tonder, 2004). Participants need to change individual behaviours and habits to adopt the recommended changes. This requires a continuous focus, attention, and discipline on their part because of the challenge in maintaining new behaviours in the face of ongoing work challenges (Anderson, 2012). Fostering engagement with staff will maximise the gains possible from the change initiative (Van Tonder, 2004). This could result in staff having confidence in management's support of 'out of the box' thinking, underlined by the shared positive images (Watkins et al., 2011). New work ways and patterns could result through diagnosis and confrontation through workable visions (Cooperrider et al., 2005).

The actual progress and differences that will result from the Destiny stage need to be recorded. This will allow for adjustments where the expectations were not fully met, or why the provocative statements did not have the desired effect. There is a likelihood of a relapse to how things used to be done before the intervention (Anderson, 2012). To counter such a relapse after the Destiny stage, a broader approach than just the process and the specific outcomes is needed. Staff members need to form a network structure to enhance the daily search into empowerment of staff to support each other in connecting and cooperating (Cooperrider et al., 2005).

Completing all the stages of the 4-D model is intended to initiate change and provide momentum of change. The working teams on each of the identified elements in the provocative statements can use the 4-D model continuously on an ongoing basis to explore the statements further. Watkins et al. (2011) use the image of 'a pebble in a pond' to describe the ongoing and generative nature of AI processes (Watkins et al., 2011).

3.12 Application of Appreciative Inquiry in schools

Although AI has been used as a strategy for development across a wide range of organisational contexts (Elliott, 1999), the focus of this research is in the context of a school. Kozik, Cooney, Scott, Gradel and Black (2009) promoted the introduction of AI in schools based on the following:

- The provocative statements provide direction for improvement and a vision of how the change might look.

- During the Dream stage, participants prioritise values, skills, and knowledge as success factors.

- AI allows for future possibilities and revisiting of the provocative statements through the 4-D model.

In addition, Kozik et al. (2009:89) concluded the following on AI intervention as an approach at schools: "it provides an ideal tool for self-reflection and organizational assessment amongst teachers."

From a study introducing AI in over a hundred schools in the Vancouver School District, Canada, Dickerson (2012) concluded the following:

- A deeper insight was gained into the school culture and a sense of empowerment to make a positive difference.

- Constructive interaction enabled a better appreciation of the big school picture, understanding the priorities of administrators and other stakeholders.

- Through engagement in open dialogue about core values, the AI initiative provided the opportunity to reflect the meaning of participant's work.

- Participants learned the importance of an appreciative approach which avoids the defensive routines of typical problem solving.

In an AI intervention in a youth education development programme the following conclusions were drawn regarding the teaching staff (Nel & Pretorius, 2012):

- More awareness was developed of their personal strengths and capabilities.

- Development of self-awareness contributed to building their motivation, self-worth and positive energy.

- Understanding of the importance of values in how they executed their responsibilities was developed.

These, and other studies involving the implementation of AI as a development strategy in schools, offer a positive platform for the application of AI in the context of this research.

3.13 Summary

This chapter provided an overview of AI as an alternative OD process. AI was further explored from a principles, practices, and assumptions viewpoint. Selection of the 4-D AI model was discussed. The perceived benefits and criticisms of the AI process were addressed. The major part of the chapter was devoted to the various stages of the 4-D model. To assist in the facilitation of the Design stage of the 4-D model, the McKinsey 7S model was discussed as a sub-framework to formulate the design aspects. The design framework provides the participants with a systematic approach and provides a guideline into the unknown. The application of AI in schools concluded the chapter. This chapter provided the theoretical basis for the practical application of the different stages of AI, as per the second goal of the research indicated in Chapter 1.

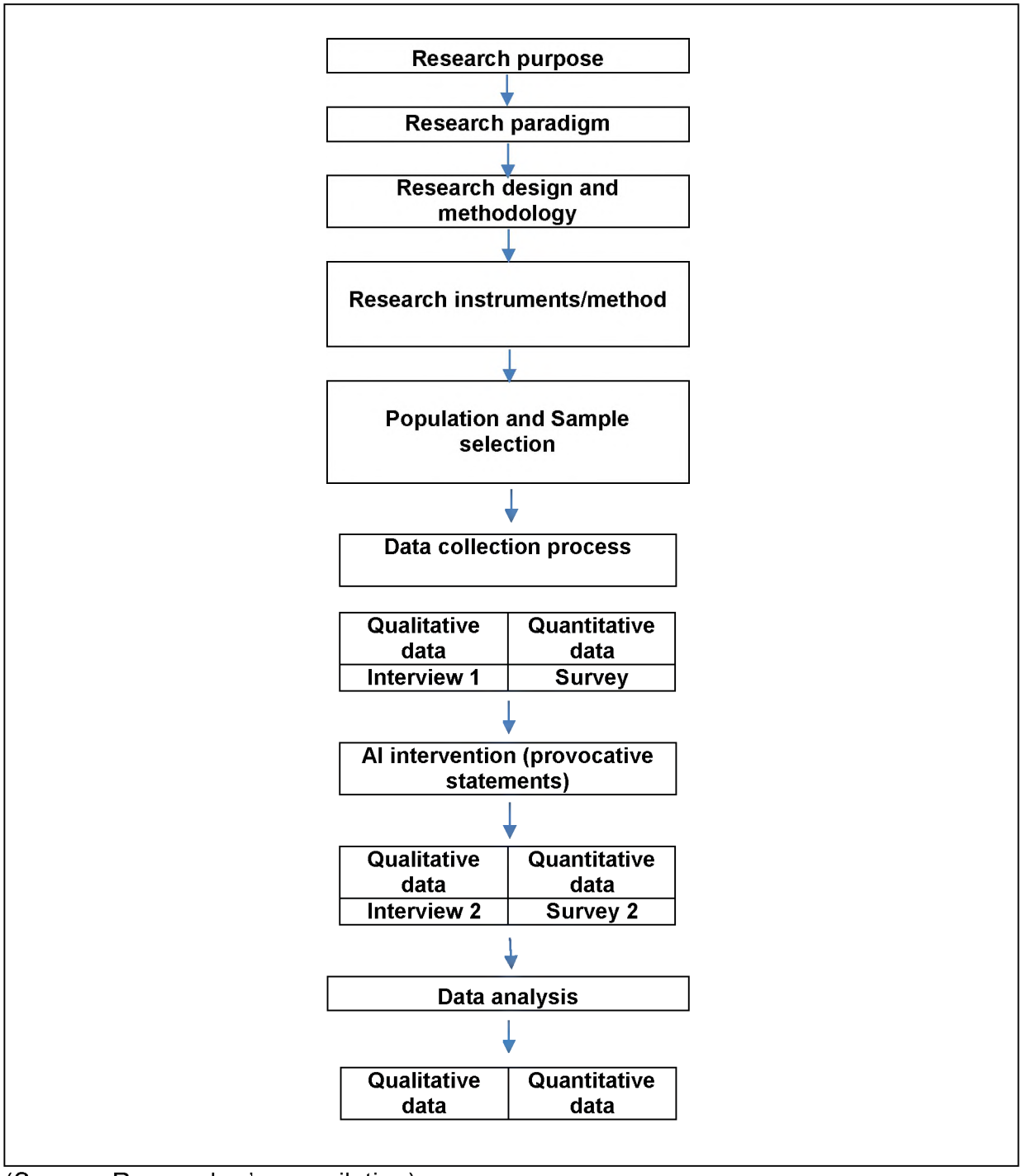
CHAPTER 4: RESEARCH DESIGN AND METHODOLOGY

4.1 Introduction

In the previous chapter, AI was discussed from a principles, practices, and assumptions perspective. A major part of the chapter was devoted to the various stages of the 4-D model, as per the second research goal stated in section 1.2.2.

Chapter 4 will discuss the research design and methodology. To provide clarity regarding the design and methodology, the chapter flow is illustrated in diagram 4.1 below. The purpose of the research is spoken to in section 4.2. The selected paradigm for the research will then be discussed in section 4.3, followed by the research design and methodology in section 4.4. Section 4.5 will explore the research site in terms of the population and sample selected for the data collection, with the research instruments discussion from a mixed method perspective in section 4.6. The data collection process and the analysis of the data from a quantitative and qualitative perspective will be discussed in section 4.7 and section 4.8. An outline of the ethical considerations conclude this chapter (section 4.9).

Diagram 4.1: Research design and methodology



(Source: Researcher's compilation)

4.2 Research purpose

The importance of clarity on the research purpose was emphasised by Maxwell (1996), stating that what is needed to be understood should be at the heart of the research design. As stated in section 1.2.1, the purpose of the research was to provide

an insight into the main challenges of classical OD processes and consider AI as an alternative approach.

4.3 Research paradigm

The theoretical framework, as distinct from a theory, is referred to as the 'paradigm' and influences the way knowledge is studied and interpreted (Mackenzie & Knipe, 2006). The paradigm will define what to study, why to study, and how to study in the accumulation of knowledge (Della Porta & Keating, 2008). The paradigm consists of an ontological base - related to the existence of a real and objective world, and an epistemological base - related to the possibility of knowing this world and the forms this knowledge would take (Della Porta & Keating, 2008). Mason (2002) stated that questions about 'what exists' (ontology) are shaped by understandings around 'how' and 'what' we know' (epistemology). It is understood that while there may be a real and objective world, how participants experience events, such as OD interventions, is subjective, based on their perception of that reality.

4.3.1 Selected paradigm

The research explored participants' experiences of previous OD interventions and their experiences using AI. It also reflected the sequence of the research goals as per section 1.2.2.

Watkins et al, (2011:38) stated that "Appreciative Inquiry is, in its essence, rooted and grounded in the theory of social constructionism". Constructionist learning involves drawing own conclusions through affirming inquiry of past practices, conversations and relationships combined with creative experimentation of a positive intended future (Bechtold, 2011). Constructionists tend to maintain that classifications are not determined by how the world is, but are convenient ways to represent it (Hacking, 1999 as cited by Della Porta & Keating, 2008). The experience of an OD intervention is a constructing of experience with the focus on social interaction. A working knowledge of AI theory, and its impact on our beliefs, is an essential component of understanding organisational change (Watkins et al., 2011). AI takes constructionism and places it in a positive context (Cooperrider et al., 2005). This way of learning is based on experiencing situations and reflecting on those situations. Instead of the traditional view (Lewin's 3-Step model discussed in section 2.5) of beginning, middle and end, the way we shape the future gives a different view of the change process in

an organisation. Change is now a continuous process observable in every conversation and inquiry (Watkins et al., 2011). This understanding of AI's impact and its application is essential to ensure continuous change. As such, AI is seen as a philosophy of knowledge (Watkins et al., 2011). Constructionism is typically associated with a qualitative approach (Creswell & Clark, 2011), but this research used a mixed method approach which is a combination of qualitative and quantitative data in the same study (Lichtman, 2014).

To support the research goals stated in Chapter 1, both qualitative and quantitative data were collected. The quantitative data provided the initial information about previous OD experiences and AI as an alternative (Creswell & Clark, 2011). Qualitative information was obtained to verify the quantitative information and to explore the emotive experiences of previous OD experiences and AI as an alternative.

The qualitative and quantitative data methods were drawn into a single research study, as the required data for this study cannot be accessed by the use of one method alone (Morse & Niehaus, 2009). The mixed method model of dominant-less dominant design was used in the research, of which qualitative data is the 'dominant' and quantitative the less dominant method (Creswell & Clark, 2011). A further rationale for this approach was that it would enable a consistent verification and correlation concerning the participants' role and position in the school, and allow for the continuation of data gathering concerning their experiences with OD interventions (Lichtman, 2014).

It was anticipated that, for this research, the qualitative collection would gather richer information than the quantitative data. Generating both qualitative and quantitative data offers the potential for stronger coherence and inference (Teddlie & Tashakkori, 2009).

4.4 Research design and methodology

The methodology is the enabler to ensure that the research question is explored. A methodology is a broad approach to scientific inquiry specifying how research questions should be asked and answered (Teddlie & Tashakkori, 2009). If questions are not answered accordingly, the target can be missed even if the research is of a high standard.

Experimental research design was selected as the overarching approach. Experimental research "attempts to control the entire research situation, except for certain input variables that then become suspect as the cause of whatever change has taken place" (Leedy, 1993:295). The classification of One-Group Pretest-Posttest as an experimental design was selected. The One-Group Pretest-Posttest experiment is where a single group has a pre-experimental evaluation, is influenced by a variable, and is evaluated after the experiment (Leedy, 1993). The objective of using One-Group Pretest-Posttest is to evaluate the influence of the variable (Leedy, 1993). Using the One-Group Pretest-Posttest is based on the research goals, as indicated in section 1.2.2 and is represented as 'Why' in table 4.1.

Table 4.1: Research design based on 'why' and 'what'

Constructionist paradigm			
Stages of the research	**Information regarding previous interventions**	**AI approach as an intervention**	**Information regarding the AI approach as an intervention**
Research Design (Experimental design	Pretest stage	Introduce a variable	Posttest stage
Based on the research goals (Why)	Goal 1: Perceptions of previous change interventions	Goal 2: AI introduced as an intervention	Goal 3: Perceptions of AI
What type of data will be collected (What)	• Qualitative • Quantitative	Provocative statements	• Qualitative • Quantitative

(Source: Researcher's compilation)

Table 4.1 indicates the various stages of the One-Group Pretest-Posttest model and the applicability to the research. The Pretest stage is underpinned by the initial research goal of determining participants' perceptions of previous change interventions. After the Pretest stage, AI was introduced with the application of the 4-

D model. This represents the second goal of the research and was followed by the Posttest representing the last research goal.

4.5 Research site

The school selected as the research site is a governing body-funded girls-only English medium secondary school that offers both day and boarding facilities and has a strong focus on achieving excellence. Co-curricular offerings span a wide range of sports and cultural activities, as well as service clubs linked to the broader community. The school's facilities include sports fields, a swimming pool, computer and science labs and a music school.

The school has over 400 learners and caters for Grades 8 to 12. Driven by passion, integrity, and excellence, the school strives to support and respect each individual in a caring environment, bolstered by discipline. It also provides the broadest possible spectrum of activities in order to nurture individuals' strengths. In 2014, 97% of matriculants achieved university degree passes and the remaining 3% achieved diploma passes.

The school's boarding facilities consist of five hostels ranging from small and homely to large and social. The hostels are currently run with the help of a superintendent of hostels and supporting hostel staff (matrons, 'hostel mothers' and kitchen staff).

4.5.1 Selection of the research site

The research was based on AI as an alternative OD approach and not specific to an industry or sector. The selection of a school was based on the association between OD and schools as organisations (Van der Westhuizen, 2013). Schools, like all organisations, also exhibit traits of authority and communication structures that strive to achieve objectives (Van der Westhuizen et al., 2013). The following were further considerations in selecting the school as the research site:

- The school was considering the evaluation of the effect of possible changes due to the appointment of a new principal. Van der Westhuizen (2013) stated that should a school principal become aware of pressure to change from either external or internal forces, a change process should be initiated.

- The organisation structure consists of various levels of seniority. By including all of these levels, the various perceptions of change for different levels of seniority could be explored. As indicated by Rothwell et al. (2010), OD processes can be implemented at various levels as each level in the school experiences change differently.

- The willingness of the school to evaluate OD methodologies to assist in any future planned change interventions.

The population (complete staff complement) of 83 members was targeted for the research: teachers, management, administrative personnel, as well as technical and support staff. Table 4.2 indicates the seniority levels at the school with the representative job titles indicating their occupations.

Table 4.2: Structure of the various seniority levels in the school

Seniority level	Job titles
Senior management	Senior management team, Hostel superintendents, Financial manager, Grounds manager, IT specialist.
Middle management	Grade heads, Matron.
Supervisors	Teachers, House parents, Kitchen manager, Assistant groundsman.
Employees	Hostel staff, Debtors clerk, Personal assistant and Support staff. (For purposes of clarity: employees were refered to as workers in the questionnaires and surveys).

(Source: Researcher's compilation)

It was recognised that if some participants did not understand the purpose and requirements of the surveys, this would compromise the feasibility and efficiency of the research (Teddlie & Tashakkori 2009). Further, questions which are difficult to understand or incorrectly interpreted could be a common error diluting accurate results. Therefore, the following considerations for participation in the surveys needed to be taken into account:

- Ideally to be able to communicate in English as the language of the survey.
- Ability to read and write.
- Availability to participate in the surveys and be physically present.
- Availability of a translator (isiXhosa) to assist with clarification (although school management and participants themselves stated that all participants could read and write English).

The above factors were used in the selection of the site in order to help participants understand the questions and thus provide more meaningful answers.

4.5.2 Target population and sampling

As one of the values of AI is participation, ideally all members of an organisation need to have the opportunity to participate (Anderson, 2012), and the inclusion of staff at all levels would enrich variety and diversity of opinions (Cooperrider et al., 2005).

4.5.3 Target population for quantitative data

The target population consisted of the total staff complement of 83 members. This limited any negativity during the AI intervention as no one felt left out of the process. It also served to provide a layer of data which helped to construct a general picture of the site and also enable more meaningful selection for the gathering of qualitative data to be made.

4.5.4 Sampling for qualitative data

The main purpose of the interviews was to collect qualitative data and also to further verify the quantitative data collected during the surveys. The purpose of the sample was to investigate reactions to change with a manageable group that could be viewed as a reflection of the larger group. The surveys included all staff members but for practical reasons the interview group needed to be sampled (Rossouw, 2003). Due to differing exposure to strategic and management aspects and, thus, views of change processes, purposive sampling involved the selection of individuals at various seniority levels and roles in the school (Teddlie & Tashakkori, 2009). The case criteria considered were the following:

4.5.4.1 Years of service in the school

It was assumed that new ideas and changes had been introduced in past years, and that staff members who had more years of working in the school were likely to have experienced more change.

4.5.4.2 Levels in the school

The participation principle of AI implies the inclusion of all levels of staff in an organisation. To explore the advantages of AI, the change experience needs to be explored at all levels. The specific criteria related to staff levels in the organisation are illustrated below in table 4.3.

Table 4.3: Criteria for selecting staff to be interviewed

Level	Criteria
Senior management	Exposed to strategic planning and management of managers. More than one year's experience with the school.
Middle management	Do have staff reporting to them. More than one year's experience with the school.
Supervisors	Do have staff reporting to them. More than one year's experience with the school.
Employees	Deal with co-employees on a regular basis. More than one year's experience with the school

(Source: Researcher's compilation)

Teddlie and Tashakkori (2009) stated that there is no rule for sample size in qualitative inquiry but to achieve a confidence limit of 5%, a sample size of 22% of the population could be a guideline. Determining a sample size needs to take factors of breadth and depth, and practicality into consideration (Teddlie & Tashakkori, 2009). To be consistent, the same eligibility criteria were applied to interviews as had been used for the surveys as mentioned in table 4.3.

Building on the research methodology illustrated in table 4.1 ('why' and 'what'), table 4.4 below shows the selection of participants ('who').

Table 4.4: Research design based on 'who'

Constructionist paradigm			
Stages of the research	**Information regarding previous interventions**	**AI approach as an intervention**	**Information regarding the AI approach as an intervention**
Research Design (Experimental design)	Pretest stage	Introduce a variable	Posttest stage
Based on the research goals (Why)	Goal 1: Perceptions of previous change interventions	Goal 2: AI intervention	Goal 3: Perceptions of AI
What type of data will be collected (What)	• Quantitative • Qualitative	Provocative statements	• Quantitative • Qualitative
Selection of participants (Who)	• Population for Quantitative • Sample for Qualitative	Population	• Population for Quantitative • Sample for Qualitative

(Source: Researcher's compilation)

The selection of who participated in the research is added in table 4.4 in comparison to table 4.1.

4.6 Research instruments

Every data collection needs to ensure that the most effective and realistic method and instrument is utilised in the data collection process (Rothwell et al., 2010). The data collection of this research was a mixed method approach, with quantitative data (collected by surveys) supported by qualitative data (collected by interviews). As the

surveys and interviews were the instruments of measurement, these needed to be well designed, easy to use and as neutral as possible. Questions had to be clear and unambiguous in order for participants to interpret them correctly. The objective of the questions was to be specific in what was requested, yet to have a consistency in how they were asked (Rossouw, 2003).

The application of quantitative and qualitative data as a mixed method in the context of the research is reflected in table 4.5.

Table 4.5: Application of mixed method research instruments

Type of data	Instrument used	Actual survey and interview schedule used
Quantitative	Survey	Survey 1 (before the AI intervention) Survey 2 (after the AI intervention)
Qualitative	Interview	Interview 1 (before the AI intervention) Interview 2 (after the AI intervention

(Source: Researcher's compilation)

As indicated in table 4.5 above, the research made use of two layers of survey and two layers of interviews.

4.6.1 Survey questionnaire as an instrument

Quantitative data has a special place in research in so far as it extends the range of variables of the investigation with the objectives in terms of statistical and numerical data (Creswell, 1994). Quantitative data was gathered using Survey 1, which was undertaken before the AI intervention, and with Survey 2 which was undertaken after the AI intervention. The change experience of participants was related to the generic data of the participants (gender, race, seniority, and years of service).

4.6.1.1 Survey 1 design

The survey was designed to gather information of the participants' views regarding previous change experiences or OD initiatives. The survey was developed to accommodate the various levels of seniority in the population. It consisted of a basic

set of questions for all levels, additional questions for the middle level, and further additional questions for the senior management level, allowing participants to use self-reporting to express their perceptions (Teddlie & Tashakkori, 2009). Surveys were differentiated according to level of seniority in order to make the questions fit the roles and responsibilities of the participants more appropriately

The four different sections of survey 1 were to accommodate the various levels of exposure to change, and were reflected in various colours of paper to avoid confusion, as indicated in table 4.6 below.

Table 4.6: The various sections of Survey 1

Section	Type of information	To be completed by	Form colour
A	Biographical information	All participants	White
B	Opinions regarding previous change process in general	All participants	White
C	Influence of previous change interventions on managerial aspects	Middle and senior management	Pink
D	Perceived success of previous change interventions	Senior management	Blue

(Source: Researcher's compilation)

Table 4.6 refers to the various sections in survey 1. The purpose of the survey (Survey 1) was to obtain information regarding the participants' views of previous change interventions supporting the first research goal as per section 1.2.2. These four sections (sections A, B, C and D) as per table 4.6, were designed to generate data regarding leadership, values, perceived OD challenges, addressing real issues and views per seniority level. Further descriptions of the various sections as per table 4.6 of the survey were:

- Years of service and seniority levels are associated with leadership in the organisation. Rothwell et al. (2010) stated that research in OD has identified a mixture of experience, knowledge and competencies important to leading

change. **Section A** collected biographical data related to gender, race, years of service, seniority level.

- To effectively lead change, Boyatzis (1998) as cited by Rothwell et al. (2010) listed participation, planning, change and communication among the desired competencies. An additional challenge for leadership is to sustain change as a regular part of organisational life (Anderson, 2012). Sustainability and participation are factors that influence the perception of previous change interventions. **Section B** referred to data specifically related to all participants' opinions of previous change interventions, including leadership, success, participation, and implementation of the changes.

- **Section C** was aimed at middle and senior management and focused on factors that could have influenced previous change interventions, including strength of leadership, climate, and participation. The questions probed the level of success of past initiatives to increase the organisation's effectiveness and adaptability to changing conditions (Brown & Harvey, 2006).

- The perceived success of the interventions is based on the ability of the leadership to utilise OD concepts to achieve strategic objectives (Rothwell et al., 2010). The last section, **section D,** focused on senior management and the questions were directed toward the perceived value OD can add in achieving the school's strategic objectives.

A five-point Likert-scale code allocation was used to provide flexibility in choice for selection by participants when responding. Connolly and Connolly (2005:13) stated that "the five-point scale code is a common format for employee survey work and can be summarised under three different categories: disagree, neutral and agree." The five-point Likert-scale code is shown in table 4.7 below.

Table 4.7: Code allocation

Qualitative scale	Code
Always	1
Frequently	2
Neutral	3
Seldom	4
Never	5

(Source: Researcher's compilation)

To provide consistency, each option on the qualitative scale as per table 4.7, had a value assigned to the answer (Rossouw, 2003). As per table 4.6, the survey was further divided into four sections to be answered by employees, supervisors, middle managers, and senior managers. The sequencing of questions within each category was designed to ease the respondents into a logical sequence (Rossouw, 2003).

4.6.1.2 Survey 2 design

Survey 2 was similar in design to that of Survey 1, but where the questions for Survey 1 dealt with previous OD experiences, the questions for Survey 2 focused on the AI experience. The same five-point Likert-scale code allocation as per table 4.7 was used to provide flexibility in answering the questions. As in Survey 1, various colours of paper differentiated the sections of the questionnaire for the various staff levels to engage with Survey 2, as illustrated in table 4.8.

Table 4.8: The various sections of Survey 2

Section	Type of information	To be completed by	Form colour
A	Generic information	All participants	White
B	Role of AI	All participants	White
C	Effect of AI on the work place	Middle and senior management	Pink
D	Value of AI	Senior management	Blue

(Source: Researcher's compilation)

The sections in table 4.8 were driven by the third research goal, as per section 1.2.2, to determine participants' perceptions of AI:

- **Section A** collected biographical information to support the quantitative data. Data collected included gender, race, years of service, seniority level. This section was applicable to all participants.

- **Section B** referred to data specifically related to participants' perceptions of the ability of AI to solve organisation issues, leadership, the role of values and storytelling as an AI technique. The AI intervention seeks to bring alive the appreciative stories of the organisation (Watkins et al., 2011). All participants complete section B.

- During the intervention of the AI approach, the focus is shifted from 'what is going wrong' to an appreciative and positive energy searching innovative solutions (Anderson, 2012). **Section C** explored what effect the AI intervention was perceived to have on the school's activities/operation. This section is applicable to middle and senior management.

- **Section D** was designed to determine a sense of the value of AI as an alternative way of seeing the world and to what extent it was understood to have resulted in a new perspective on organisation challenges (Watkins et al.,

2011). This last section also focused on senior management's views of applying AI in the future.

4.6.1.3 Validity

The validity of quantitative data means that the scores received in the instrument used (surveys) were meaningful indicators of what was measured (Creswell & Clark, 2011).

The indicators were based on whether the design was in alignment with the research purpose and subsequent goals and objectives as per section 1.2.2. A measure of the validity of the data was to ascertain whether the data collected was truly a reflection of what was intended to be collected/measured (Teddlie & Tashakkori, 2009).

The following aimed to ensure that the theoretical concepts were measured:

- The questions were based on the principles and, more specifically, the practices of AI. The principles and practices of AI were represented in a survey developed to gather information regarding an AI approach at Canadian Tire (Cooperrider et al., 2005).
- The survey questions as used at Canadian Tire were adapted to this research and aligned with the goals and objectives of this research. A pilot run of the survey was done with staff from Family and Marriage Society of South Africa (FAMSA) to establish the interpretation and applicability of the questions.
- The different types and range of questions for the applicable seniority levels in the school (Dooley, 1995) ensured the appropriateness and usefulness of the specific inference made from the measures. The survey questions were aligned to extract different viewpoints applicable to the various seniority levels. The specific seniority levels and roles in the school (due to their different exposures to strategic and management aspects) were selected through purposive sampling. By repeating the same method of sampling and using the same combination of seniority and role levels, it is assumed that the same inferences can be drawn from a larger population as in the research sample (Creswell & Clark, 2011).
- After the pilot run, those questions that were considered to not fully address the intended matter were edited for clarity.

Lichtman (2014) stated that checking (confirming what was intended) and verifying qualitative and quantitative data ensures proper validation between question and answer. The same group was involved in the Pretest and Posttest for qualitative and quantitative data supporting a 'truer' reflection of participants' views with limited interpretation by the researcher. This, together with the strong link between question and answer, resulted in a mixed measure, assessing the overall validity of data.

4.6.1.4 Reliability

Reliability refers to the repeatability of the findings. The surveys were conducted with the same group and, the assumption is that if they were repeated in a similar way, the responses would be the same (Teddlie & Tashakkori, 2009). Variations of the repeated measurement would be accurately determined by evaluating the process as the only possible variable. The following are aspects that contributed towards the inference that the data obtained was reliable:

- The same group of school staff participated in the two surveys to ensure that the data obtained would be consistent. It is assumed that a retest correlation would remain the same when based on the same group and the same questions applicable to their seniority and experience level.

- A string correlation of the same results could be expected If the same process and presentation is followed explaining the purpose of the surveys and the relevant questions.

- Participants were provided with assurances that the information provided is confidential. This provided a consistent and safe environment for reliable data collection.

4.6.2 Interview questionnaire as an instrument

As organisational change can mean different things to participants, the probing for data is important to enhance qualitative data, and interviews are frequently used with other data collecting methods. Lichtman (2014:12) defined qualitative research as "a way to study social interactions of humans in naturally occurring situations. The researcher plays a critical role in the process by gathering data and making sense of interpreting the phenomena that are observed and revealed". Due to the intensity of

an OD intervention, the interpretations of experiences, feelings and motivations are obtained through the collection of qualitative data via interview. An interview is regarded here as a conversation with structure and purpose as determined by the interviewer (Kvale, 2007). It is regarded as a situation where interviewees may reveal their feelings, intentions and meanings regarding a topic, situation, or idea (Lichtman, 2014). As such, interviews are the key information-collecting method used to describe, compare, or explain individual and societal knowledge, feelings, values, preferences, and behaviour (Fink, 2013).

4.6.2.1 Interview 1 design

In Interview 1, the questions explored experiences with previous OD interventions at the school. The design layout of interview 1 is similar to the survey 1 design layout and is reflected in the table 4.9 below:

Table 4.9: The various sections of Interview 1 questionnaire

Section	Type of information	To be completed by
A	Biographical information	Sample participants
B	Opinions regarding previous change processes in general	Sample participants
C	Influence of previous change interventions on managerial aspects	Sample middle and senior management
D	Perceived success of previous change interventions	Sample senior management

(Source: Researcher's compilation)

The four different sections of interview questionnaire 1 were to accommodate the various levels of exposure to change, as indicated in table 4.9:

- **Section A** collected biographical information from all the sample participants.
- **Section B** referred to data specifically related to all participants' opinions of previous change interventions related to the first goal and include leadership,

success, participation, and implementation of the changes. This was completed by all of the sample participants.

- **Section C** was aimed at the sample of middle and senior management and focused on factors that could have influenced previous change interventions, including strength of leadership to facilitate and implement change and the perceived freedom to participate in change process.

- **Section D** focused on the sample of senior management and the questions were directed toward the perceived value that OD can add in achieving the school's strategic objectives. It is anticipated that senior management could have perceptions of how changes processes can contribute towards strategic imperatives.

4.6.2.2 Interview 2 design

The questions in Interview questionnaire 2 were focused on the sample's experiences after the AI intervention. The sections indicated who needs to complete the sections, and the various types of information required from the different seniority levels.

The interview questionnaire 2 was similar in design to that of survey 2, focusing on the AI experience. The various staff levels' exposure in the questionnaire is as per table 4.10.

Table 4.10: The various sections of Interview 2

Section	Type of information	To be completed by
A	Generic information	Sample participants
B	Role of AI	Sample participants
C	Effect of AI on the work place	Sample middle and senior management
D	Value of AI	Sample senior management

(Source: Researcher's compilation)

- **Section A** collected biographical information such as gender, race, years of service, seniority level. This section is applicable to all the sample participants.

- **Section B** referred to data specifically related to participants' perceptions of the ability of AI to solve organisation issues, leadership, the role of values and story-telling as an AI technique. Section B is also applicable to all sample participants.

- **Section C** explored what effect the AI intervention was perceived to have on the school's activities/operation. This section is applicable to the sample of middle and senior management.

- **Section D** focused on the sample senior management's views of applying AI in the future.

4.6.2.3 Qualitative data

While validity and reliability are concepts used to aim at credible quantitative data, concepts of credibility, transferability, dependability and confirmability are appropriate when working with qualitative data. Teddlie and Tashakkori (2009) based the credibility of qualitative data on the intent to understand the social reality experienced by the participants.

- *Credibility* requires that the research reports "are credible to the constructors of the original multiple realities" (Lincoln & Guba, 1985 as cited by Teddlie & Tashakkori 2009:209). The data and analysis reports can be traced back to the participants and the core data (interview) will increase the credibility of the information gathered.

- *Dependability* requires that if the exercise is to be repeated, with similar participants and context, the results will be the same (Teddlie & Tashakkori, 2009). There is a strong belief that the qualitative results of this research will be the same as no extraordinary circumstances or specific incidents were present during the collection of the data. It is therefore concluded that given the same situation, the results will be similar.

- *Transferability* was based on an assumption that if similar underpinnings as the vision, mission, values, and work ethic of the research site are present in another school, the results are likely to be similar.

- *Confirmability* was obtained by the researcher to maintain focus on the topic of research and to avoid any biased interpretation of processes and information. Previous experience that could influence interpretation was put aside, and the research was seen as an 'independent' experience. This was enhanced by an audit trail to allow any observer to trace the course of the research step-by-step through the decisions and procedures described.

With reference to table 4.1 ('what' and 'why') and table 4.4 ('who'), table 4.11 below adds the applicable instruments ('how') to the research methodology.

Table 4.11: Research design based on 'how'

Constructionist paradigm			
Stages of the research	**Information regarding previous interventions**	**AI approach as an intervention**	**Information regarding the AI approach as an intervention**
Research design (experimental design)	Pretest stage	Introduce a variable	Posttest stage
Based on the research goals (why)	Goal 1: Perceptions of previous change interventions	Goal 2: AI intervention	Goal 3: Perceptions of AI
What type of data will be collected (what)	• Quantitative • Qualitative	Provocative statements	• Quantitative • Qualitative

Stages of the research	Information regarding previous interventions	AI approach as an intervention	Information regarding the AI approach as an intervention
Selection of participants (who)	• Population for Quantitative • Sample for Qualitative	Population	• Population for Quantitative • Sample for Qualitative
What instruments or methods will be used to collect data (how)	• Survey for Quantitative • Interview for Qualitative	Part of the Design stage will be a provocative statement list	• Survey for Quantitative • Interview for Qualitative

(Source: Researcher's compilation)

In the above table 4.11 the research instruments were added as the 'how' information.

4.7 Data collection process

The data collection process is outlined in table 4.12 below.

Table 4.12: Data collection process summary

Steps	Method	Participants	Objective	Time interval
Introductory briefing (Define stage of AI)	Presentation	Senior Management	To conceptualise this research with the change initiative of the school	After the initial meeting with the school principal
Participation briefing	Presentation	All participants	To explain the purpose of the data collection process and emphasise that participation is voluntary	Held after initial session with the school management
First survey (Survey 1)	Questionnaire (quantitative data)	All staff	To gather information about experiences of a previous change experience or OD initiative	After the introductory briefing

Steps	Method	Participants	Objective	Time interval
First interview (Interview 1)	Interview (qualitative data)	Selected sample	To gather qualitative data on how previous change intervention was experienced	Two days after Survey 1
AI intervention (4-D model of AI)	Presentation and group work	All staff	To introduce the 4-D AI model with pro-vocative statements as the tangible result	Three weeks after Interview 1
Second survey (Survey 2)	Questionnaire (quantitative data)	All staff	To gather data from the participants regarding their understanding of the AI methodology and potential advantages compared to previous change interventions	Immediately after completion of the AI intervention
Second interview (Interview 2)	Interview (qualitative data)	Selected sample	To gather qualitative data regarding the experience of AI	After completion of Survey 2

(Source: Researcher's compilation)

With reference to the summary in the above table 4.12, the various steps in the process are described below:

4.7.1 Introductory briefing

A brief presentation was given by the researcher to the senior management of the school. 'Organisational change' was explained with the assumption that senior management were not familiar with the terminology. Examples of typical change processes were also provided. Based on the introductory briefing (regarded as the Define stage of AI), the school management decided to grant approval for the initiation of the purposed AI approach intervention.

4.7.2 Participation briefing

All participants were briefed regarding the purpose of the data collection process. Confidentiality and the processes of participation were explained in order to assist participants to feel comfortable in completing both the surveys and interviews. It was

further explained that participation was voluntary and that individuals could withdraw at any time in the process.

4.7.3 First survey (Survey 1)

The first survey (Survey 1) was conducted by the researcher to obtain data on how participants experienced previous organisation change interventions.

Before commencement of Survey 1, the school principal welcomed all staff and explained the role of the researcher. This was followed up with a brief presentation by the researcher on the context of the survey and the process to follow. 'Organisational change' was explained and defined, and examples of typical change interventions were provided. The research was focused on the experiences of change rather than on the success of particular change interventions at the school itself.

Participants were encouraged to avoid general management aspects and staff issues that were not relevant to the research to ensure that the focus was only on change interventions and the elements conducive to a climate of change. Participants who had recently joined the school were welcome to draw on previous change experiences outside the school environment. The Survey 1 is attached as Appendix A.

It was recognised that there was a possible risk that the association with previous change attempts might introduce a bias influence, because respondents are unlikely to be aware of the causes of past unintentional behaviours. This is supported by Foddy (1993:90) who stated that "even when respondents have been exposed to a particular event, there is no guarantee that they will have taken in much information about it."

4.7.4 First Interview (Interview 1)

The first interview (Interview 1) was held with a selected sample of school staff as described in section 4.6.1, in order to validate and confirm information obtained in the first survey (Survey 1).

During the interviews, the questions regarding previous change interventions were probed for experiences and to explore perceptions in more detail (Lichtman, 2014). The responsibility was therefore on the researcher to encourage the interviewees to disclose their experiences regarding previous change experiences. A trust relationship and guaranteed confidentially were important factors: all efforts were made to create

a relaxed and conducive atmosphere. After each interview, a debriefing was incorporated and participants were thanked for the contributions made (Kvale, 2007).

The interviews were conducted as per the groups indicated in table 4.6. The members reflected their own experiences as per the questions. An example of the Interview 1 questionnaire is attached as Appendix B.

4.7.5 The Appreciative Inquiry intervention

For the next step in the data collection process, the research participants gathered for the practical application of AI. The objective was to demonstrate AI and the step-by-step application of the four stages (4-D model), as described in chapter 3.

The participants expressed eagerness to participate and 'to live' the experience. To fit into the operational activities of the school, four hours were set aside to complete the AI process. A preferred scheduling of more hours over a two-day period was not possible due to the school staff's operational commitments. The researcher facilitated the AI intervention by explaining the AI process.

The session was begun with an explanation of the day's activities. The planned intervention was positioned in terms of the process and linked to the first data collection (Survey 1 and Interview 1) as well as the (then) planned data collection after the intervention. This was followed with a brief overview of OD as a change mechanism. This was presented against the background of the differences between OD and change management (as per section 2.3). AI was then explained as an alternative approach. The principles of AI with emphasis on aspects such as the positive core, provocative statements and storytelling were explored. Members were encouraged to actively participate in the session and through the various stages of the 4-D model arrived at the Destiny stage which encapsulated the plans. The slides used during the AI presentation are attached as Appendix C.

4.7.5.1 Discovery

After an explanation of the purpose and the expected outcomes of the Discovery stage, participants (the school' staff compliment) were divided into smaller groups (5 to 7 participants) from the same work areas and seniority levels. This was an important step as it allowed participants to 'associate' with the similar work situations. Groups

were then encouraged to 'interview' each other with the following as guideline questions:

- Describe a high point in your work experience.
- What are the things you value about your work?

Groups were requested to probe answers and note down the responses together with associated values and emotions. Through the group sessions, each group produced a list reflecting a high point in their work experience supported by aspects of what individuals valued about their work and work environment. Groups were then asked to reframe their perception of the school/work area in view of these positive stories.

4.7.5.2 Dream

During this stage, participants were urged to 'dream' about the ideal school environment. Attention was given to creating a relaxing and conducive atmosphere for the participants to construct the ideal future within their groups. The groups were encouraged to:

- Amplify the positive core as identified during the previous Discovery stage.
- Dream without boundaries with an imaginary 'what if' starting point.
- The vision and mission of the school were included as a reference point.
- Dreaming was portrayed as a journey of mutual discovery, not an analytical journey.
- Storytelling was the medium of sharing the dream and participants were persuaded that stories should be valued rather than critiqued, judged or analysed.

After completion, each group reported to the main group regarding their dream statements.

4.7.5.3 Design

This was followed by the Design stage where participants had the opportunity to design the dreams and bridge the best of 'what is' and 'what might be'. The McKinsey 7S design framework was used to assist participants to categorise their Design according to the framework's hard and soft elements as outlined as per section 3.11.4.5.

Provocative statements were used as a means to reflect the design. The characteristics of the provocative statements were explained by the researcher to the group. The group was requested to categorise the 'how can it be' into design elements, topics and the supportive provocative statements. This resulted in a structured document. The various groups reported their provocative statements to the bigger group. A summary of the provocative statements is included in Appendix D.

4.7.5.4 Destiny

In the final stage, Destiny, the groups were asked to adjust their provocative statements to include practical steps to be incorporated into daily school life. The groups also had the opportunity to document the steps necessary to adopt a learning culture.

The provocative statement is not a wish list from participants to management in anticipation that management needs to provide solutions. As noted in Chapter 3, a key aspect of AI is the involvement of all members. The provocative statements are therefore a commitment from all participants which will drive the change. To ensure further momentum to the intervention in the future, the following process was suggested to the school to continue on a quarterly basis:

- A session where the provocative statements were prioritised.
- Teams to be allocated to drive the statements.
- If further detail regarding a specific statement is required, an AI intervention, focussing just on that particular topic, to be initiated.
- The establishment of a learning culture to enable adoption of the provocative statements.

- As far as possible, members representing all levels to participate in driving the provocative statements.

- The group working on a particular statement to provide feedback to the bigger group regarding progress.

- The collective management role was to be one of support and guidance against the vision/mission, setting up feedback sessions, and influencing group selections to drive a particular statement. Management members might need to be involved as individuals in driving selected statements, but would participate as group members.

4.7.6 Second Survey (Survey 2)

The objective of Survey 2 differed from Survey 1 in that the focus shifted from previous change interventions to AI as a change intervention. As in Survey 1, questions were directed to all levels, - with strategic and managerial questions added for the appropriate higher seniority levels.

The researcher conducted the survey by explaining the questions and probed for further explanations. After discussions, participants wrote down their own responses to the questions. As Survey 2 was conducted on the same day immediately after completion of the AI intervention, any perceived degrading of the application experience due to memory loss was mainly avoided. Forgetting will be maximal when asking for details of one out of many similar incidents (Baddeley, 1979 as cited by Foddy, 1993). Therefore, the most reliable strategy was to ask only about the last occurrence of any given event. An example of the Survey 2 questionnaire is attached as Appendix E.

4.7.7 Second Interview (Interview 2)

Survey 2 was followed-up with Interview 2 in order to obtain information that is more detailed and to validate survey information. The sampling was similar to that for Interview 1 (as described in section 4.7.4) and conducted by the researcher. The researcher followed the same process as was done in Interview 1. An example of Interview 2 is attached as Appendix F.

4.8 Data analysis

Data analysis is concerned with sensitising researchers to the use, interpretation, and evaluation of relevant data rather than with the more formal understanding of statistics (Rose & Sullivan, 1993). The qualitative and quantitative data collected during the interventions at the school were analysed separately (Creswell & Clark, 2011).

4.8.1 Analysis of qualitative data

The qualitative data was collected through the Interviews 1 and 2. Interview 1 was undertaken before the AI intervention, whereas Interview 2 was conducted after the AI intervention.

Thematic analysis was selected as a methodology to analyse qualitative data and is described by Boyatzis (1998:4) as a "process for encoding qualitative information requiring an explicit code or theme". The thematic analysis is essentially a method for identifying and analysing patterns in qualitative data.Thematic analysis as a method is viewed by Clarke and Braun (2013) as theoretically flexible and analytic. The method was applied in the following steps:

4.8.1.1 Understanding the data

As an initial step in the process, the data collected was read through carefully to ensure the data related to the research statement and goals. Additionally, going through the data provided an initial sense of meaning and pattern-forming. Clarke and Braun (2013) support this initial step by stating that familiarisation with the data is common to all forms of qualitative analysis and can be obtained by re-reading the data and noting any initial analytic observations.

4.8.1.2 Generating initial codes

The data relating to the same themes was collated. Steps indicated by Boyatzis (1998) were used to define a coding framework and themes in order to analyse the data. The names or labels of the codes selected were supportive of the research goals. This approach is supported by Attride-Stirling (2001) who states that selection is done on the basis of the theoretical interests guiding the research questions. The research goals therefore pre-established the criteria for the coding framework and set the boundaries.

4.8.1.3 Selecting related themes that cluster the codes

According to Clarke and Braun (2013), a theme is a coherent and meaningful pattern in the data relevant to the research question. Once the coding was completed against the coding framework, the selected codes were sorted against potential themes. When identifying a theme, the broader content of the theme was conceptually measured to ensure consistency. The following were used in defining a theme:

- Definition of what the theme is about.
- How to identify the theme.
- What qualifies or excludes a theme.
- Examples of themes.

4.8.1.4 Review of the themes

Reviewing involves checking that the themes 'work' in relation to both the coded extracts and the full data-set (Clarke & Braun, 2013). In reviewing the themes Attride-Stirling (2001) emphasised that themes should be (i) specific enough to be discrete (non-repetitive), and (ii) broad enough to encapsulate a set of ideas contained in numerous text segments. This reduces the data into a more manageable set of significant themes that succinctly summarise the text.

The review was also based on the relationship between data and the respective themes. Data that did not fit into any theme was collected and evaluated whether it/they formed a coherent pattern.

4.8.1.5 Defining and naming the themes

Documenting the process consists of weaving together the analytic narrative and data extracts to tell the reader a coherent and persuasive story about the data (Clark & Braun, 2013). The description or essence of the themes was captured in the overall narrative of the specific theme. Sub-themes were identified and analysed to ensure the fit against the main theme.

The themes were aligned with the research goals and objectives stated in section 1.2.2. The questions in the interview were selected to obtain input towards the

research objectives. The data collected was labelled and labels with similar meaning were collated as codes. Codes of similar meaning were grouped together as themes.

In table 4.13 an example of the first objective (perceived challenges of previous change interventions) is illustrated. Due to the number of themes, only an extract is presented.

Table 4.13: Extract from the qualitative data analysis

Theme	Code	Label
Change challenges	Communications	Planning
	Involvement	Input
		Effort
		Exclusion
	Top down management	Control

(Source: Researcher's compilation)

Thematic analysis was used to label and categorise the data into codes and themes as in the steps described in section 4.8.1. NVivo software was used to organise and analyse non-numerical or unstructured data collected from the surveys (Welsh, 2002). The software allowed the written data to be classified, sorted and arranged within relationships. The data collected was labelled and categorised into codes and themes. NVivo was useful in mapping out diagrammatically how the themes and codes relate to each other.

4.8.2 Analysis of quantitative data

Nominal and ordinal categorical data (data where values are known) was gathered to determine the relationship between the seniority levels or categories of the samples.

4.8.2.1 Nominal data

Nominal data was described by Agresti (2002) as categories without a natural ordering. Numerical values were assigned to categories as codes. This was applicable

to the generic information for both surveys. The biographical information consisted of the following as illustrated in table 4.14 below:

Table 4.14: Selection of survey and interview fields per category

Category	Selection of fields
Gender	Male, Female
Race	African, Coloured, Indian, White, other
Years of service	Less than 1 year, 1-3 years, 3-7 years, 7-11 years, 11-15 years, 15 years plus
Work level	Employee, Supervisor, Middle management, Senior management

(Source: Researcher's compilation)

4.8.2.2 Ordinal data

Ordinal data was described by Agresti (2002) as variables that have ordered categories. Numerical values were assigned in accordance with a qualitative scale in coding the questionnaire. In analysing the data, the Fisher's exact test was used which is a statistical significance test used in the analysis of contingency tables (Agresti, 2002). This was to analyse data related to participants' experiences with previous change interventions supportive of the first goal of the research. The data resulting from the categories as per table 4.8 was in support of the third goal of the research and specifically the objectives of:

- Determining the values associated with AI.
- Determining whether AI will be applied in the organisation in the future.

The questions in the surveys were categorised against the code allocation as per table 4.7.

4.9 Ethical considerations

Bloor and Wood (2006) stated that ethics are related to specific professions' self-regulated actions in protecting participants. Before commencing on data collection, approval was obtained from Rhodes University's Department of Management's Human Research Ethics Committee. This is aligned with many universities' required approval for proposed research (Bloor & Wood, 2006).

The principal ethical guideline that was followed was to avoid any correlation between participants and their responses to survey and interview questions. As an initial step, the participants' names, or the school, or research site were not disclosed in any documentation. The questions were focused on the relevant topics throughout the interviews and analyses of the data.

Before the surveys and interviews, participants signed a voluntary consent (Appendix G) form which explained the purpose and process, and stated that the participant could withdraw at any stage without any repercussions. During the interviews, possible stress was reduced by ensuring a relaxed atmosphere and reassuring participants of the consent guidelines (Kvale, 2007). It was also ensured that the names of participants did not appear on any documentation (survey and interview questionnaires). Collecting and analysing the data were carried out within the ethical guidelines of research: respect for participating individuals, their knowledge, and their democratic values.

4.10 Summary

This chapter discussed the research design and methodology followed to meet the research purpose, goals and objectives stated in section 1.2.2.

Quantitative and qualitative data collection as a mixed method was selected to accommodate both the statistical information and experiences of previous interventions and the AI intervention. Based on the AI principles of 'involvement of all' as referred to in Chapter 3, the research accommodated all the levels in the school consisting of senior management, middle management, supervisors, and employees. Research questions concerning management matters could only be aimed at the senior and middle management due to the lack of exposure to such by supervisory and work levels.

Experimental design was discussed with reference to its alignment with the research goals. The population, sample, research instruments, and data collection were discussed. The chapter concluded with an overview of ethical considerations.

In the following chapter (Chapter 5), the findings and discussion are presented. The chapter reflects the analysis of the collected data against the research purpose, goals, and objectives.

CHAPTER 5: FINDINGS AND DISCUSSION

5.1 Introduction

The previous chapter discussed the methodology used to answer the research statement of AI as an alternative OD intervention. This chapter presents and discusses the findings of the research. The findings are based on the qualitative and quantitative data collected and analysed in the context of the goals and objectives stated in section 1.2.2.

To contextualise the findings, section 5.2 of this chapter provides an overview of the participants' biographical indicators. Section 5.3 presents and discusses the research findings in order to address the goals and objectives. This is in support of the research purpose to identify challenges in classic OD processes and explore AI as an alternative to minimise shortcomings.

The data collected against the goal of determining participants' views of previous change interventions (goal 1) is discussed in section 5.3.1. The discussion focuses on challenges, leadership required during change and the perceived effectiveness of change, as per the goals and objectives identified in section 1.2.2.

In section 5.3.2 the importance of provocative statements is discussed in the context of the objective supporting the second goal of the research: the application of the four stages of AI (goal 2). The perception of AI is discussed in section 5.3.3 with reference to the values AI can establish, addressing real issues, and establishing the significance of AI as alternative OD (goal 3). This aligns with the third goal and its objectives stated in section 1.2.2.

5.2 Participants' biographical data indicators

This section presents descriptive statistics of biographical data indicators. The data collected from the participants were from four different interactions. Survey 1 (quantitative) and Interview 1 (qualitative) explored previous change experiences. This was followed by Survey 2 (quantitative) and Interview 2 (qualitative) reflecting participants' views of AI after the AI intervention. The raw data of Survey 1 and 2 (quantitative) pertaining to this biographical information is presented in table 5.1 below.

Table 5.1: Biographical information of Survey 1 and 2

		Survey 1		Survey 2	
		Number	**Percentage**	**Number**	**Percentage**
Gender	**Male**	17	28,8%	10	18,5%
	Female	42	71,2%	44	81,5%
Race	**African**	22	37,3%	21	38,9%
	Coloured	11	18,6%	9	16,7%
	Indian	0	0,0%	0	0,0%
	White	24	40,7%	21	38,9%
	Other	2	3,4%	3	5,6%
Years of experience	**< 1year**	7	11,9%	9	16,7%
	1 - 3 years	10	16,9%	8	14,8%
	3 - 7 years	17	28,8%	14	25,9%
	7 - 11 years	6	10,2%	8	14,8%
	11 - 15 years	5	8,5%	6	11,1%
	< 15 years	14	23,7%	9	16,7%
Work level	**Employee**	30	50,8%	28	51,9%
	Supervisor	14	23,7%	9	16,7%
	Middle management	6	10,2%	7	13,0%
	Senior management	9	15,3%	8	14,8%
	Unknown	0	0,0%	2	3,7%
Total participants		59		54	

(Source: Researcher's compilation)

The population (total number of staff employed by the school) at the time of data collection was 83. Table 5.1 represents the number of actual participants in Survey 1 and 2 as well as the percentage in terms of the population. The high percentage female participation (71.2% and 81.5%) can be attributed to hostel and cooking staff who are mainly female. As responses could depend on the experience level and seniority level of staff members, the results indicate that the years of experience are evenly split. It is noteworthy that the highest number (23.7%) is staff with more than 15 years' experience, indicating a low turnover of staff. However, during the

introductory and preparation meeting between the researcher and the school management, the school advised that some staff would not be able to participate in the research due to operational requirements (for example staff directly involved in meal preparation). Therefore a lesser number of staff participated in Survey 2 than Survey 1.

Table 5.2: Biographical information of Interview 1 and 2

		Interview 1		Interview 2	
		Number	Percentage	Number	Percentage
Gender	**Male**	4	20,0%	4	23,5%
	Female	16	80,0%	13	76,5%
Race	**African**	3	15,0%	3	17,6%
	Coloured	7	35,0%	4	23,5%
	Indian	0	0,0%	0	0,0%
	White	10	50,0%	10	58,8%
	Other	0	0,0%	0	0,0%
Years of experience	**< 1year**	2	10,0%	1	5,9%
	1 - 3 years	4	20,0%	4	23,5%
	3 - 7 years	7	35,0%	5	29,4%
	7 - 11 years	2	10,0%	3	17,6%
	11 - 15 years	2	10,0%	2	11,8%
	< 15 years	3	15,0%	2	11,8%
Work level	**Employee**	4	20,0%	5	29,4%
	Supervisor	2	10,0%	2	11,8%
	Middle management	9	45,0%	4	23,5%
	Senior management	5	25,0%	6	35,3%
	Unknown	0	0,0%	0	0,0%
Total participants		**20**		**17**	

(Source: Researcher's compilation)

5.3 Findings related to the research goals

This section presents and discusses the research findings in order to address the goals and objectives stated in section 1.2.2, and supports the research purpose to identify challenges in classic OD processes and explore AI as alternative OD for today's organisations. The findings are listed per goal and per objective with an indication of whether the data was obtained through qualitative or quantitative methods.

5.3.1 Findings related to the first goal

Goal 1 was to determine participants' perceptions regarding previous change intervention processes, and corresponds to the Pretest stage as identified during the experimental design and is referred to in section 4.4. The goal was supported by the following objectives:

- Explore participant's perceived challenges of previous change interventions.
- Determine if strong leadership was a decisive factor during previous change interventions.
- Determine the effectiveness of previous change interventions.

5.3.1.1 Challenges of previous interventions (objective 1.1)

Table 5.3 lists the perceived challenges to the success of change initiatives, as identified by senior and middle management. (Non-management levels were not included as they, due to their limited exposure to strategic planning would have restricted knowledge of change initiatives in the school.)

Table 5.3 below illustrates respondents' views, as collected from the first interview, on the major challenges encountered.

Table 5.3: Change challenges

Change challenge	Percentage of sample
Fear of change	20,7%
Insufficient leadership	17,20%
Limited benefit of the change	13,80%
Insufficient 'input' from participants	10,30%
Fail to see the 'bigger' picture	10,30%
Limited communication	10,30%

(Source: Researcher's compilation)

Table 5.3 lists the most challenging aspects experienced with change and the percentage associated with the related challenge. The percentage reflects the portion of the sample who associated with the change challenge.

Respondents' views, as collected from the first interview also indicated that 61% of the middle management participants did not feel involved during previous change interventions. Of this 61%, 70% had less than 7 years' experience in the school. This is an indication that new middle managers had not been included in previous change interventions. Of those who selected 'fear of change', 83% had had less than 11 years' experience in the school.

The fear of change can be associated with changing mind-sets and attitudes and the 'fear of doing things differently'. When probed during the interview process on what the actual 'fear' of change represents, a high number (40%) related to 'feeling excluded' as a contributor to the fear. The following quotations collected from participants in the interview questionnaire are illustrative:

- "Staff members fear change as they might not be able to cope with it. An example is new technology" (middle manager 7–11 years' experience, female, coloured).

- "Anxiety regarding change may come through and can be influenced by the way leadership handles it" (senior manager, 7–11 years' experience, female, white).

'Insufficient leadership' was identified as per table 5.3 as the second most significant (17%) contributor to change challenges. During the interviews, respondents indicated the following concerns as aspects that manifest as insufficient leadership:

- Lack of communication regarding the change process itself.

  Failure to communicate about the intention and purpose of the planned change process did create the impression management 'jumped' the change on staff to catch them off-guard. The lack of communication could be interpreted by staff as 'being excluded'. The communication needs to be extended during the change process so that all participants are aware of what steps are next. Communication starts with the clear identification of the goals and expected outcomes as indicated by this percentage and supported by Anderson (2012) in section 2.8.4. Clarity regarding the follow-up process, limits any challenges for the current as well as future change initiatives.

- Management driving the change and not including/consulting staff.

  Staff do not only want to be communicated to, but also it was felt that their views were not listened to during previous interventions. This has echoes of the top-management approach referred to in section 2.8 stating that resistance decreases with the increase in staff participation. The manner in which their involvement is sought and utilised will further encourage participation. Participants want to be empowered to contribute toward meaningful solutions (Brown & Harvey, 2006). The ability to participate needs to be unconditional and without any fear or repercussions (Elliott, 1999).

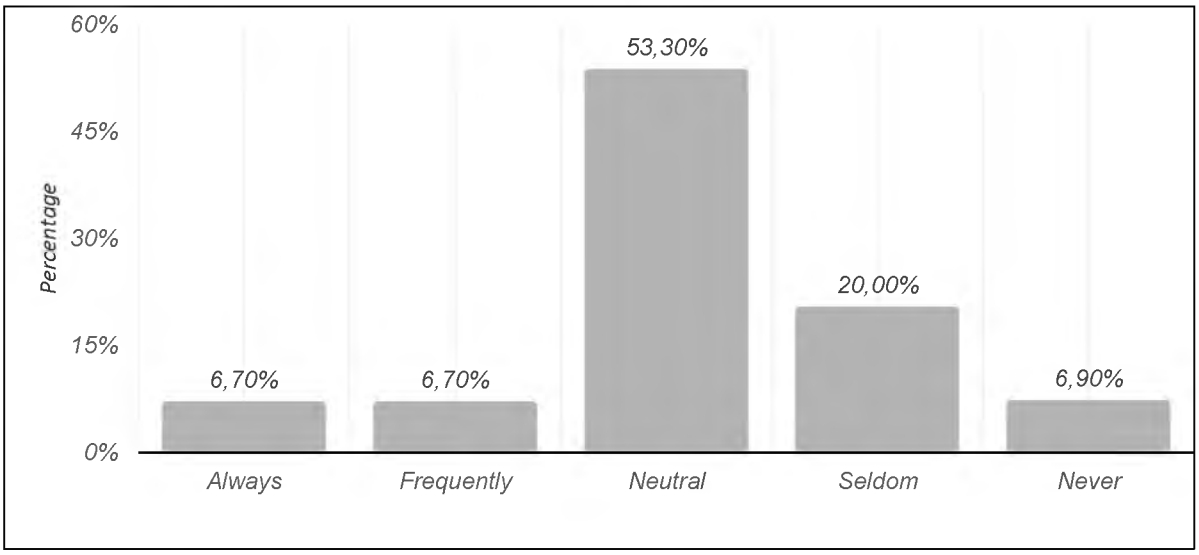
- Not allowing enough time for the change process to be completed.

  It was indicated that not enough time was available to invest in change activities. During the initial planning for the change activities, ample time needs to be allocated, not only for the change interventions, but also to

accommodate participant's fear, scepticism and uncertainty around change (Anderson, 2012).

The range of responses, collected from the first interview, concerning any change process applied in previous interventions is summarised in diagram 5.1 below.

Diagram 5.1: Change processes during previous interventions



(Source: Researcher's compilation)

Diagram 5.1 indicates if a particular process was followed during a previous perceived change intervention at the school. The high neutral score (53.3% in diagram 5.1) indicates uncertainty or no knowledge whether any process or change model had been used.

It was also discovered that there was a sense of uncertainty around why previous change interventions were initiated or the objective of these interventions. The following were quotes from the interview questions regarding what participants think were the reasons for previous change interventions:

- "What I thought the reasons was, was actually not the reason – finding the reason is still a mystery" (employee, 3-7 years' experience, female, coloured).

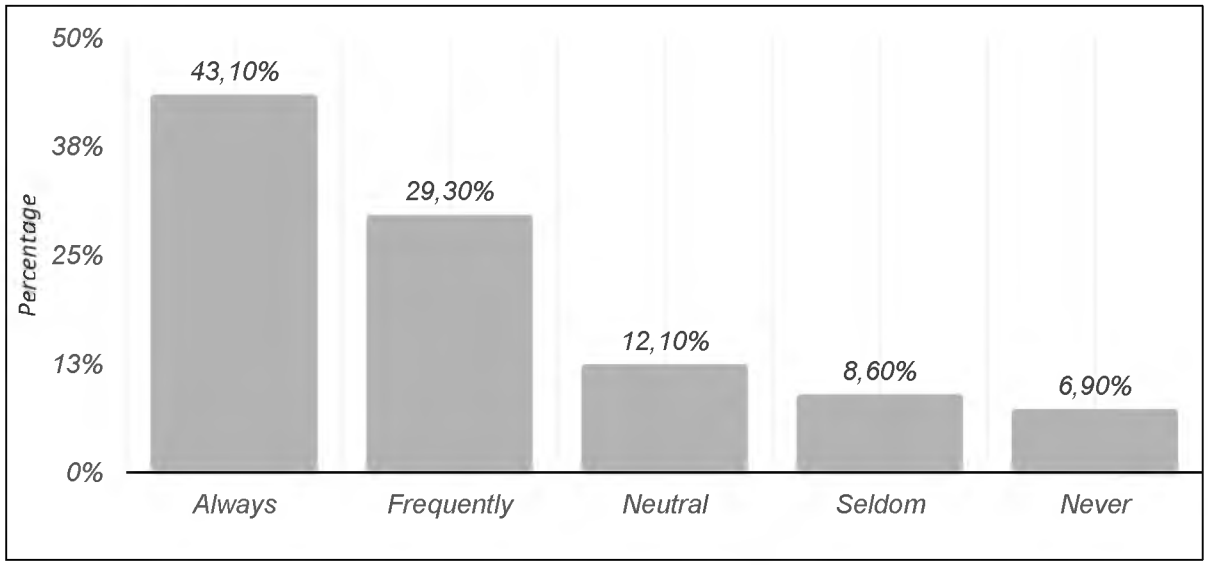
- "It was not discussed or made clear to staff and made me feel unsure and unsafe" (middle manager, 3-7 years' experience, female, coloured).

During the interviews the word 'think' and 'assume' were mentioned regularly, indicating that the reason for change interventions was not clearly communicated.

5.3.1.2 Leadership in previous change interventions (objective 1.2)

The role of leaders in change is to ensure stability through a clear vision and systematic process (Brown & Harvey, 2006). As discussed in section 2.8.1 leaders themselves should be comfortable not only with the change process followed, but also with the potential benefits the change will bring. Diagram 5.2 reflects data obtained from the first survey investigating if strong leadership is a decisive factor for a successful change intervention.

Diagram 5.2: Strong leadership as a decisive factor



(Source: Researcher's compilation)

With reference to diagram 5.2 the high combined percentage of participants selecting 'always' and 'frequently' was a strong indicator that the lack of strong leadership could result in an unsuccessful change intervention. Such an unsuccessful intervention could also negatively influence confidence in future interventions. This is supported by Rothwell et al. (2010) indicating that strong leadership is indispensable for successful implementation of OD. Strong leadership is decisive in successful change as staff look up to the leaders to provide direction and especially during a potentially unstable change period (Anderson, 2012).

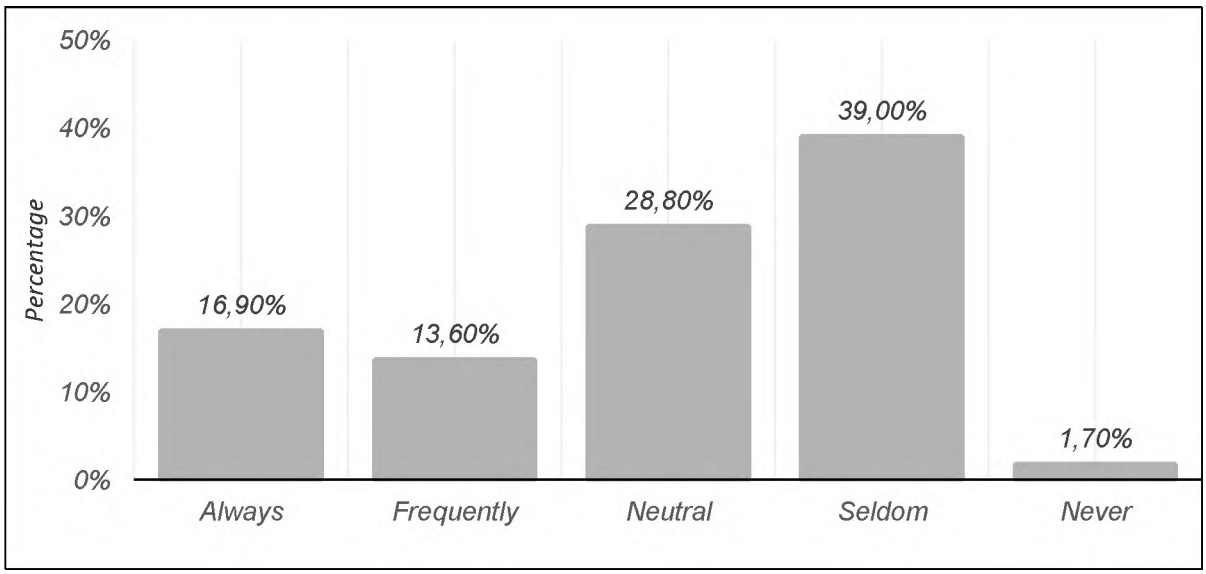
5.3.1.3 Effectiveness of previous change interventions (objective 1.3)

The third objective (objective1.3) for the first research goal was to determine the effectiveness of previous change interventions. To explore participants' reactions to previous change interventions, it needed to be established what change processes, if any at all, were used during any previous intervention. The following aspects were explored during the first survey:

- Did people continue to do the same tasks in the same way, even if a new way was introduced?
- Did you experience any benefits in your work after implementation of the change?
- Did falling back to the 'old ways' of doing things occur after implementing the new / change process?

An indicator of how change interventions are accepted could be if staff change or continue with the established patterns. Diagram 5.3 below, summarises the distribution of responses to the question whether people continued to do the same tasks in the same way, even if a new way had been introduced.

Diagram 5.3: Adopting new work ways

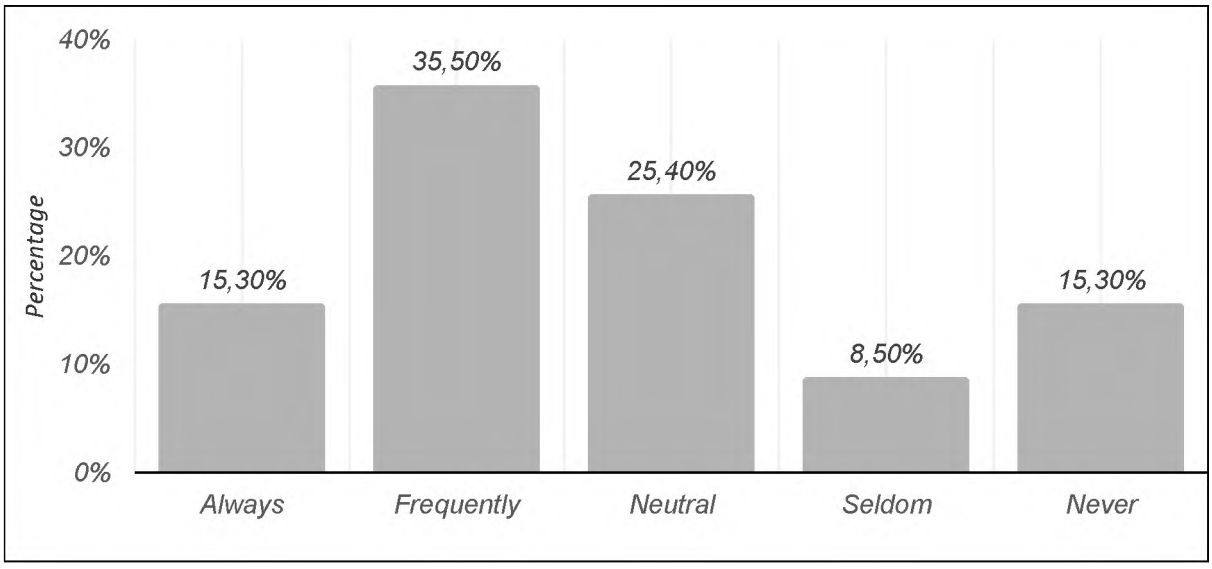


(Source: Researcher's compilation)

In diagram 5.3, 39 % of participants indicated 'seldom', and only 1.7% indicated 'never', a combined 30.5% responded with 'frequently' and 'always', which indicated that previous change was not that effective. The spread of percentages (between always, frequently, neutral and seldom) further indicated an uncertainty around whether new ways had been introduced. An expected outcome of a change intervention is a different and more effective way of doing things which continues to evolve even after the intervention (Brown & Harvey, 2006). The absence of a decisive view could be interpreted as a failure to establish a new work way.

Diagram 5.4 below summarises perceptions about benefits to the participant's work after a change intervention. As 50.8% ('always' and 'frequently') indicated an experienced benefit, it is concluded that previous interventions did add some value to the work environment.

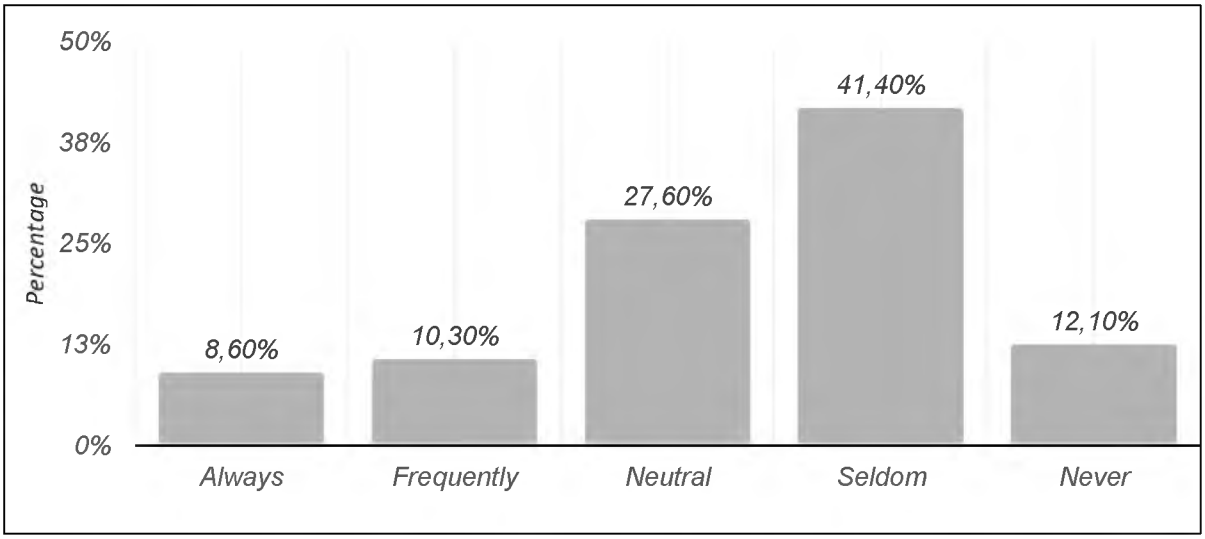
Diagram 5.4: Benefits resulting from implementing change



(Source: Researcher's compilation)

Diagram 5.4 (above) needs to be read together with diagram 5.5 (below) where the response of 53.5% ('seldom' and 'never') falling back to 'old ways' of doing things after implementation of the new / changed processes was interpreted as indicating that the new ways were of value to more than half of the respondents.

Diagram 5.5: Embracing change



(Source: Researcher's compilation)

In summary, the first goal was to determine participants' perceptions regarding previous change interventions. As described by Jamieson and Worley (2008), staff members need to understand the value of change and how it will positively impact on the efficiency of the organisation. Change also requires strong leadership, especially to minimise resistance to change (Rothwell et al., 2010). Diagrams 5.1 to 5.4 indicate that previous change interventions did not obtain the desired result to effectively initiate change, or did so only partially.

5.3.2 Findings related to the second goal

Goal 2 was the application of the four stages (4-D model) of AI. This was supported by the objective of participants developing their own provocative statements. The provocative statements (objective 2.1) were developed during the Design stage and data regarding provocative statements, as a deliverable, during the second survey.

5.3.2.1 Provocative statements in Appreciative Inquiry (objective 2.1)

The second goal of the research was to apply AI through the 4-D model. The supportive objective of that goal was the focus on the development of provocative statements.

The use of provocative statements, in particular during the Design stage, was explored as a practical way to document future change initiatives. The result of applying the 4-

D model aligned with the AI principles, as indicated in section 3.5, provided the platform for the development of the provocative statements.

The provocative statements are seen as the specific tasks for the future, consisting of topics which, by implementing, will initiate the change (Lewis et al., 2011). The topics are consolidated into 'design elements' which represent the various applicable topics. The following table 5.4 is an example of the various design elements and topics from where the provocative statements originated, as determined during the AI intervention.

Table 5.4 Provocative statement example

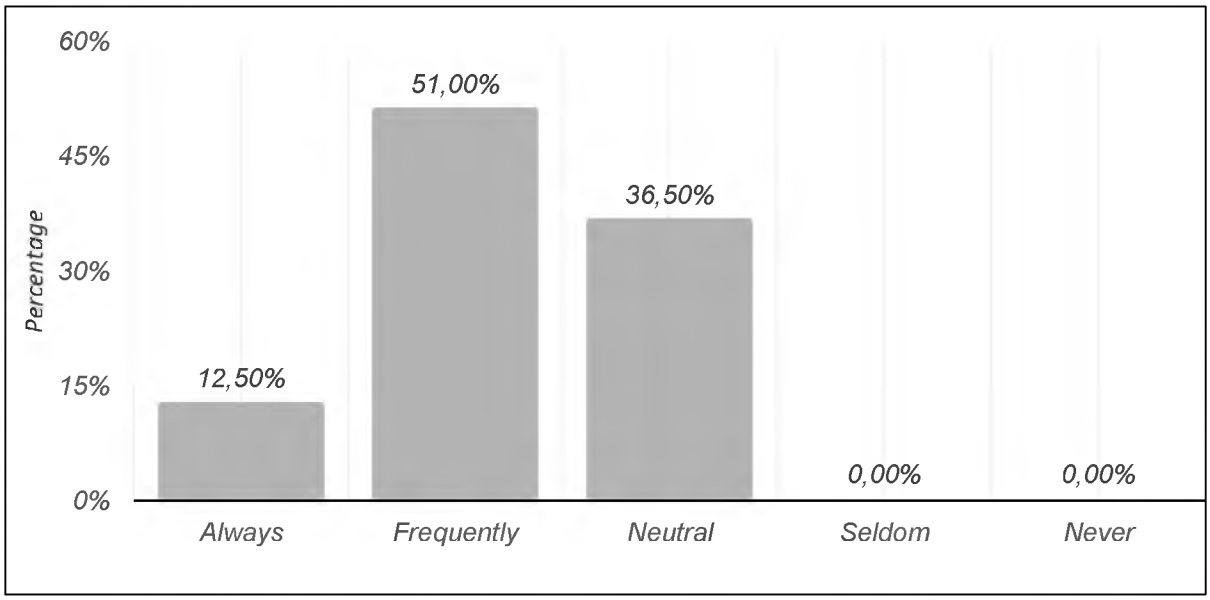
Design element	Topic
Academic curriculum	1: Administration and assessment 2: Teaching improvements
Emotional well-being of pupils	1: Professional support 2: Pupil performance
Staff	1: Building trust relationships 2: Staff development and training 3: Staff management 4: Staff wellness
Infrastructure and equipment	Equipment and tools to perform daily activities 1: Improvement of infrastructure

(Source: Researcher's compilation)

The above table 5.4 represents a summary of the topics of the provocative statements developed. The complete list of provocative statements, determined during the interventions is listed as Appendix D.

The feedback from senior/middle management regarding the use of provocative statements is illustrated in diagram 5.6 below, as collected during the second interview. (The management levels applied a holistic organisation-wide view of the provocative statements. The non-management levels were concerned with their immediate work areas; hence, they were not included in this feedback.)

Diagram 5.6: Provocative statement as a deliverable



(Source: Researcher's compilation)

Diagram 5.6 indicates that the management core of the school was comfortable with using the provocative statement as a documented deliverable after the Design stage. The provocative statement is 'key' for encapsulating the values, ideas, and vision during the Design stage (Cooperrider et al., 2005).

With reference to criticism levelled at AI, that it does not solve 'real issues' or develop action plans, the provocative statements developed during the AI intervention (included in Appendix D) are practical action plans and were perceived to offer solutions to current issues in the school. The provocative statement is a visual image of what needs to be done to ensure that the proposed new way becomes a reality. It further ensures that the ideas identified during the Design stage become a practical reality (Watkins et al., 2011).

5.3.3 Findings related to the third goal

Goal three was to determine participants' perceptions of AI after the application of the 4-D model. The objectives were to:

- Explore what organisational values will be associated with AI.
- Explore if the application of AI will address the real change issues of the organisation.

- Determine if AI will be of significant use in the future.

A second round of surveys (Survey 2) and interviews (Interview 2) was conducted after the AI intervention. The objective of this data collection was to gather information on how participants evaluated AI as a possible alternative OD process, specifically to describe their views on how AI can/cannot work in their immediate work areas.

5.3.3.1 Organisational values associated with Appreciative Inquiry (objective 3.1)

The objective related to the third goal of the research as per section 1.2.2 related to the perceived values AI can bring. As per Chapter 3 with reference to McKinsey 7S, the literature overview stated the importance of values in providing guidelines during an AI intervention (Anderson, 2012). Middle management and senior management responded on the role of values in the school by reflecting the following: 39% stated that values incorporate all the staff members into a common purpose; 27% stated that the values were not always well-described and explained to staff and 22% stated that 'shared value' is an important factor for the school. A high percentage (95%) of the above 22% was part of senior management. Examples of individual comments as per the second interview regarding values were:

- "This (values) are important as we have a common vision of success and an excellent work ethic". (Senior management, 15 years+ experience, male, white).

- "Shared values resulted in a bond amongst staff, which enables us to support and encourage each other". (Middle management, 7-11 years' experience, female, coloured).

The expectation is that in any change process there are different views about the expectations of a change process. AI provides for open dialogue about core values and the opportunity to reflect these values in everyday work (Dickerson, 2012). In an AI intervention in a youth education development programme, Nel and Pretorius (2012) found that understanding the importance of values assisted how school staff executed their responsibilities.

The qualitative data collected was sorted into themes and divided between senior, middle management and supervisor, work levels. Presentation of the data was per perception and expressed as a percentage of the particular sample level. Table 5.5 below illustrates the various perceptions of AI as a change process.

Table 5.5: Perceptions of the Appreciative Inquiry intervention

Perceptions of the AI intervention	Senior and middle management level	Supervisor and work level
Allows the opportunity to speak up	5,30%	25,00%
Initiates and includes new ideas	31,60%	12,50%
Appreciates contributions from participants	21,10%	50,00%
Does not address the real issues	0,00%	12,50%
Provides a positive basis for improvement	42,10%	0,00%

(Source: Researcher's compilation)

Table 5.5 indicates that AI was perceived to provide an opportunity to supervisors/employees to speak up and share their views regarding change processes - 25% of the supervisor, work level sample indicate this perception. This was a high percentage which indicates the value linked 'to be(ing) heard' and that previous opportunities to speak up could have been limited. For the supervisor/employee levels, the ability to contribute by using AI was seen as a key consideration (50%) in their work area.

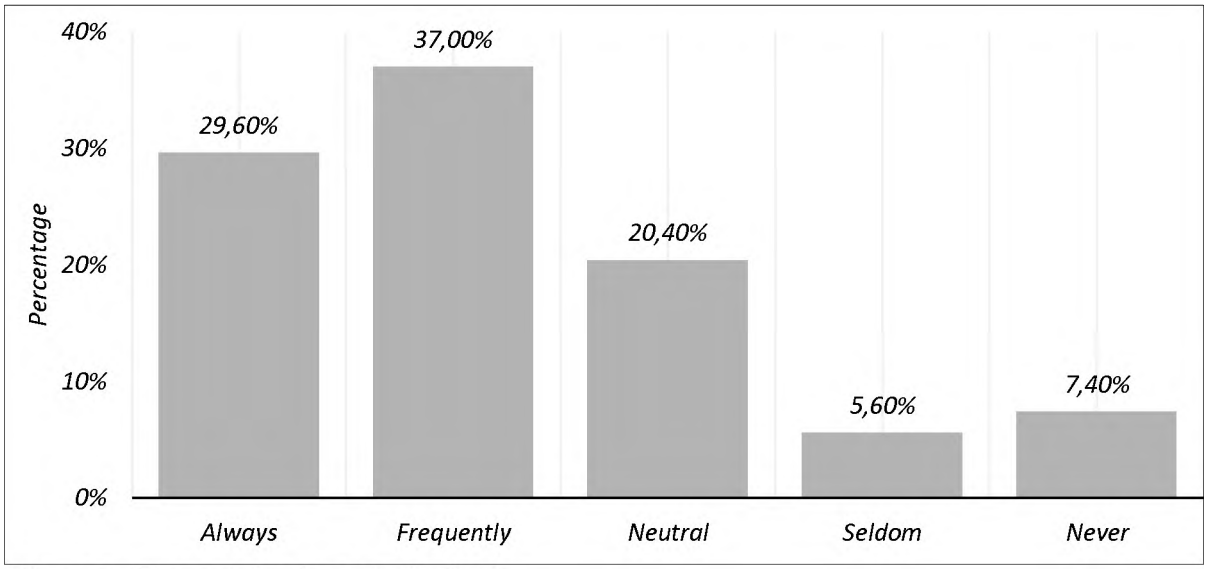
The collective statement by the individual members of the supervisor/employee levels for the need to participate and be heard is founded on the wish of the members to work and conduct themselves (Anderson, 2012). The essence of inclusion is therefore based on the available platform for each individual to participate and to be listened to. It is the task of leadership to ensure that individuals are engaged and their ideas are considered.

A significant 42.1% of senior and middle managers indicated that AI could form the positive foundation for further enhancements. The above table 5.5 illustrates some differences in understanding the value of AI. The biggest percentages for supervisors and employees ('opportunity to speak' and 'appreciate contribution from all') combined to total 75%. This was interpreted as the opportunity AI provides to be recognised and involved in the change process. For senior and middle managers, a combined percentage 73.7% ('ability to have new and enlightened ideas' and 'a positive basis for improvement') indicates that the application of AI is focused on the possibility to initiate new ideas and create a positive organisational climate for improvements (Watkins et al., 2011).

5.3.3.2 Appreciative Inquiry addresses real issues (objective 3.2)

The second objective of goal three related to whether AI solves 'real' organisational issues (Coghlan et al., 2003). As shown in table 5.5, 12% of supervisors/employees indicated a belief that AI does not address the real issues experienced in the school. This aligns with critique of AI (Anderson (2012). A possible reason could be that the intention of the Dream stage to act as the affirmative side of problem statements was not clearly articulated during Survey 2, where the question was asked if participants feel AI will address the real issues in the school. Section 3.10 referred to the appreciative approach which avoids the defensive routines of typical problem solving. The responses to whether it was felt that AI will address real issues are indicated in the following diagram 5.7.

Diagram 5.7: Appreciative Inquiry addresses real issues



(Source: Researcher's compilation)

With reference to solving the real organisational issue as state by Coghlan et al. (2003), two thirds (66.6 %) of the participants indicated that they believed AI will address real issues ('always' and 'frequently' combined). The feedback of 13 % indicating a 'seldom' or 'never' aligned with the 12 % in table 5.6 (indicating during Interview 2 that AI will not address the real issues). People are drawn towards the positive and the opportunity AI provides to design the future organisation from a positive perspective contributes to creative solutions for organisational challenges (Watkins et al., 2011).

Table 5.6: Appreciative Inquiry addresses real issues per work level

Selection / work level	Always	Frequently	Neutral	Seldom	Never	Total
Employee	35,7%	35,7%	17,9%	0,0%	10,7%	100%
Supervisor	22,2%	33,3%	22,2%	11,1%	11,1%	100%
Middle management	28,6%	14,3%	28,6%	28,6%	0,0%	100%
Senior management	25,0%	50,0%	25,0%	0,0%	0,0%	100%

(Source: Researcher's compilation)

The results in table 5.6 show perceptions around the potential for AI to address real issues in the work place, at the supervisor ('seldom' and 'never') 22.2 % and middle management levels (28.65 % as 'seldom'). That the percentage of 'always' and 'frequently' was higher in all work levels indicated that, based on the intervention, the majority at all work levels believe that AI will address issues in the work place . Elliott (1999) indicated that finding solutions is not an overnight process and AI must be given a fair chance to prove itself. This needs to be balanced against the pressure on leaders to find quick solutions (Anderson, 2012). In response to the supportive objective whether it was believed that AI addresses real issues in the organisation, the answer was positive, but with the caution that it is still the responsibility of leadership to apply AI correctly and timeously (Brown & Harvey, 2006).

Table 5.7 provides additional views as collected during the second survey of how AI, as a change process, is perceived by various levels in the school.

Table 5.7: Perception of Appreciative Inquiry as a change process

Question asked	Participants	Always	Frequently	Neutral	Seldom	Never
Will AI provide a workable solution?	Employees, supervisors, middle management, senior management	25,9%	40,7%	24,1%	3,7%	5,6%
Will AI assist in providing the school with a successful change process?	Middle management, senior management	20,0%	53,3%	20,0%	6,7%	0,0%
Discrepancies in the response to the above questions		5,9%	-12,6%	4,1%	-3%	5,6%

(Source: Researcher's compilation)

The questions in table 5.7 were similar in asking the participants their views of AI's ability to provide solutions through a change process. It was noted that there was

minimal discrepancy between the perceptions of the management levels and that of the total population.

Middle and senior management comprised 27% of the total population. As decision makers, middle and senior management were asked their opinion of AI as an effective change process. A majority of just over 80% indicated that AI was experienced as an effective process for change. Comments made during the second interview regarding AI as an effective change process included:

- "It was good to phrase the comments positively and avoid being trapped in a negative space. It was good to start thinking of changes as a possibility" (senior management, 15 years+ experience, female, coloured).

- "Forces you to focus on the positive and start dreaming of possible improvements" (senior management, 7–11 years' experience, female, white).

- "I like it, but the problem for me is that it sounds like every suggestion will be implemented, which cannot happen" (senior management, 15 years+ experience, male, white).

- "My experience is that it has provoked the way of thinking and brought up very good ideas" (middle management, 7–11 years' experience, female, coloured).

As identified in the supportive objectives of the first research goal, strong leadership is a requirement for successful change interventions. With reference to section 5.3.1.2 where leadership in OD interventions was discussed, senior and middle management listed leadership characteristics as important for an AI intervention to succeed. The results are shown below in table 5.8 where the 'ability to listen' was selected as the most desirable characteristic for AI success.

Table 5.8: Important characteristics for successful Appreciative Inquiry interventions

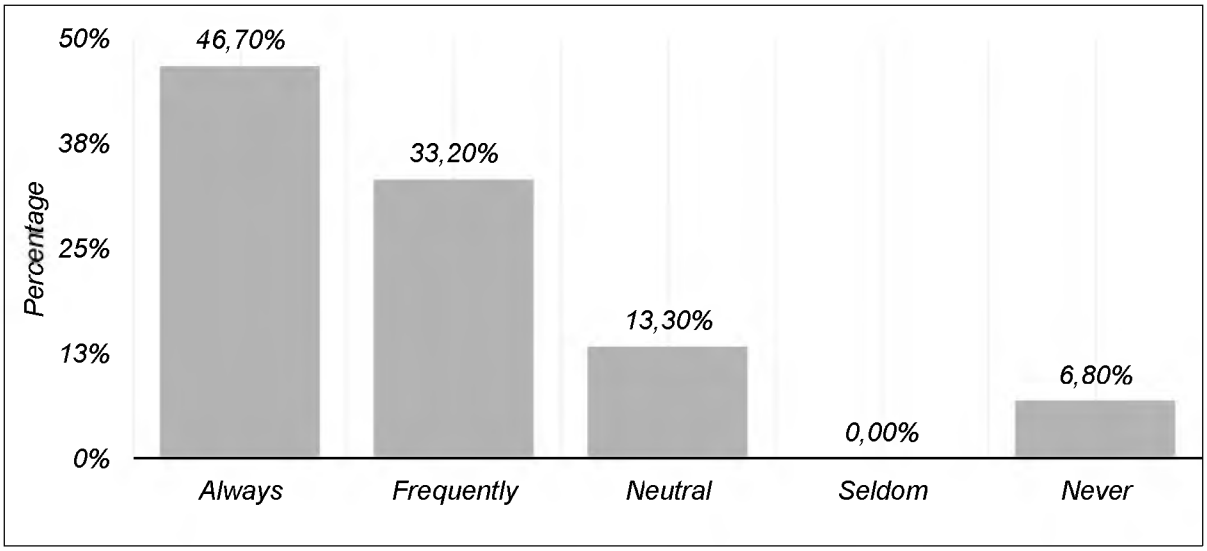
Characteristic	Percentage
Ability to listen	27%
Allow creativity within the team	23%
Ability to be flexible	19%
An open mind toward change	15%

(Source: Researcher's compilation)

5.3.3.3 Applying Appreciative Inquiry in the future (objective 3.3)

The third objective to the third research goal was to determine perceptions around AI being of significant use in the future. Responses by the school's leadership component (senior/middle management) on whether they would consider using AI in future change initiatives are provided in diagram 5.8 below, resulting from the second survey. Nearly 80% ('always' and 'frequently') of the participants indicated that they would use AI in the future.

Diagram 5.8: Using Appreciative Inquiry in future change initiatives



(Source: Researcher's compilation)

Cooperrider et al. (2005) refer to the way AI questions are asked could open a new way of seeing the organisation in a positive sense. Fully embracing the AI principles enhances the process where, not only current issues are reframed, but future challenges are also approached in a positive manner.

5.4 Summary

This chapter described the collection of data and their analyses vis a vis the research purpose, goals, and objectives. The goals aligned with the experimental design components of a before or 'as is' situation; an intervention or variable introduced in the form of an AI intervention and lastly a view on how the AI intervention adds benefit. This will align the research to reach a conclusion in the next chapter as to how AI can be a successful OD alternative for solving organisational challenges.

Key aspects of the chapter were:

- The importance of leadership in any OD interventions. This is indicated as an important step before the AI intervention (diagram 5.2) and as part of a successful AI intervention (table 5.8).

- The ability of AI to address real issues of the school as illustrated in diagram 5.7. The role of provocative statements is instrumental in achieving the above-mentioned as per diagram 5.6.

- The acceptance of AI as an alternative OD and the desire to use AI in future change interventions (diagram 5.8).

Diagrams 5.3, 5.4 and 5.5 illustrate shortcomings of traditional OD processes. This was the foundation on which AI was to be considered as an alternative OD process. The findings and discussion informs the following chapter (Chapter 6) which summarises the research, makes recommendations, and draws conclusions about what value was added.

CHAPTER 6: SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

6.1 Introduction

In the previous chapter the findings were discussed against the research statement with specific reference to the three research goals and their supportive objectives. The purpose of this chapter is to provide a summary, conclusions and recommendations of the research. This aims to address the research statement of whether AI provides an effective OD intervention in modern organisations, minimising the challenges experienced with classical OD.

This chapter starts with an overview of the preceding chapters in order to capture the aim and context of the research (section 6.2). The conclusions of the research will be discussed in section 6.3 responding to the research statement, the goals and objectives as described in section 1.2.2. The research statement addresses if AI provides an alternative OD intervention minimising the challenges experienced with classical OD models. The conclusions are presented in three areas: participants' previous experiences of change interventions, participants' experiences during the intervention and participants' experiences of AI after the intervention.

The limitations of the research are outlined in section 6.4. Recommendations for future research are reflected in section 6.5. The chapter is concluded in section 6.6 with a discussion of the value of the current research.

6.2 Summary of the chapters

In addition to the description of the scope and planning of the research purpose, Chapter 1 includes an overview of the methodology and structure of the research, as well as an introduction to the research site. The goals of the research are also identified. Chapter 2 explores the wider research context regarding change management and OD, and introduces AI as alternative OD. As the research is focused on OD, earlier OD processes are explored, including perceived limitations of earlier methodologies.

AI principles and the various stages of the practical application of an AI intervention are discussed in Chapter 3. The research framework and the AI intervention process are described in Chapter 4. The purpose of the framework is to support the research purpose, and includes the various data collection methods and the sequence of data collection interventions. The initial data collection reflects participants' previous change experience, while the second data collection focuses on the experience of what the 'new' AI approach can offer. Chapter 5 presents the analyses of the results of the information obtained from the data collection, related to the purpose and goals of the research.

6.3 Research conclusions

The research conclusions are in response to the research purpose to explore possible shortcomings of traditional OD processes and evaluate AI as an alternative OD to address organisational issues. The conclusions are based on the findings described in Chapter 5.

6.3.1 Experience before the Appreciative Inquiry intervention

When participants assembled for Survey 1 and the subsequent AI intervention, several members remarked that it was the first time in years that all staff members were in the same forum. The inclusion of all resulted in lively discussions, and the participants expressed the view that developing their 'dream' and provocative statements created a shared understanding of change.

6.3.1.1 Understanding change

During the AI intervention, there was keen interest in how current practices can be improved, and participants indicated that the 'fear of change' was rooted in exclusion from change events. Fear of change is cited as a strong contributor to resist any change initiatives (Van der Westhuizen et al., 2013). The anticipation of change is an emotion that needs to be carefully managed.

6.3.1.2 Leadership

As described in section 2.8.1, the collected data indicates that strong leadership is required to initiate and drive a successful change process. Although there are many leadership competencies listed to effectively lead change, as outlined by Rothwell et al. (2010), participants' feedback indicates aspects of importance are perceived to be:

the ability to listen, create an environment conducive for creativity, and to be flexible in accommodating various perspectives. School leaders need to ensure that school structures and methods unlock the full potential of both learners and teachers (Naidu et al., 2008).

It is concluded that the availability of the required leadership ability needs to be established before a change intervention is initiated. If not present, then the intervention should be postponed. The school leadership need to foster a culture conducive to effectiveness by taking decisions (Van der Westhuizen et al., 2013). Participants were of the view that in past years' change was not supported by strong leadership. However, since the arrival of the new principal, the leadership is seen as strong.

6.3.2 Experience during the Appreciative Inquiry intervention

During the intervention, participants developed their own provocative statements as a road map for the future. The value of developing these statements was explored during the second survey (Survey 2).

6.3.2.1 The value of the provocative statement

Provocative statements were strongly viewed by participants as a way of documenting the intended change processes. In the AI intervention, participants were asked to develop a provocative statement during the Destiny stage focused on how to establish a learning culture in the school. In order to achieve this, the recommendation is to distance provocative statements from 'just' a Design stage activity to a more general way to document tasks resulting from the intervention, and also provide 'real' action plans for the future. As discussed by Kozik et al. (2009), it is further concluded that provocative statements provide direction for what is needed to change in the organisation.

6.3.3 Experience after the Appreciative Inquiry intervention

Participants rated the provocative statements as workable solutions, although a small percentage was of the view that AI does not address the 'real issues' of the organisation (school). However, the responses analysed in Chapter 5 indicate that the majority - particularly evident in the middle and senior management group - is confident that AI does address the 'real' issues.

6.3.3.1 The value of change

'Successful' will always be a relative measurement, because change is seen in different ways when challenges are approached and solved (Watkins et al., 2011). It is concluded that during the initial stage the question of what would be considered as a 'successful intervention' is defined, and is reiterated during the process to ensure that participants have a common understanding. This can be supported by the continuous enhancement of the positive core in AI as it is woven through the 4-D cycle (Cooperrider et al., 2005).

6.3.3.2 Explaining the Appreciative Inquiry approach

The principles of AI, as well as the perceived objectives and procedures, were explained in detail before the intervention. Failure to do this could allow participants to see this as an opportunity to raise personal concerns outside of the change framework. It is recommended that the principles regarding AI could be strengthened during the Discovery stage where participants are reminded of the appreciative approach. Understanding the AI approach will also allow for self-reflection and organisational assessment of the school's operations (Kozik et al., 2009). The AI process lends itself to participation which can minimise feelings of exclusion. The intervention process confirmed that participants need to be thoroughly briefed at the outset about when and where the process will allow opportunities for new ideas to be discussed. This can be further enhanced by spending time on the concepts of change so that participants can associate with the benefits and reduce any fears of change. Feedback indicates that the intervention was of value to the school and, at a minimum, has started a change process. The school was also introduced to AI for possible use in future applications.

6.3.3.3 Perceptions of change

Although there are advantages to having all staff involved during the AI process, the change intervention can mean different things at different levels in the organisation. At senior and middle management levels, AI was seen as a foundation to surface new ideas, to use the positive core to strengthen the climate for unity, and to explore what the organisation needs to benefit its 'clients' - the learners. As Dickerson (2012) stated,AI can result in a deeper insight into school culture and empowerment to make a positive difference. For the supervisor and work levels, the emphasis was more individually based, where the AI process was seen more as an opportunity to speak

and contribute. This could be interpreted as the forum for recognition and involvement provided by AI.

6.3.3.4 Sustainability of the change process

An AI intervention needs to be sustainable for maximum impact and to strengthen a 'culture to embrace change' in the organisation. The AI process can be applied to further explore the identified topics in the provocative statements. By using the 4-D method, other topics can be added to the original list.

A recommendation is to maintain the momentum after the Destiny stage by allocating tasks (as identified in the provocative statements) and allowing for feedback sessions involving the whole group. This will enhance momentum and create a sense of progress.

6.3.3.5 Appreciative Inquiry as alternative Organisation Development

A goal of the research was to introduce the school to AI. As indicated in diagram 5.8, the feedback was that AI would be used in future as a change process. Participants' responses indicate that the main benefits of AI can be summarised as: positive basis and involvement of all.

In the initial meeting with the school, the researcher requested that the word 'problem' should be avoided in preference to the word 'solution'. Possibly due to this different approach, the participants in the AI intervention noted the avoidance of negativity and possible blame that had been associated with previous interventions.

It can be concluded that whereas previous change appears to have regarded the various staff levels of the school as separate entities with individual objectives, during the AI process the staff were part of the organisation, and it was they who initiated and drove the change. This is aligned with the positive principle of AI as stated in section 3.4.5.

6.3.3.6 Application of Appreciative Inquiry in similar schools

As noted, the research site was a girls-only English medium secondary school situated in Grahamstown providing both day and boarding facilities. During the AI intervention and development of consequent provocative statements as per Appendix D, no factors

were identified that distance the school from other schools in similar environments. Some of the 'design elements', identified as provocative statements, were related to the provision of boarding facilities, but were not related to specific girls-only, English medium, secondary schools or located in Grahamstown. The research was focused on AI as an OD alternative in any organisation, but based on this research it could be concluded that the findings of this research might have resonance in other similar organisations'. From a single case study it is not possible to make generalisations beyond the boundary of that case. However, it is possible that resonance may be experienced in similar situations.

A highlight was the AI intervention with the school staff and the subsequent finalisation of the provocative statements. The process illustrated the practical solution AI can provide to drive change. To maintain focus, there was a need to continuously refer to the research purpose, scope, and goals.

6.4 Limitations of the research

The research highlighted the different interpretations of OD. AI was explored based on the value it can contribute to a change process and how different staff levels in the school experienced OD from their particular organisational role. Specific limitations identified are: group size, language, time constraints, and unrealistic expectations. These are discussed below.

6.4.1 Group size

The size of the group did not appear to affect the intervention, when the principles and AI stages were being described. However, the size of the group became somewhat problematic during the formulation of the provocative statements by smaller groups when interactions and closer observation were required, and the members in the groups needed encouragement to reflect and document their findings. In future applications, an additional person who understood AI could be of assistance for monitoring activities in each group.

6.4.2 Language

To accommodate staff members not proficient in English, the presentation regarding AI was explained in isiXhosa after each slide, as well as during each stage of the 4-D activities. The interruption to explain did have a negative impact on the general

momentum of the intervention as participants lost focus. Due to the researcher's inability to understand isiXhosa, there was also uncertainty as to whether the context of the presentation had been correctly explained. It is suggested that in future research the translator is briefed on the principles of AI and the 4-D cycle.

6.4.3 Time constraints

Before an intervention, sufficient time needs to be allocated for the AI process. The allocated time for the actual intervention was limited to four hours due to the school's operational requirements. The time-frame included the explanation of AI principles, and finalization of the provocative statements. It is important that participants first need understand and adopt the principles of AI, before moving into the various stages.

The time allocation proved to be inadequate to complete the intervention and establish commitment for the provocative statements. In future, adequate time needs to be allocated to avoid the process being rushed. Possibly a two-day session could allow for more traction of change initiatives as well as more specific action plans.

6.4.4 Unrealistic expectations

OD drives a complex and deep change process that has a lasting intention (Rothwell et al., 2010). When an intervention is initiated, the impression is that the change will 'happen' and the need for actual changed attitudes over a sustainable period can be forgotten in the heat of the moment. During the explanation of the AI process, participants were made aware that change is not an automatic process and that the expected change would not be visible the next day. Nevertheless, the intervention in the school could have some participants imagining that change would simply 'happen' based on expectations. The importance of follow-up sessions and, in particular, the allocation of tasks to participants (as per provocative statements) needs to be a high priority for the sustainability of any OD intervention. These follow-up sessions should reflect on how the change processes are going, the progress that has been made, and what needs to be done further to achieve the imagined future.

6.5 Recommendations for future research

Based on the practical experiences in the research process, four areas were identified for further exploration, and are outlined below in sections 6.5.1 to 6.5.4.

6.5.1 Structure of Appreciative Inquiry interventions

It is suggested that the structure of an AI intervention should contain a balance between: a) preparation (understanding the 4-D model); b) the intervention itself; c) provocative statement progress. Participants should have a clear understanding of the 4-D model and its conceptual role as a change mechanism. A separate session for explaining the process and function of the model is recommended before the actual commencement of the intervention. Further, follow-up sessions to discuss progress on the development of provocative statements are essential for maintaining the momentum of the change. As Rothwell et al. (2010) emphasise, it is vital to align the application of the different aspects of the AI process with the purpose of the intervention.

6.5.2 Different perceptions of participants

While an organisation-wide session has the benefit of group participation, it is also likely to demonstrate that expectations can vary between different social groups and different individuals. Because diverse views of OD could blur the focus on the expected outcomes (Rothwell et al., 2010), future OD studies could investigate how members/groups of different cultures, backgrounds, and seniority levels understand change in an organisation. The inclusion of staff representative bodies in such studies should also be considered.

6.5.3 Positioning of Organisation Development in schools

Davidoff, Lazarus and Moolla (1997:53) state that: "Organisational Development has its origins in the business world". The transition towards utilising OD concepts in a school is not widely acknowledged. Schools see change processes from a curriculum, classroom setting, and infrastructure viewpoint (Davidoff, Lazarus & Moolla, 1997). During the research, provocative statements in this regard were noticeable. The change should be focused on enhancing effectiveness and efficiency underpinned by sound values and leadership. Future research could explore the positioning of OD in the school with the recommendation that pre-sessions are convened before commencement of the process. Setting up a process to clarify the context wherein OD will work, without compromising the aspirations of participants, will add value to the intervention.

6.5.4 Improvement of member participation

This recommendation is founded on the result of analysing the surveys and notes from interviews, in relation to the objectives set. During the intervention there appeared to be a view of junior staff that 'management must fix all issues'. From the managerial perspective, the inclusion of junior staff regarding the reasons for change is is not always a high priority. This could lead to a polarisation of 'them' and 'us'. As the leadership of the school had changed recently, it is possible that these perceptions were a legacy of processes experienced with the previous leadership and may not be representative of the new context.

Future research might explore how to include all staff in working toward solutions beneficial to the school. Junior and senior staff need to take ownership of solutions (provocative statements) and share change intentions. To arrive at a practical workable solution will require further research.

6.6 Value of the current research

The value of the current research will now be discussed against the findings of the research goals and objectives. Classic OD processes provide challenges to the change intervention as per section 2.8 which could diminish the effectiveness of the change. AI as alternative OD provides a fresh approach in observing change as a joint adventure for staff and management to discover new innovative ways of doing things differently and effectively. The value of the research was to provide motivation as to why AI would be a more optimal process in comparison to the classical models. The research value against the goals and objectives as stated in section 1.2.2 are:

6.6.1 Perceptions of previous change interventions (Goal 1)

During the research, various challenges related to the classical OD processes were identified which could limit the effectiveness of OD. Understanding change and the potential effect it can have on staff and consequently productivity, is key in determining the scope of the change intervention. The AI principles of establishing a positive core and encouraging participation is an ideal starting platform from where change is more likely to be embraced and experienced as contributory. The importance of strong leadership is supportive towards a successful intervention. Leadership that does not have an overall vision and passion for change is unlikely to inspire trust and

willingness, resulting in a less effective intervention. Applying the AI process opened up new opportunities for the school to embrace change, but it also highlighted some limitations, as noted earlier in this chapter.

6.6.2 Application of the four stages of AI (Goal 2)

For the second goal of the research, participants gathered for the practical application of AI. The objective was to demonstrate AI and the step-by-step application of the four stages (4-D model). Based on the objective of the second goal, the development of provocative statements represented the articulation of tangible innovations to address organisational issues regarding change. The provocative statements, noted as a research goal, offer confirmation that AI can provide practical solutions. The success of the tasks identified in the statement will largely depend on sustainable feedback sessions regarding progress on the provocative statements. A workable provocative statement will be observed as a practical and achievable solution to real organization requirements.

6.6.3 Determine participants' views of AI (Goal 3)

The AI process, and in particular the 4-D model, provides a compass to guide participants on what is expected (Rothwell et al., 2010). With reference to the research statement, stated in section 1.2, the answer is positive, based on enhancing participation, maintaining a positive core and providing practical solutions through the provocative statements.

A further conclusion is that AI allows participants to think in a new way by applying innovation, a key to improving efficiency. Lewis et al. (2011) state that organisations prefer to turn opportunities into problems as they believe they have a solution in a 'problem solving' process. The primary focus is on what is wrong or broken, and as the organisation is looking for problems, that is what they find. When organisations think like this, they only see problems, as this is the only 'solution' they are comfortable with (Lewis et al., 2011).

In organisations, including South African schools, the constant reference to 'challenges' has become a euphemism for 'problems' AI's emphasis on the positive has the potential to make a significant contribution to benefit any entity: big or small,

public or private sector. AI applied, becomes empowering and life-affirming in any human system (Watkins et al., 2011).

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APPENDIX A: SURVEY 1 QUESTIONNAIRE

RESEARCH REGARDING PREVIOUS CHANGE EXPERIENCES - SURVEY 1

Please allow the researcher to explain the first page before turning to page 3.

Introduction

This survey is part of a research project undertaken for studies concerning planned change management.

The survey is centred on your personal experiences regarding a change process within the school and your immediate work area.

Objective

The purpose of the survey is to explore your personal experience of a planned change intervention within the school.

A planned change intervention could include, but is not limited to the following:

- *Introduction of a new or changed process related to your work;*
- *New supervisor / manager introducing a new work methodology; anything that is **consciously** done differently than was done before – for example a changed/new form, reporting structure, different work hours etc.*

Confidentiality

The information you give will be treated as confidential and will only be used in the research project. To ensure that the information you provide cannot be traced back to you, please ensure that your name does not appear anywhere on the survey form.

Consent form

Please complete and submit the consent form separately in order to maintain confidentiality.

Participation

Your participation in the research will be very valuable. However, you have the right to withdraw at any stage from the survey, and therefore your participation from the process, without any consequences.

What is required from you?

Relax and answer the questions as honestly as possible. The survey consists of the following sections:

SECTION	TYPE OF INFORMATION	WHO TO COMPLETE	FORM COLOUR
Section A	Generic information	All participants	White
Section B	Change process related	All participants	White
Section C	Influence of previous change interventions	Mid and senior management	Pink
Section D	Change related	Senior management	Blue

1. Ensure that you complete the applicable section/s.
2. Mark the most appropriate answer and provide you opinion where required.
3. There is no time limit regarding the completion of survey questions.
4. Please indicate if any question is unclear.
5. Return the completed survey to the researcher.

SECTION A – GENERIC INFORMATION (To be completed by all levels)

1. Please state your gender:

Male	Female

2. State your race:

African	Coloured	Indian	White	Other

3. State your years of service (permanent and temporary capacity) with the school?

Less than 1 year	1 - 3 years	3 - 7 years	7 - 11 years	11 - 15 years	15 years plus

4. How would you describe your work level within the school?

Workers	Supervisor	Middle management	Senior management

SECTION B – CHANGE PROCESS RELATED (To be completed by all levels)

Please think back of a recent change event in the school (any new or different work ways that affected your work activity) and answer the following:

5. Did you know the reason why the proposed change/s was/ were introduced?

yes	no	not sure

6. Were you regularly updated of the progress during the (previous) actual change process?

always	frequently	neutral	seldom	never

7. Did people continue to do the same tasks in the same way even if a new way was introduced?

always	frequently	neutral	seldom	never

8. Were you involved in any of the activities or processes related to the change process?

always	frequently	neutral	seldom	never

9. Did you feel change processes are enforced on you?

always	frequently	neutral	seldom	never

10. One of the key elements in a successful change intervention is leadership. Did you experience an acceptable level of leadership during the change process?

always	frequently	neutral	seldom	never

11. Were your opinions/suggestions listened to during the formulation of the new/change way of doing things?

always	frequently	neutral	seldom	never

12. Did you experience any benefits in your work after implementation of the changes?

always	frequently	neutral	seldom	never

13. Did falling back to the "old ways" of doing things occurred after implementing the new / change process?

always	frequently	neutral	seldom	never

14. Is strong leadership a decisive factor for a successful change intervention?

always	frequently	neutral	seldom	never

15. What is your opinion regarding any previous change process?

SECTION C – INFLUENCE OF PREVIOUS CHANGE INTERVENTIONS (To be completed by senior and mid-management)

16. What is your view regarding the statement "adequate leadership in the school was present during the change process"?

strongly agree	agree	neutral	disagree	strongly disagree

17. Please describe the work climate/atmosphere perceived before the change process commenced e.g. motivational, supportive, etc.

18. Did you feel some of the previous processes/ideas, that were working well, were incorporated in the new purposed way of working?

always	frequently	neutral	seldom	never

19. Would you consider the “ability to dream of the ideal work process/environment”, an important aspects in a change process?

strongly agree	agree	neutral	disagree	strongly disagree

20. Please describe the role shared values play amongst school staff?

21. Was any change methodology followed during previous change processes?

always	frequently	neutral	seldom	never

22. What would you consider as the main challenges of previous change interventions?

SECTION D – CHANGE RELATED (To be completed by senior management)

23. Did any previous change processes positively influence the work activities?

always	frequently	neutral	seldom	never

24. It is important to have ambitious, yet workable plans as a deliverable from a change intervention?

strongly agree	agree	neutral	disagree	strongly disagree

25. Does external factors often initiated a change process within the school?

always	frequently	neutral	seldom	never

26. In your opinion, how did any previous change processes influence the work activities?

THANK YOU FOR YOUR TIME

APPENDIX B: INTERVIEW 1 QUESTIONNAIRE

Please allow the researcher to explain the first page before turning to page 3.

Introduction

This interview is part of a research project undertaken for studies concerning planned change management

Objective

The purpose of the questionnaire is to explore your personal experience of a planned change intervention within the school and your immediate work area.

A planned change intervention could include, but is not limited to the following:

- *Introduction of a new or changed process related to your work;*
- *new supervisor / manager introducing a new work methodology; anything that is* ***consciously*** *done differently than was done before – for example a changed/new form, reporting structure, different work hours etc.*

Confidentiality

The information you give will be treated as confidential and will only be used in the research project. To ensure that the information you provide cannot be traced back to you, please ensure that your name does not appear anywhere on the survey form.

Consent form

Please complete and submit the consent form separately in order to maintain confidentiality.

Participation

Your participation in the research will be very valuable. However, you have the right to withdraw at any stage from the interview, and therefore your participation from the process, without any consequences.

What is required from you?

Relax and answer the questions as honestly as possible.

SECTION A – GENERIC INFORMATION (To be completed by all levels)

1. Please state your gender:

Male	Female

2. State your race:

African	Coloured	Indian	White	Other

3. State your years of service (permanent and temporary capacity) with the school?

Less than 1 year	1 - 3 years	3 - 7 years	7 - 11 years	11 - 15 years	15 years plus

4. How would you describe your work level within the school?

Workers	Supervisor	Middle management	Senior management

SECTION B – CHANGE PROCESS RELATED (To be completed by all levels)

Please think back of a recent change event in the school (any new or different work ways that affected your work activity) and answer the following:

5. Did you know the reason why the change was introduced?

Yes	No	Not sure

6. If question 1 is answered 'yes', please state what ***you*** think was the reason for the change?

SECTION C – INFLUENCE OF PREVIOUS CHANGE INTERVENTIONS (To be completed by mid-management and senior management)

7. What could be considered as the main challenges of previous change interventions in the school?

SECTION D –QUESTION REGARDING CHANGE (To be completed by senior management)

8. What influencing factors (external and internal) can be considered as having an impact on any change process within the school?

APPENDIX C: PRESENTATION SLIDES

1

Welcome
to
A Change intervention

2

Guidelines

- Relax, please feel free to participate
- Opportunity to construct the future
- See it as a journey to be embraced

- Aware of the time schedule
- Short survey after completion
- Interview session to conclude events

3

Introduction

Change usually happens in two ways:

1. Forced change

2. Organisation Development

- Planned and systematic change effort;
- to increase organisation effectiveness with the
- support and involvement of management and staff

various Organisation Development methodologies exist

4

Appreciative Inquiry as a methodology

Appreciate – to value; recognize the best in people, success and potential

Inquiry – to explore, ask questions, to be open to new possibilities

Characteristics of Appreciative Inquiry:

- Positive core
- Utilise the power of dreams
- Involvement (feel free to participate)

Opportunity to create the ideal working environment at the school

5

Appreciative Inquiry process

6

Difference between problem solving and Appreciative Inquiry

Problem solving:

- We do have a problem that must be solved

Example

"How can we manage the high number sexual harassment cases"

Appreciative Inquiry:

- Organisation is a mystery to be embraced

Example

"How can we improve the relationships between male and female staff"

7

DISCOVERY PHASE

- Appreciate the best of "what is"
- For your work area to exist, something must be working – and working well
- For the individual it is those moments when he/she felt the most energized and "walking on water"
- Information is gained during the DISCOVERY phase by asking appreciative questions

8

DISCOVERY PHASE

How do we ask appreciative questions?

- Ask question in the affirmative (Positive)
- Evoke values and inspiration
- Asked with enthusiasm
- Start by "what are we doing right"

To answer the appreciative question

- By way of story - telling (positive)
- No right or wrong – it is your story, your emotions

9

DISCOVERY PHASE

Interview questions (guideline)

- Describe a high point in your work experience
- What are the things you valued about your work?
- What are core factors that "give life" to your work area?

Deliverables will be a list of the following:

- Values, emotions from the stories
- Things that we do well

10

DISCOVERY PHASE

Appreciate Interview framework (how are we going to do it)

- Divided into groups (5 per group)
- Do not answer the questions but tell a story incorporating the questions
- Someone in the group must note the keywords (emotions, values, why and how feeling, what do we do good)
- Confidentiality is within these walls – agreement

What is the point of having a mind, if you can't change it?

- Reflect before starting

11

DREAM PHASE

12

DREAM PHASE

What is the DREAM phase?

- Amplify the positive core as identify during the DISCOVERY phase
- Envisioning of what might be (an image of the preferred future)
- Dream of an improved work area
- Move from "what is", to what "might be"

13

DREAM PHASE

What need to be achieved during the DREAM phase

1. Within a positive atmosphere, share stories regarding "what might be"
2. Dreaming without boundaries - no negative remarks
3. Key themes to be identified

14

DREAM PHASE

How are we going to do this?

- In your groups
- Build on your positive DISCOVERY story into the dream
- The DREAM is focused on a better workplace
- DREAMING is a journey of mutual discovery, not an analytical journey
- Stories should be valued rather than critique, judge or analysed

15

DREAM PHASE

Interview questions

- What is happening in the work place when you feel most alive?
- Describe the ideal working environment.

VGHS – Vision and mission

Deliverables of the DREAM phase:

- Identify the various dreams statements

16

DESIGN PHASE

What is the DESIGN phase

- The DESIGN phase requires choices of "how can it be" as identified during the DREAM phase
- In the DESIGN phase, attention turns to creating the ideal work area in order to achieve the DREAM

17

DESIGN PHASE

How are we going to do this?

- Selecting the DESIGN elements as general categories
- Provocative propositions include guidelines and contributions

Deliverables:

DESIGN elements, topics and a provocative proposition e.g.

NB – use the common themes identified in the DREAM phase

18

DESIGN PHASE

What need to be achieved during the DESIGN phase

1. **Design element:** Staff
   Topic: Recognition
   Provocative statement: Our staff should be acknowledge for .....
2. **Design element:** Systems
   Topic: New administration system
   Provocative statement: A new system that can .....

19

DESIGN PHASE

What is a provocative statement?

- Bridges the best of "what is" and "what might be"
- Vision statement must indicate the "what we want"

Characteristics:

- Does it stretch, challenge or interrupt the status quo?
- Is it grounded – is it a real possibility?
- Is it desired – do you want it as a preferred future?
- Is it stated on affirmative?
- Supported by benchmarking data/experiences?
- Is it a participative process?
- Is it balanced between continuity, novelty and transition?

Provocative = challenging, provoking, stimulating, aggressive

20

DESTINY PHASE

Allow yourself to dream and you will discover that destiny is yours to design – Jackie Stavros

21

DESTINY PHASE

What is the DESTINY phase?

- A series of these smaller changes, over time, can impact effectively
- Implementing the DREAM and DESIGN

22

DESTINY PHASE

What need to be achieved during the DESTINY phase

- Practical plans and the ability to feel free to learn
- Strong leadership
- Creation of a learning culture

23

DESTINY PHASE

How are we going to do this?

- Gain commitment from all to "live" the provocative statement
- Include provocative statements into business operations/strategic goals
- Commitment to feedback sessions regarding:
  - Dates to evaluate progress (when will it become a DISCOVERY story)
  - How will success be celebrate
- Explore and develop a learning culture

24

APPENDIX D: PROVOCATIVE STATEMENTS

DESIGN ELEMENT ONE: ACADEMIC CURRICULUM	
Topic	**Provocative statement**
Administration and Assessment	To improve assessment results: 1. Every pupil should be provided with a bi- or tri-language glossary of common instructions used in assessments. 2. Evaluate the assessment process to ensure that no unnecessary work is incorporated in the assessments. This can be achieved by involvement of the staff conducting the assessments
Teaching improvements	To improve the quality of teaching by implementing the following activities: 1. Invite knowledgeable people, whose work depends on their language ability to illustrate the importance of language to pupils; 2. Improve the meaning of teaching by linking the teaching to real world experiences. To accommodate this activity, time and transport need to be available to take pupils to these interventions e.g. history tours; 3. Teaching and learning will progress if teachers are able to utilize their space more effectively through adaptable furniture; 4. Implement a process which will encourage practical suggestions from management, pupils and teachers on how to improve teaching; 5. Encourage a more free-thinking environment by introducing mechanisms for pupils to demonstrate their individuality, within the school's framework, in non-education areas; 6. Employ departmental assistants to manage mark capture, mark calculation, report typing which will allow teachers to focus on teaching tasks; 7. Evaluate more effective and flexible time allocation for classes.

DESIGN ELEMENT TWO: EMOTIONAL WELL-BEING OF PUPILS	
Topic	**Provocative statement**
Professional support	To brand ourselves as a caring environment: 1. Obtain the services of an experienced psychologist and/or social worker to visit the school on a regular basis and assist pupils/parents in need. Related costs can be shared with other schools.
Pupil performance	To display the talent of pupils and to further grow their confidence: 1. Create opportunities for pupils to perform in front of their fellow pupils and teachers e.g. music performance in the assembly hall.

DESIGN ELEMENT THREE: STAFF	
Topic	**Provocative statement**
Building trust relationships	To build a work environment that enhances trust and confidence, allowing staff to make responsible decisions. Specific examples of how this trust culture can be enhance are: 1. Opportunity to utilize free time for solving emergency personal issues; 2. Avoid interference in other departments than your own by trusting the departments to make good decisions. This can be evident in the trust that individual departments will not waste school funds.
Staff development and training	To result in more productive staff with a sense of value-add in the work place: Kitchen staff needs to be trained and developed in areas of food safety, hygiene, HACCP system and cooking skills.

DESIGN ELEMENT THREE: STAFF	
Staff Management	To enhance the culture of acknowledging staff contribution and to further inspire staff by established motivational practices. Specific examples to maintain the above are: 1. Ensure that hard work, dedication and effective results receive a word of acknowledgement; 2. Staff need to have a voice and be encouraged (and allowed) to show initiative; 3. It is essential to the psychological well-being of the staff that they are able to take time when they need it e.g. using flexi-time system, using unused leave days at the end of a cycle, rewards for exceptional service e.g. time off; 4. Provide leadership development for leaders to further enhance their leadership abilities; 5. All stakeholders will feel a greater sense of ownership over their education, if they are genuinely involved in the decision making processes in the school including important aspects such as school policy and the hiring of new staff, dress code etc. 6. Enhance a culture of open-mindedness and a willingness to take risks. This could manifest in creativeness with finances and support "out of the box" thinking.
Staff wellness	To support the wellness of staff during work hours, enhance peer support and friendship-building. The following could be examples of enhancing staff wellness: 1. Allocate a dedicated place where staff can unwind and regroup during the course of the day. Ideally such a place will have a coffee machine and full bathroom; 2. Investigate the possibility of staff access to a health suite; 3. Investigate the possibility to create an affordable, accessible and healthy cafeteria with ample seating and hassle-free booking system. This should be accessible to staff and pupils.

DESIGN ELEMENT FOUR: INFRASTRUCTURE AND EQUIPMENT	
Topic	**Provocative statement**
Equipment and tools to perform daily activities	To obtain and maintain equipment and accessories which will enable us to be more effective in the execution of our duties. The specifics can be listed as: 1. A vehicle with a larger capacity to save time for transporting items; 2. The availability of health and safety protective clothing applicable to all seasons; 3. The daily duties in the kitchen could be more effectively addressed with the installing / repairing of a dishwasher and stove. Kitchen functionality could be improved further by large capacity freezer to allow for more stock to be kept and avoid possible delays of frozen product delivery; 4. Improve around the main entrance by installing a security system to monitor movement [motion sensor]
Infrastructure	To initiate practical infrastructure changes which could result in an improve customer service and image of the school by: 1. Modernise the foyer to portray the image of the school. A further suggestion is the installation of a TV and water dispenser for visitors; 2. Enlarge the debtors area to receive and discuss money-related aspects with parents (preferably in private); 3. Implement an electronic appointment booking system/schedule for receptionist to improve professionalism regarding scheduling of events; 4. Install an astro-turf facility to improve sports development; 5. Modernization of classrooms to be more aligned with the theme of the teaching subjects.

APPENDIX E: SURVEY 2 QUESTIONNAIRE

Please allow the researcher to explain the first page before turning to page 3.

Introduction

This survey is part of a research project undertaken for studies concerning planned change management.

Objective

The purpose of the survey is to explore your personal experiences of a planned change intervention within the school and your immediate work area.

A planned change intervention could include, but is not limited to the following:

- *Introduction of a new or changed process related to your work;*
- *new supervisor / manager introducing a new work methodology; anything that is **consciously** done differently than was done before - for example a changed/new form, reporting structure, different work hours etc.*

Confidentiality

The information you give will be treated as confidential and will only be used in the research project. To ensure that the information you provide cannot be traced back to you, please ensure that your name does not appear *anywhere* on the survey form.

Consent form

Please complete and submit the consent form separately in order to maintain confidentiality.

Participation

Your participation in the research will be very valuable. However, you have the right to withdraw at any stage from the survey, and therefore your participation from the process, without any consequences.

What is required from you?

The survey consists of the following sections:

SECTION	TYPE OF INFORMATION	FORM COLOUR
Section A	Generic information	White
Section B	Role of Appreciative Inquiry	White
Section C	Possible effect of AI on the work place	Pink
Section D	Value of Appreciative Inquiry	Blue

1. Relax and answer the questions as honestly as possible.
2. Ensure that you complete the applicable section/s.

3. Mark the most appropriate answer and provide your opinion where required.
4. Indicate if any question is unclear.
5. There is no time limit regarding the completion of survey questions.
6. Please return the completed survey to the researcher.

SECTION A – GENERIC INFORMATION (To be completed by all levels)

1. Please state your gender:

Male	Female

2. State your race:

African	Coloured	Indian	White	Other

3. State your years of service (permanent and temporary capacity) with the school?

Less than 1 year	1 - 3 years	3 - 7 years	7 - 11 years	11 - 15 years	15 years plus

4. How would you describe your work level within the school?

Workers	Supervisor	Middle management	Senior management

SECTION B – ROLE OF APPRECIATIVE INQUIRY (To be completed by all levels)

5. By focusing on the positive rather than problem solving, do you think that the Appreciative Inquiry methodology motivated your participation?

always	frequently	neutral	seldom	never

6. Do you feel part of the change process by following the Appreciative Inquiry process?

always	frequently	neutral	seldom	never

7. Did you experience the "story telling" part of any value?

always	frequently	neutral	seldom	never

8. Do you believe Appreciative Inquiry helps the values of the school?

strongly agree	agree	neutral	disagree	strongly disagree

9. Do you feel that following the Appreciative Inquiry process, real issues will be addressed?

always	frequently	neutral	seldom	never

10. Will Appreciative Inquiry provide a workable solution?

always	frequently	neutral	seldom	never

SECTION C – POSSIBLE EFFECT OF APPRECIATIVE INQUIRY ON THE WORK PLACE (To be completed by senior and mid-management)

11. Will Appreciative Inquiry assist in providing the school with a successful change process?

always	frequently	neutral	seldom	never

12. What is your opinion regarding Appreciative Inquiry as an effective change methodology?

13. Would you consider using Appreciative Inquiry in future change initiatives?

always	frequently	neutral	seldom	never

SECTION D –VALUE OF APPRECIATIVE INQUIRY (To be completed by senior management)

14. How do you think strong leadership can contribute as an important component in future change intervention?

15. Do you feel that the provocative statement is a practical way to document future actions?

always	frequently	neutral	seldom	never

16. Based on this intervention, do you think sustainable solutions are possible through applying Appreciative Inquiry as a change methodology?

always	frequently	neutral	seldom	never

THANK YOU FOR YOUR TIME

APPENDIX F: INTERVIEW 2 QUESTIONNAIRE

Please allow the researcher to explain the first page before turning to page 2.

Introduction

This interview is part of a research project undertaken for studies concerning planned change management. .

Objective

The purpose of the questionnaire is to explore your personal experience of a planned change intervention within the school and your immediate work area.

A planned change intervention could include, but is not limited to the following:

- *Introduction of a new or changed process related to your work;*
- *new supervisor / manager introducing a new work methodology; anything that is **consciously** done differently than was done before – for example a changed/new form, reporting structure, different work hours etc.*

Confidentiality

The information you give will be treated as confidential and will only be used in the research project. To ensure that the information you provide cannot be trace back to you, please ensure that your name does not appear anywhere on the survey form.

Consent form

Please complete and submit the Consent form separately in order to maintain confidentiality.

Participation

Your participation in the research will be very valuable. However, you have the right to withdraw at any stage from the survey, and therefore your participation from the process, without any consequences.

What is required from you?

Relax and answer the questions as honestly as possible.

SECTION A – GENERIC INFORMATION (To be completed by all levels)

1. Please state your gender:

Male	Female

2. State your race:

African	Coloured	Indian	White	Other

3. State your years of service (permanent and temporary capacity) with the school?

Less than 1 year	1 - 3 years	3 - 7 years	7 - 11 years	11 - 15 years	15 years plus

4. How would you describe your work level within the school?

Workers	Supervisor	Middle management	Senior management

SECTION B – ROLE OF APPRECIATIVE INQUIRY (To be completed by all levels)

5. Please describe your views on how the Appreciative Inquiry approach can work in your area?

SECTION C – POSSIBLE EFFECT OF APPRECIATIVE INQUIRY ON THE WORK PLACE (To be completed by mid-management and senior management)

6. What type of leadership characteristics would you considered important to be present for Appreciative Inquiry as a process, to succeed?

SECTION D –VALUE OF APPRECIATIVE INQUIRY (To be completed by senior management)

7. Based on the intervention, how effective can a change solution be, by using Appreciative Inquiry?

APPENDIX G: INFORMED CONSENT FORM

RHODES UNIVERSITY

INFORMED CONSENT FORM

Department of Management

Research Project Title:	An evaluation of Appreciative Inquiry as an alternative organisation development approach
Principal Investigator(s):	Schalk van der Merwe

Participation Information

- I understand the purpose of the research study and my involvement in it
- I understand the risks of participating in this research study
- I understand the benefits of participating in this research study
- I understand that I may withdraw from the research study at any stage without any penalty
- I understand that participation in this study is done on a voluntary basis
- I understand that while information gained during the study may be published, I will not be identified and my personal results will remain confidential
- I understand that I will receive no payment for participating in this study

Information Explanation

The above information was explained to me by: Schalk van der Merwe

The above information was explained to me in: ☐English and I am in command of this language

OR, it was comprehensibly translated to me by: [name of translator]

Voluntary Consent		
I, the undersigned, hereby voluntarily consent to participate in the above-mentioned research on DATE.		
Name	**Surname**	**Signature**

Investigator Declaration		
I, Schalk Willem van der Merwe, declare that I have explained all the participant information to the participant and have truthfully answered all questions ask me by the participant.		
Signature:		Date: / /