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Employee Transition throughout an Appreciative Inquiry Intervention

by

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Abstract

As the practice of organisational development (OD) bifurcates into the traditional form of *diagnostic OD* and the emerging form of *dialogic OD* (Bushe & Marshak, 2009) it is especially important to obtain a better theoretical understanding of dialogic OD. This need is particularly true of Appreciative Inquiry (AI) as the most prominent form of dialogic OD. The purpose of the research was to build on current theory underlying AI. The specific research question addressed was: In the course of an AI intervention aimed at transformational organisational change, *how do transitioning individual employees feel and make sense for themselves?* The research adopted a multiple-case study design with a predominantly qualitative methodology. A form of theory-driven evaluation known as realist evaluation (Pawson & Tilley, 1997)—comprising of context-mechanism-outcome pattern configurations—was applied. The purposively selected sample consisted of six employees who had not transitioned well following an earlier diagnostic OD intervention with a comparable change objective. Data were collected longitudinally using a combination of diary prompts, direct observation, and interviews. The main findings indicate that: (a) three conceptually independent types of cognitive outcome patterns can occur under AI; (b) during-AI contexts of *positivity-orientated activities* and a *safe environment* each predispose transition towards particular types of cognitive outcome patterns; (c) certain pre-AI contexts, such as *dogmatism* at the level of the individual, influence the degree of transition; and (d) certain reflective mechanisms link particular contexts and affective outcome patterns. The findings of the study build on, and are partly presented in the format of Bushe's (2013b) facets of generativity model and an analytic framework is presented which offers a "way of seeing" transition under an AI intervention. By studying employee transition under AI in a well-specified research design, using clearly defined and well operationalised constructs, the research contributes theory which is substantially more comprehensive than previously available and from which testable propositions can be developed. It thereby overcomes concerns of authors such as Golembiewski (2000) and Bushe (2007) regarding the incompatibility of AI—with its basis in social constructionism—and "rigorous" research.

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CHAPTER ONE: INTRODUCTION

The research interest is in the field of organisational change, where, despite frequent citations in the organisational change literature of failure rates of 60% or more (Beer & Nohria, 2000; By, 2005; Burnes, 2011), there are few studies that explain why this might be so (Burnes, 2011). Process theory in the field of organisational change is referred to as organisational development (OD) (Van de Ven & Poole, 1995) and it is evolving away from diagnostic OD which emphasises problem-solving, a single objective reality, and an emphasis on changing behaviour towards dialogic OD which emphasises social processes, multiple realities, and an emphasis on changing mind-sets (Bushe & Marshak, 2009; By, Oswick, Burnes, 2014). As OD evolves from the diagnostic OD paradigm towards the dialogic OD paradigm, it is especially important to obtain a better understanding of the theories-of-change underlying the emerging dialogic OD.

In particular, the research interest is in appreciative inquiry (AI) which, although acknowledged as the most prominent form of dialogic OD (By et al., 2014; Roberts, 2006) with many accounts of its successful use in practice, there is a dearth of published peer-reviewed research examining the field (Bushe, 2011; Bushe & Storch, 2015; Cameron, Dutton, & Quinn, 2009; Cooperrider, 2013). Specifically, there has been little research into how employees experience and make sense of change under AI. This research aims to make a contribution to building the theory underlying AI by addressing this gap in the literature.

The research design is a multiple-case study, cast in a realist evaluation which acknowledges that individual-level outcomes of an intervention are explained by how the individual interprets and acts upon the intervention in particular contexts (Pawson & Tilley, 2004). The research process consists of deducing an embryonic programme theory from literature to broadly guide the empirical stage of the research. The research therefore aims to build theory by validating or extending conceptually an embryonic theoretical framework.

By strengthening the theory underlying AI, the research provides a better foundation for further research into the basis for AI's effectiveness and also provides an improved understanding of its practical appropriateness in varying contexts. These benefits are important, not only for AI as a particular form of dialogic OD, but also for the broader associated fields of dialogic OD and OD in general.

This introductory chapter describes the background and context for the study before explaining the research problem and the research purpose. The research design and its significance is then discussed, followed by definitions of the key terminology used. The researcher is then introduced and the organisation of the thesis is outlined.

Background and Context

Irrespective of the actual failure rate of organisational change interventions—which may be difficult to define and determine—it is obviously important to strive to improve their likely success rate by better understanding their underlying theories and adapting practice accordingly.

Van de Ven and Poole (1995) define organisational change as an "empirical observation of difference in form, quality, or state over time in an organizational entity" (p. 512). They list entities such as individual jobs, working groups, strategies, products, or the entire organisation as the subject of change. They also clarify that OD refers to an organisational change process. Porras and Silvers (1991) distinguish between OD and Organisation Transformation (OT) saying that the former focuses mainly on changes to the work setting whilst the latter is aimed at a more profound paradigmatic change and at creating a new vision. The authors warn that OT is poorly defined. In this research the term OT will not be adopted. Rather, in keeping with Van de Ven and Poole (1995), the term organisational development (OD) will be used in reference to an organisational change process regardless of whether the change in question is operational or paradigmatic and regardless of whether it relates to a part of an organisation or an entire organisation.

Trends in the Field of Organisational Development

Kurt Lewin is considered a founder of OD (Bartunek, Balogun, & Do, 2011). Schein (1994) emphatically argues that "there is little question that the intellectual father of contemporary theories of applied behavioural science, action research, and planned change is Kurt Lewin" (p. 239). Weick and Quinn (1999) refer to Lewin's 1951 model of change consisting of the stages: unfreeze, change, and refreeze and his concept of resistance to change, as continuing to be "a generic recipe for organisational development" (p. 363). Lewin (1951) says that "to overcome this inner resistance an additional force seems to be required, a force sufficient to 'break the habit', to 'unfreeze' the custom" (p. 225). Lewin's model is based on the assumption that resistance in the form of a quasi-stationary equilibrium is the main obstacle to change and that planned and intentional attempts to break restraints, such as personal defences, group norms or

organisational culture, are required before transition can occur towards a new equilibrium (Weick & Quinn, 1999). By (2005) says that "the planned approach to change was initiated in 1946 by Lewin …. Lewin proposed that before change and new behaviour can be adopted successfully, the previous behaviour has to be discarded" (p. 373). By, Burnes, and Oswick (2011) concur that the foundations of change management can be traced back to Lewin and that "traditionally, the management of change has been something undertaken by managers and consultants with employees and subordinates positioned as recipients of change" (p. 2). Weick and Quinn (1999) define change, from the perspective of OD, as "a set of behavioral science-based theories, values, strategies, and techniques aimed at the planned change of the organizational work setting for the purpose of enhancing individual development and improving organizational performance, through the alteration of organizational members' on-the-job behaviors" (p. 363).

However, the extent to which organisational change really can be planned or managed has become increasingly contentious. By (2005) reports that several authors have questioned the applicability of the planned approach to change because "the current fast-changing environment increasingly weakens this theory" (p. 374) and further argues that a bottom-up emergent approach to change has gained ground. However, he adds that suggestions regarding appropriate emergent approach processes are "rather abstract in nature and difficult to apply" (p. 375).

Van Tonder (2004) highlights the difference between functionalist and interpretivist views of organisations. The functionalist view sees organisations as predictable and controllable and people as tools or resources. This view is concerned with the objective, rational explanation of phenomena and sees the organisation as a machine which can be purposively and rationally managed. The metaphor of *organisations-as-machines*, in which everyone is expected to behave in a predetermined manner, has dominated and driven much of organisation design and management thinking since the industrial revolution (Morgan, 1998, p. 17). The interpretivist paradigm sees the organisation as consisting of socially-constructed shared meaning structures. It can be likened to Morgan's (1998) *organisations-as-cultures* metaphor which assumes "a process of reality construction that allows people to see and understand particular events, actions, objects, utterances, or situations in distinctive ways" (p. 132).

Van Tonder (2004) argues that the functionalist paradigm relies on a *closed system* viewpoint which implies a stable environment. He posits that in today's rapidly

changing world a more complex *open system* interpretivist approach is required for successful organisational change management. Related contemporary theorists cover a range of concepts such as culture, symbolism, organisational identity, organisational learning, and chaos and complexity theories. Weick and Quinn (1999) highlight the contrast between complexity theory, which proposes that improved performance may at times be linked to the surrender of control, and the unfreeze-change-refreeze planned change model which implies "attacking inertia through coercive means" (p. 373).

Similarly, Marshak and Grant (2008) distinguish between *Classical-OD* from the 1950s onwards and *New-OD* from the 1980s onwards. Classical-OD is characterised by discoverable truth and a single objective reality implying that applying data using objective problem solving methods can lead to successful change based on an emphasis on changing behaviour. New-OD is based on multiple, socially constructed realities implying that new mind-sets are required to create change. Common to Classical-OD is a tendency to "treat differences in how actors view a situation as 'misperceptions' that need to be corrected" (p. 8) whereas under the New-OD such differences are treated as "alternative and competing realities" (p. 9) which need to be discussed and negotiated. The authors give AI as an example of a New-OD practice.

Bushe and Marshak (2009) describe the newer OD practices, as compared to the classical approaches, as being "more constructionist than objective in orientation" (p. 349). They label classical OD as diagnostic OD and they label the newer OD as dialogic OD. They explain that diagnostic OD involves the key task of collecting valid data which is "assumed to reflect or mirror an underlying objective reality" (p. 350) and is used to "compare a given team or organization against a prescriptive model or desired future state" (p. 351). In comparison, they say that dialogic OD is based "less on trying to diagnose and define the current system than on developing narratives, stories or conversations that aid in the establishment of more effective or just patterns of organizing" (p. 353). This research will adopt the terms diagnostic OD and dialogic OD throughout to reflect the evolving trend in process theory in the organisational change field.

Dialogic OD focuses on addressing mind-sets whereas diagnostic OD generally focuses on directly changing behaviour (Bushe & Marshak, 2015, p. 14). Bushe and Marshak (2009) highlight that even commonly accepted definitions of organisational development fail to take into account the change from diagnostic OD to dialogic OD, particularly in respect of the earlier focus on changing behaviour rather than the later

focus on changing "the framings and meaning making that guide behavioural responses" (p. 355). They observe that dialogic OD practices "began from identifying what worked for accomplishing change without any real theory" (p. 351) and are concerned that the "philosophical and theoretical differences [between the diagnostic and dialogic paradigms] are not well represented in current OD textbooks" (p. 349).

Interestingly, Kuhn (1962), in describing the role of textbooks in paradigm shifts at the collective level in the natural sciences, says that "textbooks . . . have to be rewritten in whole or in part whenever the language, problem-structure, or standards of normal science change. In short they have to be rewritten in the aftermath of each scientific revolution" (p. 137). He argues that "a new theory, however special its range of application, is seldom or never just an increment to what is already known. Its assimilation requires the reconstruction of prior theory and the re-evaluation of prior fact, an intrinsically revolutionary process" (p. 7). By et al. (2011) refer to the emergence of dialogic OD and say that "these developments, and the disjunctures in change management that they reveal, clearly undermine conventional wisdom and established practices, but they also signal the opportunities for fresh avenues of innovative and critical research that exist within the field" (pp. 3–4).

Commenting on the trend from diagnostic OD to dialogic OD, the authors By et al. (2014) claim that interest waned after 1990 "around discrete, punctuated change based upon diagnosis" (p. 4) and particularly attribute this to the emergence of AI which presented a radically different approach to OD than the traditional diagnostic paradigm. Cooperrider (2013) says that AI is aimed at uniting a social constructionist epistemology with a "science not of probabilities but possibilities" (p. 15) and AI is described at a more practical level by Roberts (2006) as asking what is going right in organisations and what can we learn from these examples.

Bushe (2011) stresses that, although there are now many anecdotal accounts of AI's very successful use, if it is not appropriately applied, based on the establishment of sound theory, then it will lose credibility and become labelled as yet another organisational "fad phenomenon" (p. 98). This study is aimed at building sounder theories underlying AI as a form of dialogic OD.

The Tempo of Organisational Change

Weick and Quinn (1999) state that "the distinction between incremental and radical change . . . continues to guide theory construction and data collection" (p. 363). They quote Porras and Silvers as distinguishing between change which is continuous,

evolving, and incremental and change that is episodic, discontinuous, and intermittent. However, they do explain that the contrast can reflect the perspective of the observer, as a close micro view may suggest ongoing adaption and adjustment whereas a more distant macro view may imply "inertia dotted with occasional episodes of revolutionary change" (p. 362).

The author By (2005) identifies the main types of change as categorised by the rate of occurrence to be either *incremental* or *discontinuous* but states that "different authors employ different terminology when describing the same approach" (p. 371). Weick and Quinn (1999) use the terminology of *continuous* and *episodic* change. They describe continuous change as "a pattern of endless modifications in work processes and social practice . . . . numerous small accommodations cumulate and amplify . . . . change is a redirection of what is already underway" (p. 366). The authors say that episodic change is also referred to as *second-order* change and "tends to be dramatic" (p. 366) and further, is Lewinian, with the accompanying learning anxiety and need for psychological safety as it "changes meaning systems" (p. 366). Diagnostic OD is therefore more commonly linked to episodic organisational change.

Bushe and Marshak (2014) claim that "dialogic OD practice differs along a continuum from episodic change practices to continuous change practices" (p. 199). However, according to Barrett (1995), AI is "particularly suited to radical change" (p. 37). Similarly, Bushe and Kassam (2005) say that "we focus on transformational change as this is the most ambitious claim any change process can make and is often one made by AI" (p. 162). They explain that transformational changes "have been variously defined as second-order change … radical change … and revolutionary change" (p. 162). They argue that, ideally, AI results in a new lens "which can create new possibilities for action that people had not previously considered" (p. 164).

This study, which is aimed at building sounder theories underlying AI, is conducted within the broader, organisational-level context of transformational organisational change. The research adopts Weick and Quinn's (1999) definition of transformational organisational change as "changes in cognitive frameworks underlying the organisation's activities, changes in the deep structure or shared schemata that generate and give meaning to those activities" (p. 368).

Levels of Analysis

Barney and Felin (2013) observe that "questions of the primacy of micro versus macro-foundations have been centre stage in the social sciences since the birth of the

field" (p. 139). They contrast arguments that "individual natures are merely the indeterminate material that the social factor molds and transforms" (p. 139) with arguments that "to understand any collective phenomenon or thing, we need to understand the constituent parts that make it up: individuals and their social interaction" (p. 139).

The importance of studying organisational change at the micro level is emphasised by George and Jones (2001) in stating that "first and foremost, change is initiated and carried out by individuals in organizations (Bartunek, 1984; Porras & Robertson, 1992). That is, organizations only change and act through their [individual] members" (p. 420). They go on to say that "at the heart of change is change in organizational members' beliefs, interpretative schemes, and behaviors" (p. 422). Bartunek et al. (2011) also highlight the importance of focusing on how the individual organisational member experiences change. They say that

> beginning with Lewin . . . the primary affective experience that many authors have emphasized was resistance. This emphasis, and the importance of "overcoming" resistance, became more pronounced with the development of transformational change interventions in the 1980s . . . . This approach assumes a management-orientated, top-down perspective on organizational change, without full understanding of change recipient perspectives. (p. 12)

Similarly, Armenakis and Bedeian (1999) say that "successfully implementing change inevitably requires encouraging individuals to enact new behaviors so that desired changes are achieved" (p. 304) and they emphasise the importance of "gauging employee responses to actions undertaken during the enactment of an intended change" (p. 304).

The importance of focusing at the individual level is also supported by Senge (2006) from the perspective of organisational learning where he says that "organizations learn only through individuals who learn. Individual learning does not guarantee organizational learning. But without it no organizational learning occurs" (p. 129). Oreg, Vakola, & Armenakis (2011), in a 60-year review of quantitative organisational change studies, say that the line of research which focuses on the reactions of individuals "is based on the growing consensus about the key role that change recipients' reactions to change have in determining the change's potential to succeed" (p. 462).

This research will focus at the level of the individual. This is in line with authors such as Breu and Benwell (1999) who argue that there has been a growing recognition that, for organisational change interventions to succeed, it is important to consider how

individuals experience and move through the transition process. This argument is perhaps particularly relevant within the paradigm of dialogic OD which emphasises multiple realities and in which "there is a growing movement toward granting pre-eminence to the cognitive processes of mind" (Cooperrider & Srivastva, 1987, p. 135).

In order to investigate theories-of-change for AI at the level of the individual this research primarily adopts a transition theory lens which builds on the notion that *change* and *transition* are two parallel dynamics: change is external to the individual as opposed to transition which is internal to the individual (Bridges, 1986).

Problem Statement

There is a need to better understand the success factors behind organisational change initiatives in order to provide a better foundation for future research and in order to improve their application in practice. As OD trends from diagnostic OD towards dialogic OD it is especially important to obtain a better understanding of the theories-of-change—at the level of the individual—underlying dialogic OD, as juxtaposed to diagnostic OD. This need for better theories-of-change is particularly true of AI as the most prominent form of dialogic OD.

Statement of Purpose

The purpose of the research is to build on the theory underlying AI as a form of dialogic OD aimed at transformational organisational change. The focus will be on individual employees as participants in an AI intervention.

Research Design

The aim of the research is theory building based on investigating contemporary phenomena in depth and within their real-life context. Hence, the research adopts a multiple-case study design with a predominantly qualitative methodology. A theory-driven evaluation approach is used, as recommended by French and Bell (1999) for investigating OD interventions.

The research utilises a form of theory-driven evaluation known as realist evaluation. Pawson and Tilley (2004) explain that a realist evaluation, rather than asking whether or not an entire programme works, asks instead "What works for whom in what circumstances and in what respects, and how?" (p. 2). They say this is based on the recognition that programmes represent social interactions in a complex environment and that individual level outcomes of an intervention are explained by how the individual interprets and acts upon the intervention in particular contexts. Such a method appears particularly appropriate when evaluating an intervention within the dialogic OD

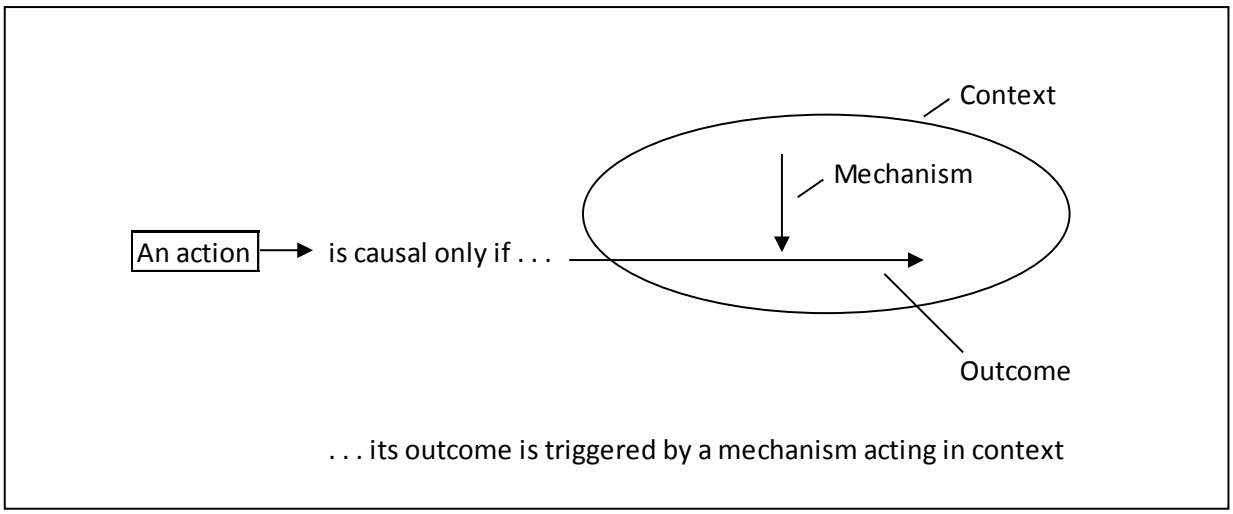


Figure 1: Generic model for a programme theory in realist evaluation (Pawson & Tilley, 1997, p. 58).

paradigm which emphasises complexities such as social processes and multiple realities. Of particular importance to the research, especially in respect of Bushe's (2011) concern that if AI is not appropriately applied, based on sound theory, then it will lose credibility, is Pawson and Tilley's (2004) conclusion that the "body of findings [from a realist evaluation] is intended to help with the business of targeting and tailoring programmes" (p. 19). However, the authors acknowledge that the findings of a realist evaluation are always provisional and that "realist evaluation begins and ends with theory" (p. 19).

Following a realist evaluation approach, the research process consists of deducing an embryonic programme theory comprising *contexts*, *mechanisms*, and *outcome patterns* from a study of the relevant literature. The term mechanism is defined as *the process of how subjects interpret and act upon the intervention* (Pawson & Tilley, 2004, p. 6). Context is defined as *those features of the conditions in which programmes are introduced that are relevant to the operation of the programme mechanisms* (Pawson & Tilley, 2004, p. 7). Contexts are important because it is assumed that the mechanisms will only be active within particular contexts. Outcome patterns are defined as *the intended and unintended consequences of programmes, resulting from the activation of different mechanisms in different contexts* (Pawson & Tilley, 2004, p. 8). Figure 1 shows the generic model for a programme theory in realist evaluation. The empirical stage of this

study examines and builds on the deduced programme theory as juxtaposed against extant transition theory.

Regarding terminology, a programme theory is similar to a *conceptual framework* as commonly used in qualitative research methodology. Miles and Huberman (1994) describe a conceptual framework as explaining "either graphically or in narrative form, the main things to be studied—the key factors, constructs, or variables—and the presumed relationships among them" (p. 18). However, in a realist evaluation, the programme theory is specifically in the format of contexts-mechanisms-outcome patterns. Also regarding terminology, Blamey and Mackenzie (2007) distinguish between *theories-of-change* and realist evaluation *programme theories* by saying that theories-of-change hypothesise links between activities and outcomes whereas programme theories hypothesise links "between mechanisms released by an intervention and their anticipated outcomes" (p. 445). However, the terms theories-of-change and programme theory are used interchangeably in this study.

A pilot study aimed at checking on the proposed data collection instruments was completed at a medium-sized manufacturing company which was the host for an AI intervention aimed at transformational organisational change. As a result of the pilot study the data-collection instruments and data analysis techniques were fine-tuned.

The host organisation for the main study was selected on the basis that it was about to embark on an AI intervention aimed at transformational organisational change. The organisation is the retail banking division of a major banking group in South Africa.

Following a recent merger—referred to by top management at the bank as an *alignment*—of two business units within the division, 45 affected employees were randomly selected from different job roles and four different regional offices to participate in the AI intervention. The objective of the AI intervention was framed within the general title: *Integrating the Alignment with Living the Brand.*

Six individual participants were selected as cases. This number of cases is in line with recommended practice for multiple-case case studies (Eisenhardt, 1989; Yin, 2014). Data were collected six times in respect of each case—once prior to the AI intervention, four times during the AI intervention, and once after the AI intervention—resulting in thirty six data collection points which is in line with recommendations to achieve saturation (Guest, Bunce, & Johnson, 2006). In order to investigate transition throughout the AI process, cases were purposively selected on the basis that they were entering the AI intervention in a non-transitioned state as indicated by their experiencing high survival

anxiety and high learning anxiety following the merger of the two business units. This selection of cases, based on similar characteristics, as distinct from selecting cases as polar opposites, is termed by Seawright and Gerring (2008) as an *extreme case selection* technique. More than 80% of the 45 participants were experiencing high survival and learning anxiety at the pre-AI stage. The sample of six was filtered from amongst these in order to achieve a representative spread of job roles and demographics. The selection was made on the basis of data collected at the pre-AI intervention stage by means of self-report diary prompts.

Data were collected at the pre-AI stage, at the during-AI stage, and at the post-AI stage. In addition to collecting data at different points in time, different data collection methods were also used in order to triangulate the data. At the pre-AI stage, data were collected by means of open-ended diary prompts. During the AI intervention data were collected by direct observation whilst each of the four intervention workshops were in progress and data were collected by open-ended diary prompts immediately following each of the workshops. At the post-AI stage data were collected by means of semi-structured interviews.

Data analysis was performed within a deduced coding framework, established in the format of the contexts, mechanisms, and outcome pattern categories in the deduced programme theory. Data collected before and during the AI intervention by means of open-ended questions and direct observation were analysed by means of a conventional qualitative analysis technique in which codes were derived directly from the data. These induced codes were then fitted within the coding framework categories, or used to extend the categories. It is possible that this hybrid method of analysis—comprising of induced codes and a framework of categories deduced from the programme theory—may represent a methodological contribution to the field of realist evaluation.

The data collected post the AI intervention by means of semi-structured interviews were analysed by a direct content analysis technique in which the initial codes were drawn not only from the deduced programme theory but also from the outputs from the conventional analysis process conducted earlier. The combination of conventional and direct analysis techniques represents a form of triangulation which helps to overcome the limitations of each technique. The direct content approach helps ensure that key categories are identified and the conventional approach helps to minimise the effect of preconceived biases of the researcher.

Rationale and Significance

This study examines transition throughout an AI intervention and starts with the assumption that the transition under AI may be quite different from that under diagnostic OD. By adopting a realist evaluation approach, the problem is considered within a contexts-mechanisms-outcome patterns framework which, to the best of the researcher's knowledge, appears to be a novel lens through which to investigate AI, particularly at the level of the individual. The research may therefore offer fresh insights into the workings and underlying theories of AI. Such insights might not only enable AI to be better understood and more appropriately applied in practice, but may offer a sounder base for future theorising about AI, its base within dialogic OD, and the relationships and differences between dialogic OD and diagnostic OD.

Golembiewski (2000), in a critique of AI, argues that social constructionism and "rigorous research" can be seen by some to be incompatible. He argues that:

> AI idealogs often have announced a commitment to "social constructionism" in most forms of which my sense of 'rigorous research' is seen by others as the imposition of a one-time-elite not aware enough to recognize . . . that its time of hegemony has not only passed but that its conventions have become seriously limiting. (p. 393)

Similarly, in an article in *The AI Practitioner* Bushe (2007) makes a provocative statement when he declares "I don't believe that outcomes of appreciative inquiries that are, first and foremost, organizational change efforts, will ever be treated as research findings by the academic community" (p. 9). He argues that as AI is aimed at creating generative capacity only the participants can judge its contribution to their understanding. By studying AI at the level of the individual and by following individual transition paths using clearly defined and well operationalised constructs in a context-mechanism-outcome framework, this research aims to provide a better understanding of AI in a research design that should meet the criteria for research findings by the academic community and thereby overcome both Golembiewki's (2000) and Bushe's (2007) concerns.

Definitions of Key Terminology

Table 1 lists the key terminology used in this introductory chapter to the thesis. The table shows the definition of each of the terms as selected or developed for the purposes of this introduction together with the academic source of the definition.

Table 1.

Definitions of Key Terminology used in Chapter One

Terminology	Definition for the purposes of this research	Source of Definition
Appreciative inquiry	An OD approach which asks what is going right in organisations and what we can learn from these examples.	Drawn from Roberts (2006)
Organisational Development (OD)	An organisational change process.	Drawn from Van de Ven & Poole (1995)
Organisational Change	An empirical observation of difference in form, quality, or state over time in an organisational entity.	Van de Ven & Poole (1995)
Transformational organisational change	Changes in cognitive frameworks underlying the organisation's activities, changes in the deep structure or shared schemata that generate and give meaning to those activities.	Weick & Quinn (1999)
Diagnostic OD	An OD approach in which performance is compared with a prescriptive model or desired future state.	Drawn from Bushe & Marshak (2009)
Dialogic OD	An OD approach aimed at developing narratives that aid in the establishment of more effective or just patterns of organising	Drawn from Bushe & Marshak (2009)
Realist evaluation	A form of theory-driven evaluation which asks 'what works for whom in what circumstances and in what respects, and how?'	Pawson & Tilley (2004)
Mechanism	The process of how subjects interpret and act upon the intervention	Pawson & Tilley (2004)
Context	Those features of the conditions in which programmes are introduced that are relevant to the operation of the programme mechanisms	Pawson & Tilley (2004)
Outcome pattern	The intended and unintended consequences of programmes, resulting from the activation of different mechanisms in different contexts	Pawson & Tilley (2004)

The Researcher

The researcher has in excess of twenty years of general management experience in industry and was led to an interest in the field of AI, after being intrigued by Ghoshal's (2005) paper entitled "Bad Management Theories are Destroying Good Management Practices" where the author argues that scholars need to rebuild a balance between positive and negative assumptions and points to the nascent field of Positive Organisational Scholarship as an example of a counterforce to the seemingly one-sided, "reductionist and partial theories we have been developing over the last 30 years" (p. 87).

The researcher was aware of conventional wisdom in the field of organisational change that the process is generally difficult and uncomfortable for participants and was fascinated by reports that participants experienced increased pleasantness during an AI intervention (Bushe & Kassam, 2005). The researcher approached the research with an interest in investigating and explaining this apparent contradiction, or at least to better understand the theories underlying AI as highlighted by this possible incongruity. The

researcher has approached the study with an interpretivist mind-set as distinct from a positivist mind-set. This aligns with the underlying epistemology of multiple realities in both dialogic OD and AI. The research adopts a qualitative methodology as typically associated with an interpretivist world-view.

A pilot study was conducted in an organisation for which the researcher is the Managing Director and as such the researcher participated in the AI intervention for the pilot study. An independent research assistant was used to collect the data during the pilot study in order to try to reduce the inevitable bias caused by the researcher being the senior member of the management team in the organisation. The level of possible bias is considered acceptable given that the main purpose of the pilot study was to test and refine the data-collection instruments for the main study.

The researcher acted as the direct observer and collector of data during the main study but did not otherwise participate in the AI intervention during the main study. The researcher did however play a role in motivating the Divisional Head at the host organisation to conduct an AI intervention and also played a role in identifying and briefing the AI facilitator. The researcher also observed an independent consultant conduct a number of individual focus group interviews and face-to-face interviews with members of the merged banking units as part of a cultural assessment exercise which was conducted some six months prior to the commencement of the pre-AI data collection phase.

Organisation of the Thesis

The next chapter of the thesis contains a study of the literature and the development of a deduced programme theory as related to the research problem and purpose. The literature study includes an appraisal of literature in the field of transition theory and in the field of AI. As is typical in a realist evaluation approach, the literature study leads to the development of a deduced programme theory to serve as a conceptual framework to broadly guide the empirical stage of the study. The chapter ends with the framing of the research questions.

The following chapter explains and justifies the research design and method. It situates the study as a multiple-case design cast in a realist evaluation with a qualitative methodology. The methods of selecting the research setting and individual cases are described along with the data collection and analysis methods. The chapter also provides a detailed description of all aspects of the techniques and procedures of the study (Bloomberg & Volpe, 2012).

The Research Design and Method chapter is followed by two chapters dealing with data analysis and interpretation. The first contains the within-case analyses leading to transition path models for each case in the realist evaluation format of *focused configurations.* The second contains a cross-case analysis leading to findings in the realist evaluation format of *outcome regularities* (Pawson & Tilley, 1997, p. 125).

The subsequent chapter of the thesis is the Discussion chapter. As is typical in a realist evaluation, the available theoretical knowledge is used as an interpretative guide to group and develop the outcome regularities into *abstract configurations* representing a *middle-range* theory (Pawson & Tilley, 1997, p. 116). The deduced programme theory is revised and the structure of the revised programme theory is presented as an *analytic framework.* Some *generative propositions* are developed which lie outside the scope of the analytic framework and which represent opportunities for further research.

The final chapter is the Conclusion and Recommendations chapter in which the contribution of the study is summarised, the limitations are identified, and recommendations for further research are proposed.

CHAPTER TWO: LITERATURE STUDY AND DEVELOPMENT OF A DEDUCED PROGRAMME THEORY

The purpose of the research is to build on the theory underlying AI as a form of dialogic OD aimed at transformational organisational change. The focus is on individual employees as participants in an AI intervention. As is typical in a realist evaluation approach, an embryonic programme theory is deduced from the literature. The main function of the deduced programme theory is to identify constructs of interest related to the research purpose which can be used to guide the empirical stage of the research.

As a basis for the development of the deduced programme theory—for transition under AI—extant transition theory literature is reviewed. The review demonstrates that the extant theory is firmly rooted in Lewin's theories of change which underlie diagnostic OD. Nonetheless, this provides an essential foundation for this study because of the dearth of literature in the related and focal field of transition under dialogic OD. Furthermore, the juxtaposition sets the base for the study to highlight possible differences between transition under AI, as a form of dialogic OD, and the extant transition theories underlying diagnostic OD.

This chapter commences with a study of the literature from the field of transition theory together with a study of related concepts from the fields of learning theory, schema theory, and Lewin's theories of change. Transition path models from the literature are presented and summarised. The studies of these fields of literature are presented in a matter-of-fact manner reflecting the well-established stage-of-development of research in these fields (Reichers & Schneider, 1990).

Literature from the field of AI is then studied and the fit, or lack thereof, between AI and literature in the field of transition theory is examined. The study of the literature from the field of AI is presented in a critical manner as is appropriate given the early stage-of-development of research in this field (Reichers & Schneider, 1990).

Lastly, the deduced programme theory for employee transition throughout an AI intervention aimed at transformational organisational change is developed and the research questions are framed.

Transition Theory

Transition theory addresses how individuals experience change. Breu and Benwell (1999) report that Bridges introduced the transition perspective into the organisational sphere "with the aim of understanding individual change in the workplace which was seen as the key to organisational competitiveness and survival in the context

of a fast-moving, rapidly changing environment" (p. 499). Breu and Benwell (1999) explain that transition theory is concerned with identifying the psychological patterns as individuals move from one relatively stable state to another. They refer to the "particular way individuals perceive their environment" (p. 499) and also refer to "individuals' transition *experience* [emphasis added]" (p. 499), thus implying that transition includes both cognitive and affective dimensions.

In their review of 60 years of quantitative studies of change recipients' reactions to organisational change, Oreg et al.'s (2011) criterion for considering a variable to be an *explicit reaction* to change is if "it pertains directly to how change recipients feel (affect), what they think (cognition), or what they intend to do (behavior) *in response to the change*" (p. 477). The authors explain that their criterion draws upon "Piderit's (2000) tripartite definition of resistance to change, which includes affective, cognitive, and behavioral components of the reactions to the change" (p. 477).

Bushe and Kassam (2005) refer to organisational change as resulting in a new lens—or a new way of looking at the world—"which can create new possibilities for action that people had not previously considered" (p. 164). For the purposes of this research, transition is defined as *change at the level of the individual to a new way of looking at the world* where new way of looking at the world is defined as *a fresh perspective which can create new possibilities for action that the individual had not previously considered.*

The theories supporting transition theory will be studied in more detail in order to subsequently investigate how individual employees feel and make sense for themselves during their transition process throughout an AI intervention aimed at transformational organisational change.

Learning and Schema Theory Concepts which Support Transition Theory

Learning is described by Olson and Hergenhahn (2009) as "a general term that is used to describe changes in behavior potentiality resulting from experience" (p. 7). The authors explain that most learning theorists look on learning as a mediator of the relationship between the independent variable of *experience* and the dependent variable of *behaviour change*. In describing learning, Huber (1991) says "*an entity learns if, through its processing of information, the range of its potential behaviors is changed*. This definition holds whether the entity is a human or other animal, a group, an organization, an industry, or a society" (p. 89). Learning at the individual level and transition can therefore be considered to be closely related and Schein (1996) goes as far

as to say that his thinking has "evolved from theorizing about 'planned change' to thinking about such processes more as 'managed learning'" (p. 27).

Olson and Hergenhahn (2009) say that "at this point in history, it appears that to obtain the most accurate picture of the learning process, one must be willing to view it from a number of different angles" (p. 47). They group learning theories into five paradigms: *functionalistic*, which concerns the adjustment of behaviour to the environment; *associationistic*, related to the relationship among ideas; *cognitive,* focusing on the mental processes of learning; *neurophysiological*, which tethers theory to brain function; and *evolutionary*, which considers the developmental history of the learning organism.

Olson and Hergenhahn (2009) associate Edward Thorndike (1874 —1949) with the functionalistic school. Thorndike labelled the link between sense impressions and impulses as *actions connections* and was the first theorist to formally attempt to link sensory events to behaviour. He proposed that "reinforcement increases the strength of a connection" (p. 64).

Ivan Pavlov (1849—1936) was a pioneer of the associationist school and his work "provided a framework for understanding how organisms anticipate *future* events" (Olson & Hergenhahn, 2009, p. 175). The term *Pavlovian conditioning* relates to an *unconditioned stimulus* (US) which elicits a natural and automatic *unconditioned response* (UR) from the organism and a *conditioned stimulus* (CS) which can be used after repeated initial pairing with the US to produce a *conditioned response* (CR) similar to the UR in the absence of the US. If after a CR has been developed, the CS is continually presented without the US following the CS, the CR gradually disappears and experimental *extinction* is said to have occurred. Pavlov believed that during extinction the previously learned associations between CS and US are suppressed or replaced (Olson & Hergenhahn, 2009).

Gestalt psychologists took learning theory into the cognitive paradigm by proposing that "the organism adds something to experience that is not contained in the sensory data, and that something is organisation" (Olson & Hergenhahn, 2009, p. 255). According to Gestaltists, current experiences create *memory traces* in the brain which then influence the perception of future experiences. Jean Piaget (1896–1980) was part of the broader cognitive learning school and was interested in how intellectual potential develops. Central to his theories was the concept of schemata which can be thought of as elements in the cognitive structure which determine how an organism responds to the

physical environment. He defined two poles of an interaction between the organism and the environment with the concept of *assimilation*, which is the process by which an organism responds to the environment in accordance with its existing cognitive structure, and the concept of *accommodation*, which is the process by which unique aspects of experiences cause a cognitive disbalance resulting in changes to the existing cognitive structures (Piaget, *trans.* 1957, pp. 1–3; Wadsworth, 2004, pp. 18–19).

Transformative learning theory is a cognitive learning theory commonly applied in the field of adult learning. The seminal work on transformative learning theory was by Mezirow in 1991 and transformative learning remains the most researched and discussed theory in the field of adult education (Cranton, 2006; Dirkx, 2012, p. 399; Merriam, Caffarella, & Baumgartner, 2007, p. xii; Taylor, 2007, p. 173).

Mezirow (2012) says that "transformative learning refers to transforming a problematic frame of reference to make it more dependable in our adult life by generating opinions and interpretations that are more justified" (p. 85). It can be seen that transformative learning is similar to Piaget's concept of accommodation in which existing cognitive structures are changed. Mezirow (2012) defines a frame of reference as a "meaning perspective—the structure of assumptions and expectations through which we filter sense impressions . . . it selectively shapes and delimits perception, cognition, feelings, and disposition by predisposing our intentions, expectations and purposes" (p. 82). He explains that the sets of assumptions which comprise frames of references include varieties such as sociolinguistic, moral-ethical, epistemic, philosophical, psychological, and aesthetic.

Mezirow (2000) says that transformations often follow some variation of ten phases, the first four of which he gives as:

1. A disorientating dilemma
2. Self-examination with feelings of fear, anger, guilt, or shame
3. A critical assessment of assumptions
4. Recognition that one's discontent and the process of transformation are shared

(p. 22)

He says that *critical reflection of assumptions with awareness* (CRA) by the learner is central to the process. In an earlier work he says that critical reflection involves "challenging our established and habitual patterns of expectation" (Mezirow, 1990, p. 12). Taylor (2008) defines critical reflection as "conscious and explicit reassessment of the consequence and origin of our meaning structures" (p. 6)

The terminology used to describe the phases of transformational learning, such as a disorientating dilemma, fear, anger, guilt, and shame imply that the process involves discomfort. Mezirow (1990) says in respect of critical reflection that "challenges and negations of our conventional criteria of self-assessment are always fraught with threat and strong emotion" (p. 12). Similarly, Courtenay, Merriam and Reeves (1998) explain that "when assumptions are challenged, emotions are aroused …. Consequently, educators of adults should not be surprised when some adult learners become distressed over points of view that threaten long-held assumptions" (p. 80).

Block (1982) defines the concept of cognitive disequilibrium as *the interruption of ongoing behaviour and thought together with the unavailability of a solution* in his theorising about why cognitive disequilibrium causes anxiety and is intrinsically motivating. He postulates that it is

> an indication to the individual that the world, or a portion of it, does not make sense or have meaning and is therefore not predictable or manageable . . . . a survival threat . . . . by the screenings of evolution, can be expected . . . to be anxiety inducing. (p. 290)

He explains that

> to say the interruption of an integrated perceptual-cognitive-response sequence creates a state of dysphoric arousal is simply another, but more encompassing, way of characterizing what in Piaget's terms would be called a failure of assimilative schemata with resulting cognitive disequilibrium. (p. 291)

For the purposes of this research the term cognitive disbalance will be used interchangeably with the terms cognitive disequilibrium and/or disorientating dilemma; and the term critical reflection *on* assumptions will be used interchangeably with critical reflection *of* assumptions.

According to Courtenay et al. (1998), "at the heart of transformational learning is meaning-making —the act of 'making sense' of an experience" (p. 65) and they advise that facilitators of change can maximise their role if they are "knowledgeable about the centrality of meaning-making in transformational learning" (p. 80). Mezirow (1990) maintains that "to make meaning means to make sense of an experience; we make an interpretation of it. When we subsequently use this interpretation to guide decision making or action, then making meaning becomes learning" (p. 1). Weick (1995) puts it quite simply saying that "the concept of sensemaking is well named because, literally, it means the making of sense" (p. 4). Oreg et al. (2011) refer to sensemaking in the

organisational change context as "what do the change recipients believe the change means" (p. 478).

Weick, Sutcliffe, and Obstfeld (2005) explain that "we expect to find explicit efforts at sensemaking whenever the current state of the world is perceived to be different from the expected state of the world" (p. 414). They observe that "in every case [involving sensemaking] an expectation of continuity is breached . . . [and] efforts are made to construct a plausible sense of what is happening" (pp. 414–415). They add that "projects are ongoing and when interrupted generate either negative emotions when resumption is thwarted or positive emotions when resumption is facilitated" (p. 418) and that consequently "sensemaking in organizations will often occur amidst intense emotional experience" (p. 418). George and Jones (2001) developed a model of the individual change process which includes the "highly interdependent nature of affect and cognition" (p. 422), saying that "emotion is not just a by-product of, or influence on, the change process but also the initial trigger of the change" (p. 422). Similarly, Weick (1995) refers to ideas proposed by Berscheid and Mandler in arguing that "a necessary condition for emotion is 'arousal' or discharge in the central nervous system. And arousal is triggered by interruptions of ongoing activity . . . . the perception of arousal triggers a rudimentary act of sensemaking" (p. 45). He explains that "it makes good sense to construct an organism that reacts significantly when the world is no longer the way it was" (p. 46). Weick et al. (2005) state that "further exploration of emotion and sensemaking is crucial" (p. 419) and quote a 1997 review by Magala of Weick's own seminal book in saying that "perhaps the most important lost opportunity in the 1995 book *Sensemaking in Organizations* was fuller development of a theory of organizational sentiments" (p. 418). Maitlis and Christianson (2014) observe that "empirical work on sensemaking and emotion is still quite scarce . . . . we call for further research in this area" (p. 100). As this research is interested in how individual employees feel and make sense for themselves during an AI intervention, the focus is on both sensemaking and emotion.

In summary, literature from the fields of learning theory and schema theory imply that transition requires the process of accommodation in which unique aspects of experiences create cognitive disbalance and anxiety. Such a process, as implied by Mezirow's theory of transformational learning, requires critical reflection on assumptions with awareness in order to achieve changes to the existing cognitive structures in pursuance of reverting to a state of cognitive balance and reduced anxiety.

The Basis of Transition Theory in Lewin's Theories of Change

Schein (2010) stresses that "the fundamental assumptions underlying *any* change in a human system are derived originally from Kurt Lewin" (p. 299) and this section of the literature study will further explore the link between transition theory and Lewin's theories of change and in particular will consider the role of unlearning.

According to Burnes (2004), Kurt Lewin was "much influenced by the Gestalt psychologists he had worked with in Berlin" (p. 981) and Olson and Hergenhahn (2009) say that Lewin

> developed a theory of human motivation around field theory. He said that human behavior at any time is determined by the total number of psychological facts being experienced at that time . . . . some of these facts exert a positive influence on the person's behavior; and some a negative influence. It is the totality of these events that determines behavior at any given time. (p. 258)

Burnes (2004) said of Lewin's field theory that "because of its potential to map the forces impinging on an individual, group or organization, it underpinned the other elements of his work" (p. 982). Schein (1996) explains how Lewin utilised psychological field theory to develop his concept that human change required an initial *unfreezing* stage:

> Unfreezing as a concept entered the change literature early to highlight the observation that the stability of human behavior was based on "quasi-stationary equilibria" supported by a large force field of driving and restraining forces. For change to occur, this force field had to be altered under complex psychological conditions because, as was often noted, just adding a driving force toward change often produced an immediate counterforce to maintain equilibrium. This observation led to the important insight that the equilibrium could more easily be moved if one could remove constraining forces, since there were usually already driving forces in the system. Unfortunately, restraining forces were harder to get at because they were often personal psychological defences or group norms embedded in the organizational or community culture. (pp. 27–28)

Interestingly, Cummings, Bridgman and Brown (2015) question whether Lewin actually developed the unfreeze, change, and refreeze—*change as three steps* (CATS)—model and contend that the model was only fully formed after his death. However, for the purposes of this literature study the issue is not critical and it will be assumed that the model was in fact developed by Lewin.

Gestaltists said that a driving force toward change creates a state of cognitive disequilibrium which has motivational properties as it is not as satisfying as the equilibrium state of cognitive balance (Olson & Hergenhahn, 2009). As an example, the authors quote Holt as remarking: "Listen to the anxiety in a person's voice when he says, 'this doesn't make sense!'" (p. 277). They further point out that a significant contribution of gestalt psychology was that it "turned our attention from extrinsic to intrinsic reinforcement" (p. 279). Lewin (1951) contends that "to break open the shell of complacency and self-righteousness it is sometimes necessary to bring about an emotional stir up" (p. 985).

Schein (2010) explains that he built on Lewin's unfreeze-change-refreeze model of change to develop an elaborated model in the 1960s and 1970s in which he defined the stages of learning/change as

Stage 1 Unfreezing: Creating the motivation to change

- Disconfirmation
- Creation of survival anxiety or guilt
- Creation of psychological safety to overcome learning anxiety

Stage 2 Learning New Concepts, New Meanings for Old Concepts, and New Standards for Judgement . . .

Stage 3 Internalizing New Concepts, Meanings, and Standards . . . . (p. 300)

Schein (1996) states that "all forms of learning and change start with some form of dissatisfaction or frustration generated by data that disconfirm our expectations or hopes" (p. 28) and in a later work Schein (2010) explains that *disconfirmation*

> creates disequilibrium in pointing out that something is wrong somewhere . . . . it makes members of the organization uncomfortable and anxious —a state we can think of as *survival anxiety* in that it implies that unless we change, something bad will happen to the individual, the group, and/or the organization. (p. 301)

Schein (1996) contends that the feeling of survival anxiety is likely to be accompanied by learning anxiety which is based on a fear of loss of power or position, fear of temporary incompetence, fear of punishment for incompetence, fear of loss of personal identity or fear of loss of group membership. Coutu (2002) quotes Schein as saying that "learning anxiety comes from being afraid to try something new for fear that it will be too difficult . . . or that we will have to depart from old habits that have worked for us in the past" (p. 107). Schein (2009) importantly concludes that, in order to produce change, the focus

should be on dealing with learning anxiety as the alternative approach of increasing survival anxiety may simply lead to increased learning anxiety and resistance to change. The same author argues that learning anxiety can only be overcome if sufficient psychological safety is created: "People ... have to see a manageable path forward, a direction that will not be catastrophic. They have to feel that a change will not jeopardize their current sense of identity and wholeness" (Schein, 1993, p89). The learning anxiety is caused by the need to unlearn pre-existing knowledge or habits and only when the survival anxiety is greater than the learning anxiety does unfreezing occur. Schein (1996) emphasises that "cognitive redefinition occurs when the learner has become unfrozen (i.e., motivated to change) and has, therefore, opened him—or herself up to new information" (p. 62). Burnes (2004) in paraphrasing Lewin says "the equilibrium needs to be destabilized (unfrozen) before old behaviour can be discarded (unlearnt) and new behaviour successfully adopted" (p. 985).

A common theme in the limited literature regarding individual response to organisation change is that of unlearning and relearning, particularly when it comes to radical change (Stuart, 1996). Schein (1996) stated that human change "was a profound psychological dynamic process that involved painful unlearning without loss of ego-identity and difficult relearning as one cognitively attempted to restructure one's thoughts, perceptions, feelings, and attitudes" (p. 27). In an earlier work, Schein (1994) emphasises that "any change process involves not only learning something new, but *unlearning* something that is already present and possibly well integrated into the personality and social relationships of the individual" (p. 243). Similarly, Bridges (2009) asserts that "before you can begin something new, you have to end what used to be. Before you can learn a new way of doing things, you have to unlearn the old way" (p. 23). Van Tonder (2004) refers to this unlearning and relearning as "the modification or replacement of pre-existing cognitions that are typically ordered in the form of meaning structures or schemata" (p. 118).

In Hedberg's 1981 book *How Organizations Learn and Unlearn*, which is acknowledged by many authors as a seminal work in the area of unlearning, he refers to unlearning as the process of discarding obsolete and misleading knowledge (Becker, 2005). Newstrom (1983), in an article entitled "The Management of Unlearning: Exploding the 'Clean Slate' Fallacy", defined unlearning in relation to the training of individuals as "the process of reducing or eliminating pre-existing knowledge or habits that would otherwise represent formidable barriers to new learning" (p. 36). He places

unlearning within the context of Lewin's unfreeze-change-refreeze organisational change model. Huber (1991) also links unlearning to Lewin's model in saying that "unlearning opens the way for new learning to take place; the reasoning is analogous to Kurt Lewin's idea that organizational change can best be implemented if a felt need for change is first created, if an 'unfreezing' occurs" (p. 105).

Bridges (1986) maintains that the transition path for individuals undergoing change is a psychological process consisting of the stages of *letting go*, *neutral zone* and *new beginning* which is similar to Lewin's diagnostic OD model of unfreeze-change-refreeze. This similarity is an example of Weick and Quinn's (1999) claim that "scratch any account of creating and managing change and the idea that change is a three-stage process which necessarily begins with a process of unfreezing will not be far below the surface" (p. 363). Likewise, in a paper entitled "The 'Death Valley' of Change", Elrod and Tippett (2001) review the body of knowledge surrounding the human response to change and transition and conclude that "surprisingly, a majority of the models studied were found to share two important characteristics: they follow Lewin's 1952 three-phase model of change; and they describe a degradation of capabilities in the intermediate stages of the change process" (p. 273). Stuart (1996) notes that "no matter how tragic or (seemingly) trivial the events, our responses all follow a very similar pattern" (p. 12).

In explaining the apparently inevitable period of lessened effectiveness, Elrod and Tippett (2001) quote Harvey's statement that "it is crucial to remember that for every change proposed or achieved, someone loses something" (p. 278). Bridges (1986) describes the unfreezing—or letting go—stage with words such as loss, denial, anger, grief, despair and describes the neutral zone with words such as disorientation, disintegration and discovery. He says that the new beginnings stage needs to compensate for losses in areas such as meaning, competence-based identity, and control, stating that "a new vision can take root only after the old vision has died and been buried" (p. 31). Dent and Goldberg (1999) emphasise that people do not resist change per se, but resist losses such as loss of status or comfort. Kanter (1985) gives ten reasons for resistance to change, including loss of control, excess uncertainty and loss of face and says that

> even in opportunity there is some small loss. It can be a loss of routines, comforts and traditions that were important, maybe a loss of relationships . . . . Thus we all need a chance to let go of the past, to "mourn" it . . . . resistance to change is not irrational; it stems from good and understandable concerns. (p. 56)

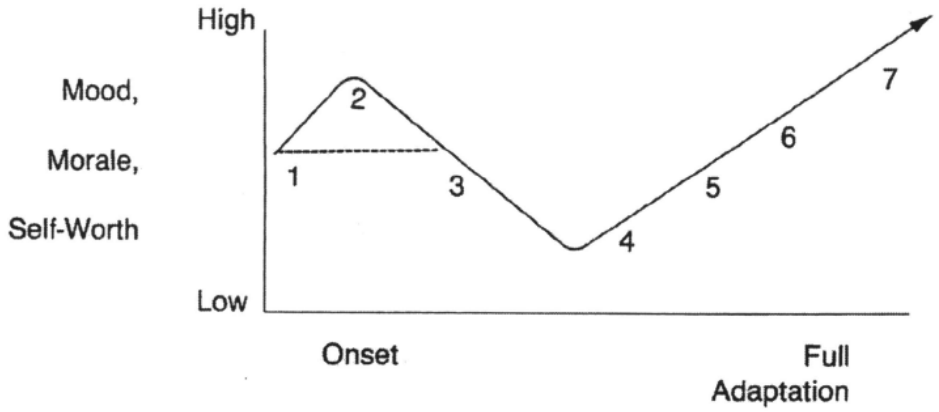


Figure 2: Stages of transition (Adams & Spencer, 1988, p. 62). The numbers indicate: 1. Destabilising and losing focus, 2. Minimising the impact, 3. Questioning self-worth, 4. Letting go of the past, 5. Testing the new situation, 6. Searching for meaning, 7. Integrating the experience.

Iacovini (1993) says that "talk about a new vision goes over people's heads if no one seizes the opportunity to deal with the fear, confusion, and sadness about letting go of an identity that made them successful in the past" (p. 66).

Transition theory is firmly rooted in Lewin's theory of change which implies that increased anxiety is not only an inevitable but also a necessary component of individual change.

Transition Path Models

Based on Lewin's basic change model of unfreeze-change-refreeze, Adams and Spencer (1988) developed a seven-stage transition model associated with a morale curve as shown in Figure 2. They state that the "transition experience is predictable and quite normal" (p. 61) and that they have not come up with any sure-fire ways to avoid the uncomfortable parts of the process adding that "if people missed the tough parts of the adaptation process, we think they would miss many of the learning opportunities we believe are inherently present in every transition" (p. 61). The initial rise in morale is not always observed and, according to Courtenay et al. (1998), can be described as "denial … that protects the self from being overwhelmed by excessive amounts of anxiety" (p. 75).

Adams and Spencer (1988) describe the uncomfortable stage 3 by saying that "at this point, people are likely to become aware that they are quite stressed. They will also

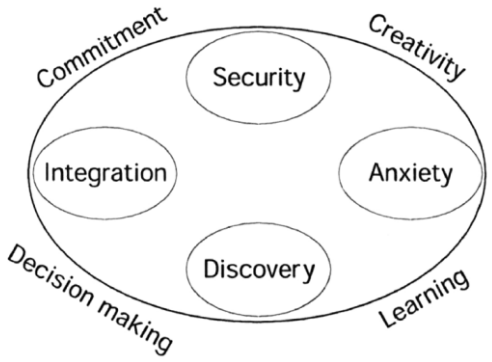


Figure 3: Cyclical transition model (French & Delahaye, 1996, p. 26).

probably experience a growing sense of depression and powerlessness—with occasional bursts of anger" (p. 63).

Variations to the seven-stage transition model have been developed but the basic underlying concepts, as per Lewin's unfreeze-change-refreeze change model remain. For example, French and Delahaye (1996) developed a cyclical model, as shown in Figure 3, consisting of *security-anxiety-discovery-integration*. They defined *propellants* which drive the model, with *creativity* driving the security-anxiety step, *learning* driving the anxiety-discovery step, *decision making* driving the discovery-integration step and *commitment* driving the integration-security step. They commented that during the process individuals "will experience a certain level of anxiety caused by the loss of old familiar patterns and processes" (p. 25).

Elrod and Tippett (2001) refer to other models representing the human response to change such as Perlman and Takac's ten-phase model and Bupp's model, both of which portray "the decrease in performance or morale associated with the interim stages of the change process" (p. 281) described by words such as anger, depression, resignation, and grief. The authors explain that "it is when expectations and reality clash, that distraction, uncertainty, and confusion take hold and performance drops" (p. 288).

Parker and Lewis (1981) are also of the opinion that "there is a common psychological pattern associated with transitions" (p. 17) and that the questioning self-worth stage, which they term the *incompetence* stage, is necessary in order for people to move on and develop. They state that "it is not until individuals have experienced anger, frustration, and activity that they can make sense of what has occurred" (p. 19). They

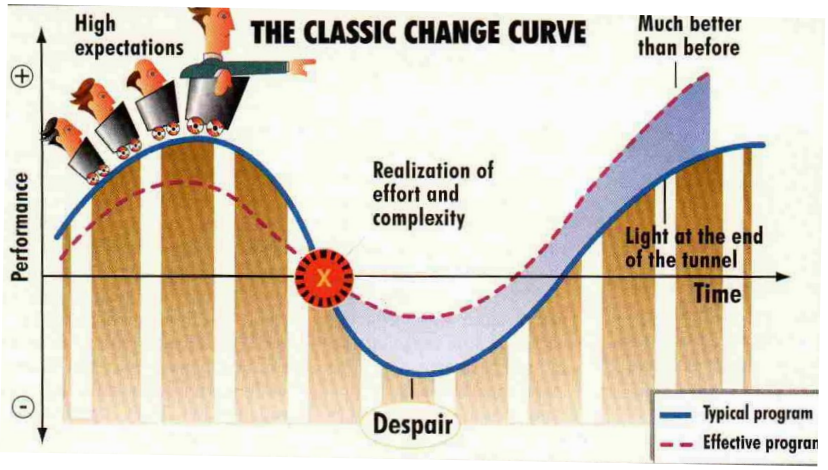


Figure 4: Change curves (Schneider & Goldwasser, 1998, p. 41).

argue that "the purpose is not to get rid of the transition curve but to help people manage the seven stages of transition successfully" (p. 20). Schneider and Goldwasser (1998) show both a *typical* and an *effective* change curve superimposed on the same graph, as shown in Figure 4. Interestingly, even the so-called effective curve shows a significant drop in performance at the intermittent stage.

Summary of Transition Theory

Extant transition theory, which is firmly rooted in Lewin's theory of change, posits that unique aspects of experience result in a failure of assimilation and create cognitive disbalance and survival anxiety. The increase in the level of survival anxiety causes a corresponding increase in learning anxiety. Only if survival anxiety is greater than learning anxiety can unfreezing occur. This then opens up the individual to new learning. Learning requires critical reflection on assumptions with awareness in which old behaviours and habits are unlearnt and existing schemata are either replaced or modified. This process, in which a stimulus cannot be assimilated into existing schemata and which results in existing schemata being replaced or modified, is known as accommodation. This summary of transition theory is represented in Figure 5.

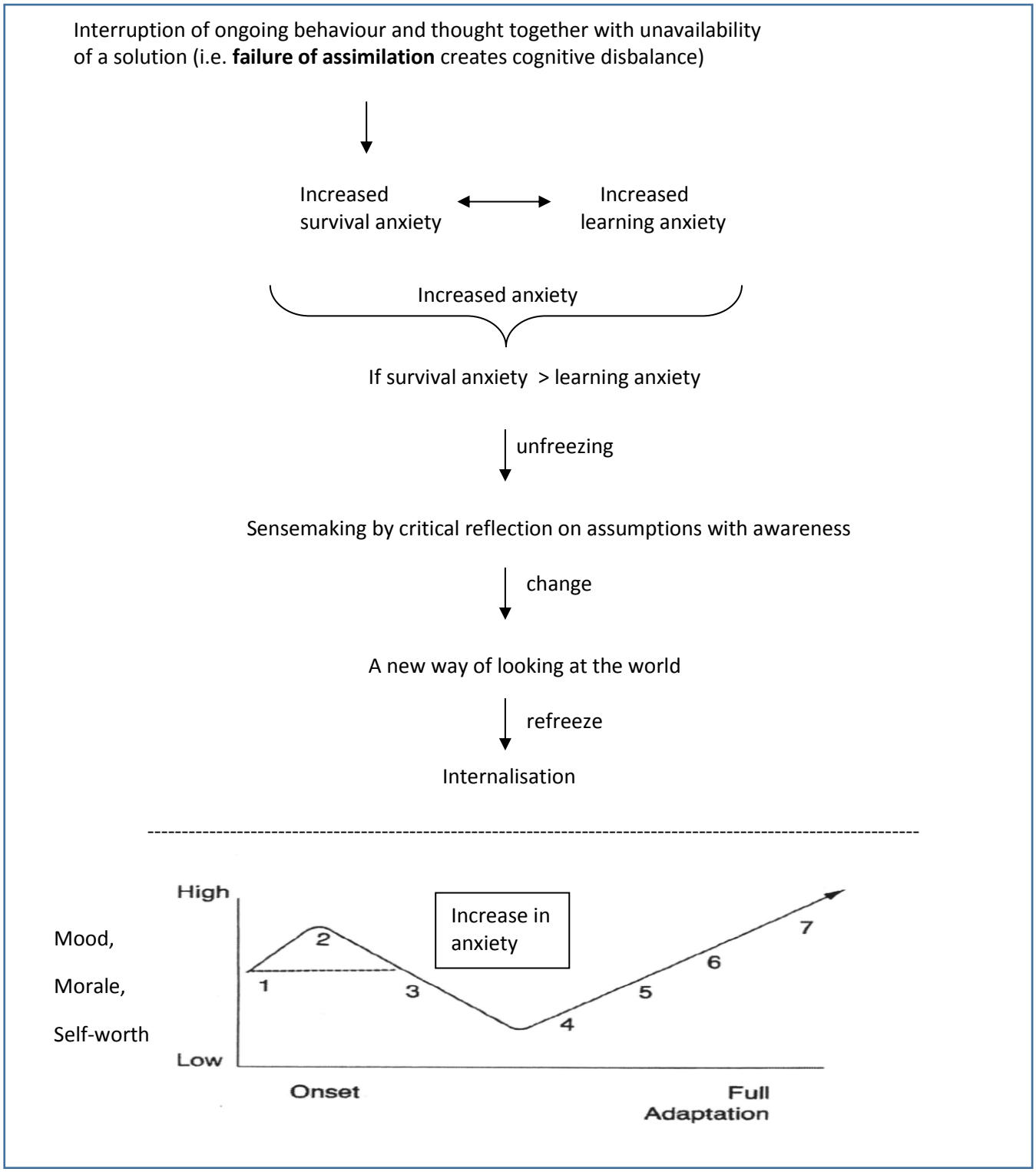


Figure 5: Summary of transition path based on literature. Adapted from Lewin's unfreeze-change-refreeze model of change and Schein's (2010) concepts of survival anxiety and learning anxiety. Anxiety increases as shown in Adam and Spencer's (1988) stages of transition model.

Table 2.

Constructs of Interest Based on Transition Theory Literature

Construct	Definition for the purposes of this research	Source of Definition
Transition	Change at the level of the individual to a new way of looking at the world.	Drawn from Bridges (1986)
New way of looking at the world	A fresh perspective which can create new possibilities for action that the individual had not previously considered.	Drawn from Bushe & Kassam (2005)
Cognitive disbalance	The interruption of ongoing behaviour and thought together with the unavailability of a solution	Block (1982)
Survival anxiety	A state that implies that unless we change, something bad will happen to the individual, the group, and/or the organization	Schein (1996)
Learning anxiety	Fear of failure or loss	Schein (1996)
Critical reflection of assumptions with awareness	Conscious and explicit reassessment of the consequence and origin of our meaning structures.	Taylor (2008)
Assimilation	A process in which the response to the environment is based on existing cognitive structure	Piaget as per Wadsworth (2004)
Accommodation	A process in which unique aspects of experiences cause a cognitive disbalance resulting in changes to cognitive structure	Piaget as per Wadsworth (2004)

Constructs of interest based on transition theory literature. Table 2 lists the constructs of interest based on the study of extant transition theory literature together with the study of related concepts from the fields of learning theory, schema theory, and Lewin's theories of change. The table shows the definition of each of the constructs as selected or developed for the purposes of this research.

The constructs provide a foundation for the development of the deduced programme theory for transition under AI. For example, the constructs of survival anxiety and learning anxiety are used in the development of the pre-AI intervention contexts. Also, the cognitive disbalance, critical reflection on assumptions with awareness, assimilation, and accommodation constructs contribute, albeit sometimes as juxtapositions, in the development of the deduced programme theory mechanisms and affective outcome patterns. In addition, some of these constructs identified from extant transition theory form part of the revised programme theory as presented in Chapter Six of this Thesis and as developed from the findings of the study.

The survival anxiety and learning anxiety constructs are also used in the selection of cases for the empirical stage of the research.

Appreciative Inquiry

Appreciative Inquiry as a Form of Dialogic OD

AI is considered to be part of the emergent broader field of Positive Organisational Scholarship (POS) which is described by Cameron et al. (2009) as focusing on organisational phenomena which are especially positive. They say that "this does not mean that traditional organizational studies could be accused of focussing on 'negative' or undesirable states, only that especially positive states, dynamics, and outcomes usually receive less attention in traditional organizational studies" (p. 4). They state that the aim of POS is to develop theory-based foundations for positive phenomena and does not represent a single theory, but encompasses organisations typified by "appreciation, collaboration, virtuousness, vitality and meaningfulness" (p. 3) and organisational members characterised by "trustworthiness, resilience, wisdom, humility, and high levels of positive energy" (p. 3). POS has gained momentum from *Positive Psychology,* a term posited in 1998 by Seligman as an umbrella term for previously isolated lines of theory in the field of psychology interested in promoting human potential as opposed to the more common focus on treating human pathologies (Peterson & Seligman, 2009). POS approaches issues with the belief that the desire to improve the human condition is universal. It claims to provide "a fresh lens. It offers new ways of looking at old phenomena" (Cameron et al., 2009, p. 10).

In an introduction to a special issue of "The Journal of Applied Behavioral Science" focussing on Positive Organisational Change, Cameron (2008) says that this particular kind of change "has grown out of the newly emerging field of positive organizational scholarship (POS). It refers to the investigation of positive dynamics, positive attributes and positive outcomes in organizations" (p. 7). He explains that the meaning of the term positive in POS is converging "toward an emphasis on strengths, capabilities, and possibilities rather than problems, threats, and weakness" (p. 8) and states that the field includes AI.

AI is described by Cooperrider and Whitney (2001) as an organisational change process which involves focusing on searching for the "best in people, their organizations, and the relevant world around them" (p. 3). It involves asking unconditional positive questions about an affirmative topic. The linking of this positive change core to a change agenda is claimed to create an energy which can lead to "democratically mobilized" (p. 3) transformational change. Roberts (2006) comments that "rather than only wrestle with the question of what's wrong in organizations, positive scholars encourage the field to

pose the complementary question, 'What's going right in organizations, and what can we learn from these examples of human flourishing?'" (p. 294). She says that "appreciative inquiry is a dominant force in the field of organizational development" (p. 293).

The AI change process is encapsulated by Cooperrider and Whitney (2001) by means of the *4 D's Cycle*. The first phase, *discovery*, involves creating the positive change core. The second phase, *dream*, asks *What is the world calling us to become?* and *What do we want to continue into the future?* It results in "a vision of a better world, a powerful purpose, and a compelling statement of strategic intent" (p. 10). The third phase, *design*, redesigns organisational structures and processes to achieve the dream and may include formalisation of a generative theory. The fourth phase, *destiny*, allows participants to form *inspired movements* to implement change without the development of specific action plans: "Changes would happen not by organized confrontation, diagnosis, burning platforms, or piecemeal reform but through irresistibly vibrant and real visions" (Cooperrider & Whitney, 2001, p. 13).

Cooperrider and Whitney (2001), in arguing against diagnostic OD approaches, state that "in human terms problem approaches are notorious for generating defensiveness" (p. 18). They conclude that there is a growing sense of disenchantment with theories of change which are "wedded to vocabularies of human deficit, and a corresponding urge to work with people, groups, and organizations in more constructive …ways" (p. 21). Schein (1993) expands upon the implications of overly negative management practices in proposing that "people who are punished across a wide range of behavior are likely to limit themselves to very narrow safe ranges" (p. 87) and therefore "to the extent that our present managerial theories emphasize the stick over the carrot, we are building in strong resistances to new learning" (p. 87).

The focus on addressing mind-sets, rather than focusing directly on changing behaviour, leads participants in AI interventions to develop new ways to think about their situation. Ideally AI results in a *generative theory*, a new lens "which can create new possibilities for action that people had not previously considered" (Bushe & Kassam, 2005, p. 164). Similarly, Cooperrider and Srivastva (1987) claim that "good theory may be one of the best means human beings have for affecting change . . . through our assumptions and choice of method we largely create the world we later discover" (p. 129). They classify AI as being in the realm of action research but say that "the primary barrier limiting the potential of action-research has been its romance with 'action' at the expense

of 'theory'" (p. 130) whereas AI has the "capacity to challenge the guiding assumptions of the culture" (p. 130).

Appreciative Inquiry and Action Research

Kurt Lewin is generally credited as being the founder of action research (Babbie & Mouton, 2001; Burnes, 2004). Burnes (2004) explains that "Lewin (1946, p. 206) stated 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'" (p. 984). Burnes (2004) further explains that the reason Lewin went on to develop his unfreeze-change-refreeze model of change was because he was concerned about the sustainability of change introduced under action research. Lewin (1951) asserts that "a change toward a higher level of group performance is frequently short lived; after a 'shot in the arm,' group life soon returns to the previous level" (p. 228).

It would appear that the accusation that action research has a romance with action at the expense of theory was not in line with Lewin's intention regarding the method. He was influenced by the Gestalt school "which stresses that change can only successfully be achieved by helping individuals to reflect on and gain insights into the totality of their situation" (Burnes, 2004, p. 984). It is, however, easy to see that practitioners following the steps of planning, action, and fact-finding about the results of the action might well omit any critical self-reflection by the participants and follow a more superficial problem-solving type approach. Burnes (2004) writes that Lewin saw his concepts of field theory, group dynamics, action research and the unfreeze-change-refreeze model as "a unified whole with each element supporting and reinforcing the others and all of them necessary to understand and bring about planned change, whether it be at the level of the individual, group, organization or even society" (p. 981). Burnes (2004) states that these four concepts are often treated in isolation as if they were separate themes of Lewin's work. Burnes and Cooke (2012) say that descriptions of AI as post-Lewinian "may be something of an exaggeration" (p. 1412) and, in a later paper, the same authors say that AI's "underlying constructionist philosophy is also consistent with Lewin's gestalt psychology" (Burnes & Cooke, 2013, p. 419). It is quite apparent that Lewin envisioned that an action research intervention combined with aspects of field theory would involve delving into the underlying theories assisting and hampering change but that, in subsequent practice, this opportunity appears to have been missed. Argyris (1997) also says that Lewin went beyond prediction when attempting to implement change and that he showed that what is required are "causal explanations of what was in the heads of the

actors that caused them to create the actions that were observed by the researchers. It is these types of causal explanations that are required if social science is to be actionable" (p. 818).

In line with the more common perspective that action research is traditionally applied primarily at the behavioural level, Cooperrider and Srivastva (1987) state that there is

> a growing disenchantment with theories of science that grant priority to the external world in the generation of human knowledge. Instead there is a growing movement toward granting preeminence to the cognitive processes of mind and the symbolic processes of social construction. (p. 134)

They argue that the lack of contribution to theory from conventional action research is due to its focus on problem solving rather than on "movement toward an altogether new or transformed reality" (p. 148). They strongly criticise the traditional problem solving approach saying that "by definition, a problem implies that one already has knowledge of what 'should be'; thus one's research is guided by an instrument purpose tied to what is already known. In this sense, problem solving tends to be inherently conservative" (p. 147).

The 'Positivity versus Generativity' Debate

Although AI has become an increasingly popular method for OD practitioners and there are many published guides to its practical application, there is a paucity of underlying theory. Golembiewski (2000) states that the approach has received little of what may be called "really appreciative inquiry" (p. 53); Bushe and Kassam (2005) remark that there is a dearth of published peer-reviewed research examining the field; and Cameron et al. (2009) comment that there are scholarly opportunities to advance the theoretical foundations of AI.

Bushe (2011) expresses his concern that if AI is not appropriately applied, based on the establishment of sound theory, then it will lose credibility and become labelled as yet another organisational change fad phenomenon. He states that "what we most need are studies that explore successes and failures of AI to explain the moderators and contingencies that influence AI outcomes .... we need longitudinal case studies that are detailed and nuanced" (p. 21). He quotes from personal correspondence, in claiming that David Cooperrider is of the opinion that

> we are still on this quest for a full blown non-deficit theory of change. I'm not saying that the other isn't a way of change but I am saying that we are still in our

> infancy in understanding non-deficit, strength-based or life-centric approaches to change. (p. 19)

Cooperrider (2013) reinforces this statement when he says that "for me, the long-term call and journey to understand the gift of AI . . . is still in its infancy" (p. 6). For example, he asks "is AI about positivity—as so many people in positive psychology and positive organizational scholarship are quick to claim—or is it about generativity, that is ways of doing inquiry that opens our future to new possibilities?" (p. 6).

Bushe and Paranjpey (2015) question the role that positive images and positive emotions play in AI, arguing that although

> a key conceptual scaffolding for AI has been research showing the beneficial effects of positive images and positive affect on creativity and performance . . . . It may well be that, positive and negative emotions, and probably any internal state, can contribute to producing new ideas depending on the context and how people make meaning of the situation they are in. (pp. 4–5)

Bushe (2013b) argues that generativity "has a special resonance with Appreciative Inquiry" (p. 110) and he conceptualises generativity as "the processes and capacities that help people see old things in new ways" (p. 91). He explains that generativity has a number of different facets. Generative outcomes are the number of resulting new decisions and actions; generative capacity is the extent to which individuals are primed to produce generative outcomes; and generative processes are the extent to which an intervention increases generative capacity and/or generative outcomes (p. 93). His model for generativity is shown in Figure 6. However, Bushe and Storch (2015) warn that "with so little research on generativity, most of our advice to OD practitioners rests on our years of practice and anecdotal learning" (p. 114). Similarly, Bushe and Paranjpey (2015) comment that "in organization development the words generative and generativity often get used without much definition" (p. 2).

The current body of research into AI appears unclear as to whether the underlying theory rests on positive images and emotions or on the—currently rather inadequately defined—concept of generativity. In order to help address concerns such as expressed by Bushe (2013a) that "without underlying theory, it is hard to learn why dialogic interventions succeed or fail, and as a consequence no way to accumulate a body of knowledge" (p. 11), this research aims to build on the theory underlying AI.

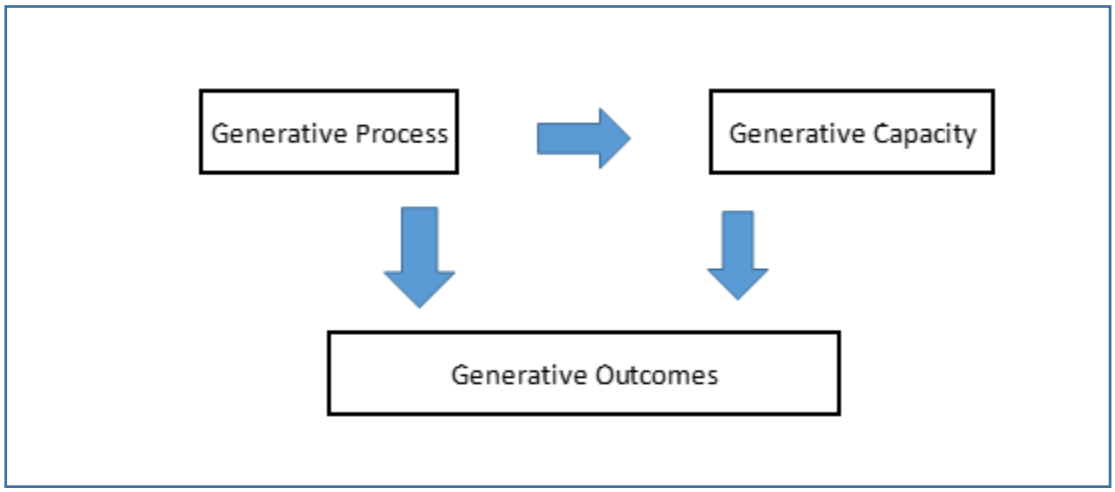


Figure 6: Facets of generativity from Bushe (2013b, p. 93).

Transition under Appreciative Inquiry

Traditional organisational development programmes generally focus on change issues rather than transition issues (Nortier, 1995), but even those that focus on transition appear to aim at "reducing the impact of shock, immobilization and depression" (Parker & Lewis, 1981, p. 20) rather than aiming to alter the basic nature of the transition path which appears to have been assumed to be relatively invariant. For example, in a review of organisational change theory and research, Armenakis and Bedeian (1999) conclude that "additional studies dealing with the behavioral and attitudinal reactions of organizational members to change are needed to further define its human costs and how best to cope with its seemingly inevitable downside" (p. 312). This research takes a contrary approach and examines, inter alia, to what extent an increase in anxiety is indeed an inevitable component of transition under alternative forms of OD such as AI.

It is possible that the transition path for individuals undergoing an AI type of intervention may be quite different from that of individuals undergoing a diagnostic OD type intervention. For example, whereas diagnostic OD typically aims at finding ways to overcome the resistance associated with changing current behaviour, participants in an AI-type intervention are led to focus on positive experiences and then build on them.

Although Cooperrider and Srivastva (1987) argue that AI can be a "powerful means whereby norms, beliefs, and cultural practices may be altered" (p. 145), there appears to be very little research directly linking the fields of AI and transition theory.

Bushe (2011) observes that "Appreciative Inquiry (AI) was one of the first post-Lewinian Organizational Development methods and probably catalysed the subsequent proliferation of Dialogic OD methods (Bushe & Marshak, 2009) that operate outside the Lewinian paradigm" (p. 87). He explains that under the Lewinian paradigm the purpose of questions is to uncover data whereas "AI questions are seen as actually creating what is there. Questions about conflict create more conflict. Questions about the life giving properties of the organization create more vitality" (p. 91). Similarly, Fry and Barrett (2002) say that

> conventional theories of change, capitalizing on a portion of Kurt Lewin's seminal theories, focus on overcoming resistance in order to make change happen. . . . We propose a bold alternative to this notion of planned or managed change—a view to unleashing or aligning with a positive change force or direction that is already there, needing only to be discovered and liberated. (p. 264)

The authors contrast AI to Lewin's unfreeze-change-refreeze model of organisational change in saying that

> a glance at today's popular models of organizational change reveals that they begin with the importance of a shared sense of urgency that something must be altered in the current state to avoid dire consequences. . . . creating a negative feeling of anxiety. . . . AI offers an alternative view of what needs to be unfrozen, or dislodged, so change can occur. (pp. 269–270)

Fry and Barrett (2002) go on to describe the initial stage in AI as *affirmative disruption* in contrast to Lewin's notion of unfreezing. However, the terminology perhaps remains too close to that of Lewin and does not really clarify the pattern of individual transition which occurs under an AI type of intervention.

In considering AI, Schein (1996) appears to focus on the possible reduction of learning anxiety rather than questioning the nature of the transition path and whether the underlying causes of the anxiety are avoidable. For example, he refers to AI as a means of providing psychological safety in saying that "if the interviewer focuses on success and what works well, he or she is creating psychological safety" (p. 71). However, he only appears to have the positive focus in mind for use early in the intervention process as he goes on to propose that the psychological safety "will make it easier for both parties

later in the interview to discuss problem areas, difficulties, things that need improvement" (p. 71). Hence, he does not appear to have considered the possibility that the contexts, mechanisms, and outcome patterns may be quite different under an AI type of intervention than under a diagnostic OD type of intervention. This intransigence may be due to the influence of diagnostic OD theories in which it is commonly assumed that "anxiety inhibits learning, but anxiety is also necessary if learning is going to happen at all" (Coutu, 2002, p. 104).

In 2005, Bushe and Kassam (2005) observed that there is a lack of research examining how AI works and that only one attempt existed in the literature at the time to examine how it works at the level of the individual (p. 161). Their reference was to a paper by Jones (1998) which, rather than a qualitative theory building study, consisted of a quantitative field experiment into the causal link between an AI intervention and employee retention.

Sekerka, Brumbaugh, Rosa, and Cooperrider (2006) conducted a field experiment to compare the effects of the initial discovery phase of AI with the initial problem identification phase of a diagnostic approach. The findings suggest that AI reduces negative affective consequences. The authors focused on the initial phase of the change process because it sets "the emotional and attitudinal foundation on which the success of subsequent phases will be determined" (p. 10) and because "little empirical evidence exists regarding the efficacy of the Discovery phase to generate positive affect" (p. 11). However, by restricting the experiment to the initial phase in the change process the authors limited their ability to determine whether the findings are applicable to real-life change situations in which consequences are likely to be considered much more seriously. The authors acknowledge the unconventional self-administered nature of their intervention and state that "it is highly likely that the unique characteristics of subsequent phases of each method will lead to different outcomes from those demonstrated in our study of the first phase" (p. 41). They recommend that "further research . . . is warranted to identify the mechanisms by which each step of each method contributes to successful organizational change" (p. 41).

Sekerka, Zolin, Smith, and Goosby (2009) investigated emotions at the *precontemplation* stage of an organisational change process where the need for change is not yet acknowledged. They conducted a field experiment in which a thematic qualitative analysis was conducted on participant interview data based on four different intervention conditions. The conditions consisted of the cross grouping of *deficit-based* and *strength-*

based frames of intervention and *self* and *organisation* foci of intervention. They determined that the readiness mode of participants depended upon the different conditions where readiness mode is defined as "the predominant pattern of emotions and attitudes experienced by individuals based upon the inquiry strategy used in an organizational change intervention" (p. 35). They concluded that "if deep change is desired, petitioning strengths may more effectively enable mobilization, helping employees to let go of a past that is no longer effective and prepare them for transition to something new" (p. 42). The study did not attempt to determine how individuals experienced the entire change process but rather focused on investigating factors which may affect readiness for change. In discussing the limitations to their study, Sekerka et al. (2009) state that

> perhaps most importantly, we must learn how different inquiry strategies work *throughout* [emphasis added] the process of change. This study offered insights about the start of the effort, but it is not yet clear how strategies work together or independently to achieve organizational change. (p. 42)

Another example of a study which focuses on the early stages of an AI intervention is Lilja and Richardsson's (2015) investigation into the discovery phase of an AI summit. The study finds that participants most value building close and trustful relationships from the discovery phase experience. To address the limitation in previous studies that focus only on employee transition during the early stages of an AI intervention, the current research will focus on employee transition *throughout* an AI intervention.

In a paper published in *The Journal of Applied Behavioral Science*, Peelle (2006) reports on a quasi-experimental, quantitative study into the effect of AI in cross-functional teams. He proposes that because AI primes participants with achievement goals and then presents participants with existing examples of success, participants experience positive motivational effects. In order to support the proposition he mainly relies on the finding of Lockwood, Jordan, and Kunda (2002) that participants primed with achievement goals and then presented with examples of success, exhibited positive affective reactions. He contrasts this with a diagnostic problem-solving type approach which he claims may lead to reduced motivation because primed achievement goals are juxtaposed with reframing of current practices as deficient.

Although Peelle (2006) attempts to describe the differences between a diagnostic problem-solving approach and AI in terms of the framing concept, he does not attempt to

explain in more depth why AI may be more motivational than a deficit approach in terms of schema theory based mechanisms. This research uses transformative learning theory and schema theory lenses to investigate the underlying contexts and mechanisms which may explain why employees experience and make sense of their transition under an AI type of intervention differently than under a diagnostic OD type of intervention.

Cornelissen and Werner (2014) note that the widespread use of the framing construct across management and organisational theory literature is an indication that it is a central construct within these fields. They say that "framing research has mostly looked at the priming and activation of knowledge schemas, which then guide individual perceptions, inferences, and actions in context" (p. 183). They make a distinction between *priming* in which already available frames of reference are activated and *framing* in which frame-based meanings are actively constructed by individuals in context. They explain that "the cognitive framing of environmental conditions in terms of possible gains or losses affects the responses of individual managers to those conditions" (p. 193). Elsbach, Barr, and Hargadon (2005), in explaining framing, say that "the way that one presents a situation influences the cognitive schema that the perceiver applies to it" (p. 423). They expound that "framing something as a threat, for example, triggers a different evaluative schema than does framing something as an opportunity" (p. 423). The authors recommend that further studies should be conducted "to better understand the interaction between schema and context and the effect that it has on information processing and its outcomes" (p. 425).

Some authors have linked AI and transformative learning in their research. Cockell's (2005) research, which focuses on critical reflection as a collaborative process aimed at uncovering power dynamics, is informed by AI and transformative learning theory. However, she frames transformative learning within critical theory as distinct from critical reflection of one's own assumptions, which, according to Dirkx (2012, p. 402), is common to many other adult education scholars. Cockell's (2005) research also differs from the research to be presented here as her unit of analysis is the group as distinct from the individual.

Watkins, Mohr, and Kelly (2011) say that AI is a useful approach to change at any scale, from individuals to whole communities. Whitney and Trosten-Bloom (2010) observe that the field of coaching has been among the fastest-growing applications of AI (p. 30). Carter (2009) finds that the practice of life coaching, informed by the philosophy and principles of AI, can foster an integrated process of adult transformative learning.

Her research method consisted of selecting a sample of ten coach-client relationships mainly on the criterion of the coach identifying that their client had already undergone transformative learning as a result of an appreciative-based coaching process. Through a grounded theory process she then identified the conditions which had facilitated the transformative learning. The conditions identified were categorised into pre-conditions, personal conditions, environmental conditions, and relational conditions. The research focus was primarily on the *context* within which transformative learning can occur in a one-on-one appreciative-based coaching process as distinct from how a group of employees individually experience and make sense of transition throughout an AI intervention process. Carter's (2009) study was retrospective, with the subjects reflecting on their past experience, whereas this research is a longitudinal real-time study. Carter (2009) also only studied cases purposively selected post the intervention on the basis that they had, supposedly, transformed. In contrast, in this research a sample of cases was purposively selected prior to the intervention which would most likely provide a set of cases with varying degrees of transformation.

Wood (2007) retrospectively studied the experiences of participants in an AI intervention who had self-reported that they had experienced transformational learning—as defined by Mezirow as a change in meaning perspective. The research compared the transformation of each participant as compared to Mezirow's ten stage model and found that transformation under an AI intervention may include "self-examination with positive feelings as a counterpoint to the self-examination with negative feelings" (p. 159).

Gilpin-Jackson (2015), in the context of dialogic OD, asks about the underlying process that individuals in transformational change experience. She attempts to show how a dialogic OD intervention relates to the ten steps commonly associated with Mezirow's theory of transformative learning. She recommends that individuals need to transition through the first three steps: (a) a disorientating dilemma; (b) self-examination with feelings of fear, anger, guilt, or shame; and (c) a critical reflection on assumptions *before* engaging in a dialogic OD process. She considers the next three steps: (a) recognition that one's discomfort and the process of transformation are shared; (b) exploration of options; and (c) planning a course of action to be covered by the dialogic OD intervention itself. She also finds that the final four steps: (a) acquiring knowledge and skills; (b) trying of new roles; (c) building competence; and (d) reintegration are important to sustain the transformation after the dialogic OD intervention. Her study therefore pre-assumes that a dialogic OD intervention fits somehow into Mezirow's ten steps of

transformative learning. Rather than starting with this, or any other assumption, this research starts by asking how transitioning employees feel and make sense for themselves throughout an AI intervention as a form of dialogic OD.

In attempting to explain how a dialogic OD intervention may work, Zandee (2013), in a paper entitled "The Process of Generative Inquiry", says that "the idea is to interrupt habitual practice by exploring and inspiring innovative alternatives" (p. 70). Bushe and Storch (2015) claim that a generative image needs to be created which allows people to look at old problems in new ways and that the image must be compelling (p. 112). Bushe and Marshak (2015), perhaps with the format of Lewin's CATS model in mind, identify three core processes in dialogic OD as: (a) a disruption in the ongoing social construction of reality; (b) a change to one or more core narratives; and (c) the creation of a generative image. However, the authors conclude that "this is a proposition that requires a great deal more empirical inquiry to confirm, modify, or reject" (p. 402). Although these recent studies all discuss how a dialogic OD—or an AI intervention—process may work, the studies do not attempt to provide explanations from the perspective of individual transition paths, that is they do not explore how individual participants experience and make sense of such interventions.

Bushe and Paranjpey (2015) say that there has been very little empirical research into generativity or how it can be increased in an organisational change intervention (p. 2). They attempt to obtain a better understanding of the concept of generativity by conducting a field experiment comparing problem solving and AI approaches to organisational change. In their study they measured generativity in two ways. One way was to use experts to rate the degree of novelty of the ideas generated from each different type of intervention and the other was to compare the pre- and post-intervention opinions of the participants on the criteria of positive, negative, hope, and action. The data from both ways of measuring generativity were only assessed at the group level and, although this method might represent a valid measurement of the generativity of the group of participants as a whole, it does not measure the degree of transition of each individual. In other words, the method adopted does not help determine whether or how an individual may have moved to a new way of looking at the world.

This literature study has shown that there is little in AI literature which investigates or explains how individuals transition, in terms of experiencing and making sense for themselves, throughout an AI intervention. Verleysen, Lambrechts, and Van Acker's (2015) review of AI literature corroborates this observation in that they say that

although there are many published accounts of AI, "there is an emphasis on describing outcomes at the collective level (e.g. Barrett & Fry, 2005; Bushe & Kassam, 2005; Cooperrider, 2012; Fry, Barrett, Seiling, & Whitney, 2002)" (p. 2) and they add that "much of the writing on AI process and outcomes continues to be largely descriptive and anecdotal" (p. 2). This research adopts the philosophy that organisational life is complex and that individuals react differently to an organisational change intervention. Hence a realist evaluation approach is adopted which, rather than asking whether or not a particular entire programme works, asks instead "What works for whom in what circumstances and in what respects, and how?" (Pawson & Tilley, 2004, p. 2).

Development of a Deduced Programme Theory of Employee Transition throughout an Appreciative Inquiry Intervention

The transition path for employees undergoing an AI intervention is examined by means of a realist evaluation. This involves deducing a programme theory consisting of contexts, outcome patterns, and mechanisms. Mechanism refers to the process of how subjects interpret and act upon the intervention. Context is important because it is assumed that the mechanisms will only be active under particular contexts. Outcome patterns consist of the consequences of the intervention, resulting from different mechanisms acting in different contexts" (Pawson & Tilley, 2004, p. 8).

Contexts

Pawson and Tilley (2004) explain that a realist evaluation involves investigating the contexts in order to "address the issues of 'for whom' and 'in what circumstances' a programme will work" (p. 7). The identification of the appropriate contexts is critical to programmes being well-targeted. The contextual conditions which are likely to be relevant to the intervention should be derived from the available literature and included in the deduced programme theory.

In Carter's (2009) study of the factors which facilitate transformative learning in an appreciative coaching process she distinguishes between conditions which existed prior to the coaching relationship and conditions which occur as a result of the relationship. Similarly, Oreg et al. (2011) categorise antecedents to change recipients' reactions to organisational change into *pre-change antecedents* which are independent of the organisational change and which existed prior to the introduction of the change and *change antecedents* which involve aspects of the change itself that influence change recipients' explicit reactions. Drawing from these categorisations, the context concept in

the deduced programme theory for employee transition throughout an AI intervention will be divided into: (a) *pre-AI intervention context* which is defined here as *factors which may influence transition during the upcoming AI intervention which are independent of the AI intervention and which existed prior to the introduction of the AI intervention;* and (b) *during-AI intervention context* which is defined here as *factors involving aspects of the AI intervention itself that may influence employee transition*.

Pre-AI intervention context. In the deduced programme theory for employee transition throughout an AI intervention, the pre-AI intervention context of interest will be: *Nature of survival and learning anxiety following a diagnostic OD intervention with a comparable transformational organisational change objective*. This is considered likely to encompass many of the factors which may influence transition during the AI intervention which are independent of the AI intervention and which existed prior to the introduction of the AI intervention. The empirical stage of the research will aim to validate or build on this embryonic theoretical framework. Basic demographics will also form part of the pre-AI context.

During-AI intervention context. The 4 D's Cycle, comprising the stages of discovery, dream, design, and destiny are aspects of the AI intervention itself which may influence employee transition.

Boyd and Bright (2007) say that a successful discovery phase "uses questions to generate an atmosphere of energy, focus, and anticipation for alternative possibilities and assumptions" (p. 1029) and that during the dream phase "themes from the previous phase are used to design and expand aspirations for change . . . . participants may work in groups to create artwork, poetry, or a skit to depict an ideal future" (p. 1029). They explain that the design phase involves a shift from reflection to action and the destiny phase prepares participants for deployment (pp. 1031–1032).

The AI intervention stages of discovery, dream, design, and destiny will be assumed to be the during-AI intervention contextual factors for the deduced programme theory.

Outcome Patterns

Pawson and Tilley (2004) explain that a realist evaluation is based on the recognition that interventions operate in a complex social environment and hence a realist evaluation does not ask whether an entire intervention succeeds or fails but rather considers an intervention in a much more granular manner. A realist evaluation considers the individual level outcome patterns of an intervention.

The outcome patterns in the deduced programme theory will be considered under the themes of affective outcome patterns, cognitive outcome patterns, and behavioural outcome patterns.

Affective outcome patterns. Oreg et al. (2011), in their review of 60 years of quantitative studies of change recipient reactions to organisational change, observe that the studies have indicated that variables related to the change process, such as the level of participation and the degree of communication, do influence change recipient reactions to change. They say that "as a rule, change recipients who experienced high levels of participation . . . appraised change as less stressful" (p. 491) and "communication about the change was linked with a number of other responses (such as lower levels of anxiety and uncertainty . . .)" (p. 492). However, caution needs to be exercised in interpreting these observations as the stress construct is not defined consistently in the reviewed studies. For instance, in Bartunek, Rousseau, Rudolph and DePalma's (2006) study, affect is measured in terms of the participants' post-intervention rating of pleasantness/unpleasantness of the change initiative outcome. This is clearly different from the outcome pattern concept as defined in this research which relates to how the participants experience the change process.

The review of 60 years of quantitative studies of change recipient reactions to organisational change refers to a study by Amiot et al. (2006) as similarly finding that increased participation in change processes leads to lower stress for participants. The cited study concludes that positive change event characteristics, such as increased participation, predict increased self-efficacy and appraisals of the event as being less stressful. The study measures stress with scale items such as concern over promotional prospects and concern over having to learn new procedures which implies a definition of stress which is similar to Schein's concept of learning anxiety which he says is caused by the need to unlearn pre-existing knowledge or habits. The cited study defines self-efficacy as the participant's confidence that they have the ability to deal with the specific change initiative. As this is shown to increase due to increased levels of participation, the study findings can be explained in terms of Schein's theory that psychological safety, in this case in the form of increased participation, reduces learning anxiety.

Despite levels of change process variables being varied within the studies, it would appear that all of the change interventions in the 60-year review of quantitative studies of change recipient reactions to organisational change were conducted within a diagnostic OD paradigm. Nonetheless, the observation in the review that change process

related antecedents such as participation can influence individual reactions to change supports a supposition that the transition paths for individuals undergoing AI types of intervention, which by their nature are highly participative, may be substantially different from those of participants undergoing a diagnostic OD intervention, particularly in relation to the level of anxiety experienced in response to the change.

Bushe and Kassam (2005) refer to the *positive principle* in AI and say that "AI theorists argue that sentiments like hope, excitement, inspiration, camaraderie, and joy are central to the change process" (p. 167). Similarly, Wood (2007) finds that transformation under an AI intervention may include positive feelings. Hence, an assumed affective outcome pattern for employee transition under AI will be that employees experience *feelings of increased pleasantness*, where pleasantness is defined as a summary of "how well one is doing in terms of a hedonic valence of pleasant-unpleasant, good-bad, positive-negative, or appetitive-aversive" (Seo, Barrett, and Bartunek, 2004, p. 426).

In comparison with an AI approach to organisational change, a diagnostic approach generates defensiveness (Cooperrider & Whitney, 2001) and "makes organizational members more wary and ultimately more resistant to change" (Bushe & Marshak, 2009, p. 354). If the transition path for participants in an AI intervention avoids generating resistance to change, then the implications should be investigated in more detail. This is all the more important since, although historically resistance has commonly been associated with counter-productive employee behaviour, there is also an argument in transition theory literature that resistance is actually a necessary feature of successful organisational change interventions. Waddell and Sohal's (1998) paper entitled "Resistance: A Constructive Tool for Change Management" acknowledges that resistance has both negative and positive effects but emphasises the benefits of resistance in ensuring that correct decisions are made and that some degree of organisational stability ensues. The implication is that a lack of resistance to an organisational change does not automatically deem it a "good" change. The authors state that unless the utility of resistance is recognised, the tendency is for managers to be participative in form rather than in nature simply to force through their preconceived change intentions. As an example, they say that "information 'sharing' often amounted to little more than information 'battering'" (p. 546). Such behaviour is likely to leave employees feeling coerced and even manipulated. Likewise, Piderit (2000) comments that resistance has

been metaphorically defined as a restraining force and therefore it can be used "to dismiss potentially valid employee concerns about proposed changes" (p. 784).

From the diagnostic OD perspective, French and Delahaye (1996) say that anxiety is a natural reaction to organisational change interventions, but resistance to change is not a foregone conclusion. Ford, Ford, and D'Amelio (2008) warn that "agents may want to consider the absence of resistance as a sign of disengagement and a harbinger of future problems resulting from unthinking acceptance" (p. 369). As it is commonly assumed that the transition path for participants undergoing an AI intervention excludes resistance, it is important to understand whether employees feel that they were able to actively participate in the process.

Powley, Fry, Barrett and Bright (2004) claim that an AI Summit "creates a space in which the structure of typical organization hierarchy and command and control decision-making are temporarily suspended" (p. 74) to "foster organizational democracy" (p. 67). A second affective outcome pattern in the deduced programme theory is therefore: *Feelings of participation.*

Determining whether participants in an AI intervention experience feelings of participation will also go some way to address the concerns of authors such as Fineman (2006); Fitzgerald, Oliver and Hoxsey (2010); and Grant and Humphries (2006) that AI ignores power imbalances. Fineman (2006) says that positive human resource management initiatives such as AI are "obscuring rather than dissolving power imbalances" (p. 282). He questions the apparent paradox of management taking action to empower others and refers to it as therapeutic fiction and argues against the "psychologically reified, relatively depoliticized picture" (p283) of POS. Similarly, Barrett and Cooperrider (1990) ask, in respect of the use of a specific form of AI which focuses attention on a domain outside the organisation itself, "does it, because it operates indirectly and outside of explicit awareness also serve to limit individual and group autonomy?" (p. 237). Bushe (2013b) also expresses a concern that AI might be incorrectly used by change agents to deliberately silence critics through a fear of what might be said. It is therefore salient to consider whether participants in an AI intervention perceive that they have been coerced into change or feel that they have been manipulated by not having been given the opportunity to participate explicitly in the change process.

Fineman (2006) also questions the privileging of positive experiences in AI. He says that

> in exclusively favouring positive narratives, appreciative inquiry fails to value the opportunities for positive change that are possible from negative experiences, such as embarrassing events, periods of anger, anxiety, fear or shame …. For Argyris (1994), such a positive skew is anti-learning. He sees it as closing access to crucial data for double-loop learning, thus undermining the capacity for individuals and groups to engage in anything more than superficial change. (p. 275)

Argyris (1994) says that double-loop learning not only asks about objective facts but also the reasons and motives behind those facts and involves questioning one's own and others' assumptions and behaviour. He identifies two obstacles to such learning, the first being social: to protect morale and to be considerate; and the second being psychological: because individuals have mental models structured with the purpose of avoiding "vulnerability, risk, embarrassment and the appearance of incompetence." (p. 80). He does say, in reference to the social obstacle that "in the name of positive thinking …. This apparently benevolent strategy is actually antilearning" (p. 79).

For Argyris (1994) a focus on the positive is seen as a form of censorship aimed at avoiding self-questioning and the deep questioning of others. This appears different to the view of *positiveness* in AI where problems or negative experiences are not avoided but are simply approached differently. Elliot (1999) describes the more indirect approach in an AI intervention by saying "we had to acknowledge the problems—not deal with the problems" (p. 168). For example, a view that a sales team is selling on price rather than on product benefits could be approached by asking about individuals' peak experiences of selling on product benefits and delving into what made these experiences stand out. Questions could then address, without setting any pre-determined targets, how more of this might be achieved. Such an approach is aimed at causing individuals to build new theories about the positive behaviour of selling product benefits. The focus is on addressing employee mind-sets through building a revised generative theory—or new way of looking at the world—creating new possibilities for action which individual employees had not previously considered (Bushe & Kassam, 2005, p. 164). Due to the framing of the questions, at no stage have the individuals been pushed to explicitly critically question their existing assumptions and hence the process is likely to be non-threatening and the obstacles to double-loop learning may be circumvented. The important point is that the AI process is not necessarily anti-learning as it may, in fact,

achieve the objectives of double-loop learning via a different route. It is this possibility that this research aims to explore.

Cognitive outcome patterns. The cognitive outcome patterns in the deduced programme theory represent cognitive reframing by AI-intervention participants as they transition in terms of moving to a new way of looking at the world. The purpose of the deduced programme theory is to guide the empirical stage of the research. Hence the constructs in the deduced programme theory need to be clearly defined and operationalisable. Mezirow's (1991) transformative learning theory serves as a starting point for the development of the cognitive outcome patterns in the deduced programme theory.

Cranton and Taylor (2012), in an introductory chapter to *The Handbook of Transformative Learning* refer to concerns about transformative learning theory, highlighting that "Brookfield (2000) problematizes the idea of transformative learning. . . . the indiscriminate use of the word 'transformative' leads to the loss of its utility and validity" and the authors go on to say that "Newman (2011) . . . challenges us to consider whether transformative learning exists as a distinct form of learning" (p. 10). They conclude that "one aspect of the problem is the lack of clarity with terminology" (p. 14). Similarly, in an earlier paper, Taylor (2000) says that Mezirow's "conceptual construction of a frame of reference, inclusive of meaning schemes though grounded theoretically, lacks a strong empirical foundation" (p. 293).

Cranton and Kasl (2012), in acknowledging that Mezirow described a continuum of learning from the "acquisition of new knowledge . . . to transforming habits of mind" argue that although "we cannot neatly categorize learning as 'transformation present/transformation not present' does not mean that transformative learning is irrelevant as a rich source for guiding educators" (p. 394). However, in a discussion of development in adulthood, Mezirow (2000) helpfully refers to the views of a colleague in the field of transformative learning theory, in saying that

> for Robert Kegan, 'transforming our epistemologies, liberating ourselves from that in which we are embedded, making what was a subject into an object so that we can 'have it' rather than 'be had' by it—this is the most powerful way I know to conceptualize the growth of the mind' (1994, p. 34). (p. 25)

It is clear that Kegan (1982, 2000) bases much of his *subject-object theory* on the cognitive development theories of Piaget. Kegan (1982) explains Piaget's stages of physical-cognitive development in terms of an evolving subject-object balance. He says

"each of his [Piaget's] stages is plausibly the consequence of a given subject-object balance" (p. 39). With reference to Piaget's concepts of assimilation and accommodation, Kegan (2000) highlights the importance of considering the "ways people learn" when he differentiates between *in-form-ative learning* which "seeks to bring valuable new contents into the existing form of our knowing" (p. 49) and *trans-form-ative learning* which "puts the form itself at risk of change" (p. 49). He says that he wishes to "try to protect the genuinely landscape-altering potential in the concept of transformational learning" (p. 47) and suggests that

> at the heart of a form [that is undergoing transformation] is a way of knowing (what Mezirow calls a 'frame of reference'); thus genuinely transformational learning is always to some extent an epistemological change rather than merely a change in behavioral repertoire or an increase in the quantity or fund of knowledge. (p. 48)

Taylor and Snyder (2012) comment that "Kegan's (2000) perspective, which rests on the assumption that 'genuinely transformational learning is always to some extent an epistemological change' (p. 48), offers a meaning to further distinguish transformative learning from other forms of learning" (p. 48). Drawing heavily on Kegan's work, Berger and Atkins (2009) describe transformation as a process of making our beliefs more explicit and they explain that:

> the process of transformation is moving more and more of what is unseen and unexamined in the way we understand the world—those things to which we are *subject*—to a place where they can be seen and examined—and become *objects* for our inspection. (p. 25)

Kegan (2000) explains that the subject-object relationship forms the crux of an epistemology. Importantly, he says

> that which is "object" we can look at, take responsibility for, reflect upon, exercise control over, integrate with some other way of knowing. That which is "subject" we are run by, identified with, fused with, at the effect of. We cannot be responsible for that to which we are subject. . . . When a way of knowing moves from a place where we are "had by it" (captive of it) to a place where we "have it" and can be in relationship to it, the form of our knowing has become more complex, more expansive. This somewhat formal, explicitly epistemological rendering of development comes closest, in my view, to the real meaning of transformation in transformational learning theory. (pp. 53–54)

Bushe and Kassam (2005), in considering the transformational potential of AI at the level of the intervention, say that a move to a new lens can be said to have occurred if "a new way of looking at the world was accepted and employed some kind of realization that something not previously considered important was now important, or vice versa" (p.170). They describe such a transformation as resulting in "new knowledge, models, and/or theories" and they quote Cooperrider and Srivastva (1987) as offering "AI as a method of inquiry for generating new ideas" (p. 163). They also distinguish transformation from "no transformation" which they describe as when "participants remain focused on the same realm of possibilities, constrained by the same prevailing beliefs" (p. 170).

Bushe and Kassam's (2005) concept of transformation in terms of new ideas—or insights—appears to be conceptually different from Kegan's (2000) perspective of transformation in terms of a change in a way of knowing. Hence, the cognitive outcome patterns in the deduced programme theory for employee transition under AI will be classified into two conceptually independent types. The first type will be termed *transition in terms of new insight* and defined as *where new insight is brought into the existing way of knowing resulting in a realisation that something not previously considered important is now important, or vice versa*. The second type will be termed *transition in terms of the way of knowing* defined as *where what was subject now becomes object—where previously the individual was "had by it" (captive of it) to where the individual "has it" and can be in a relationship to it.* These two types of cognitive outcome patterns—or cognitive reframings—for AI-intervention participants as they transition in terms of moving to a new way of looking at the world will be further investigated in the empirical stage of the research.

The two types of cognitive outcome patterns, as defined here, being in terms of new insight or change in the way of knowing are similar to two connotations of the word *appreciative* in Bright and Miller's (2013) book chapter linking aspects of AI to POS. The first connotation they term *operational* which refers to "an increase in the value of capital" and the second they term *epistemological* which they say "has to do with the way we see reality" (p. 321). However, they do not appear to further utilise or expand on the terms in the article.

Bartunek and Moch (1987) refer to *first-order change*—which they equate to *single-loop* or *alpha change*—and *second-order change*—which they equate to *double-loop* or *gamma change*. They say that "first-order changes are incremental modifications

that make sense within an established framework or method of operating. Second-order changes are modifications in the frameworks themselves" (p. 484). However, their interest is in changes in shared schemata at the level of the organisation as distinct from the interest in this study in transition at the level of the individual. They say that "methodologies capable of fully identifying and documenting organizational schemata have yet to be developed" (p. 494).

Argyris (1994) says that single-loop learning "asks a one dimensional question to elicit a one-dimensional answer" (p. 78) whereas double-loop learning "asks questions not only about objective facts but also about reasons and motives behind those facts" (p. 79). Argyris (1991) says that "effective double-loop learning is not simply a function of how people feel. It is a reflection of how they think" (p. 4). His focus is mainly on learning at the organisational level and the concepts of single- and double-loop learning are perhaps more akin to the mechanisms of content reflection and critical reflection on assumptions than to the types of cognitive outcome patterns of a change intervention.

The two types of cognitive outcome patterns, in terms of new insight and change in the way of knowing, appear similar to two of the three types of change generated by OD designs, as identified by Golembiewski, Billingsley, and Yeager (1976). New insight is similar to their concept of alpha change which they define as involving "a variation in the level of some existential state, given a constantly calibrated measuring instrument related to a constant conceptual domain" (p. 134). Likewise, transition in terms of the way of knowing is similar to their concept of gamma change which they define as involving "a redefinition or reconceptualization of some domain, a major change in the perspective or frame of reference within which phenomena are perceived and classified, in what is taken to be relevant in some slice of reality" (p. 135). The authors liken alpha change to *changes in condition* and gamma change to *changes in state* (p. 141). They also identify a third type of change which they term *beta change* which involves the recalibration of measurement intervals. Beta change is discussed further in Chapter Three of this thesis.

Golembiewski et al. (1976) say that "we simply do not know how to distinguish the three types of change in any reasonably rigorous and consistent way" (p. 143) and that "measuring gamma change is extraordinarily difficult since the preintervention instrument is no longer appropriate—the postintervention response is 'off the scale'" (pp. 138–139). Armenakis and Bedeian (1999) report that since 1990 few studies have been conducted along the lines of detecting for gamma change (p. 307).

This study overcomes the measurement—or operationalisation—difficulties regarding different types-of-change concepts such as first-order, second-order, alpha change, or gamma change, by drawing on Bushe and Kassam (2005) to define new insight and by adopting Kegan's (2000) perspective of transformative learning in terms of subject-object balance to define transition in terms of the way of knowing. The study also uses a qualitative methodology rather than the relatively inflexible quantitative scales as envisaged by Golembiewski et al. (1976). In addition, the study heeds the advice of Howard et al. (1979) that "the integration of self-report, objective, and behavioral measures has long been recognized as the most complete way to evaluate a treatment intervention" (p. 22).

Behavioural outcome patterns. Taylor (2000) warns that "despite the abundance of studies looking at change in a frame of reference, it is still far from clear what warrants a perspective transformation" (p. 292). He goes on to say that "Saavedra states that 'action, acting upon redefinitions of our perspectives, is the clearest indication of a transformation'" (p. 297). However, Cranton and Kasl (2012) disagree with this view, saying that without evidence of how a change in behaviour links to cognitive change, the new behaviour itself is not evidence of transformative learning (p. 395). Nonetheless, *intention to change behaviour or actual change in behaviour* will be included as an assumed outcome pattern theme in the deduced programme theory.

Mechanisms

Pawson and Tilley (2004) explain that "mechanisms describe what it is about programmes and interventions that bring about any effects" (p. 6) and that this "only work[s] through the stakeholders' reasoning" (p. 5). John Dewey (1933) argued that reasoning "helps to extend knowledge, while at the same time it depends upon what is already known" (p. 111-112). He went on to state that when the "ground or basis for a belief is deliberately sought and its adequacy to support the belief examined" the process is called reflective thought and "it alone is truly educative in value" (p. 5). He defined reflective thought as "active, persistent, and careful consideration of any belief or supposed form of knowledge in the light of the grounds that support it, and the further conclusions to which it tends" (p. 7). In this research, mechanism—which is defined as the process of how subjects interpret and act upon the intervention—will refer to forms of reflective thought.

Dewey (1933) argued that the elements in reflective thinking are "(a) a state of perplexity, hesitation, doubt; and (b) an act of search or investigation directed toward

bringing to light further facts which serve to corroborate or to nullify the suggested belief" (p. 8). He stated that it begins with a situation which presents a dilemma which "is likely to present itself at first as a shock, as emotional disturbance, as a more or less vague feeling of the unexpected, of something queer, strange, funny, or disconcerting" (p 37) and "it involves willingness to endure a condition of mental unrest and disturbance. Reflective thinking, in short, means judgment suspended during further inquiry; and suspense is likely to be somewhat painful" (p. 9).

Mezirow (1991) differentiates between content, process and premise reflection. He argues that

> although Dewey understood reflective thought as the process of examining assumptions and validating assertions, he did not explicitly differentiate the function of reflection on the content of a problem or on the process of problem solving—that is, critically reviewing the grounds for assumptions pertaining to the strategies and procedures of problem solving—from the function, designated here as premis[e] reflection. (p. 101)

He contends that, in order for a transformation in meaning perspective to occur, critical reflection on premises, or assumptions, is required as opposed to reflection on the content or process of problem-solving. Kreber and Castleden (2009) contrast premise reflection, in which core beliefs are called into question, with content reflection and process reflection. They clarify that content reflection asks about the content of a problem and current knowledge of how to solve the problem while process reflection asks about the effectiveness of problem solving.

The mechanism of premise reflection, or critical reflection on assumptions, might not be suitable to explain the assumed outcome patterns in the deduced programme theory for employee transition under AI. In particular, the mechanism cannot explain why employees may experience feelings of increased pleasantness whilst transitioning under AI. Hence, it can be assumed that content and process reflection are adequate to provide meaning for employees undergoing transition under an AI intervention.

The mechanisms in the deduced programme theory for employee transition throughout an AI intervention are therefore assumed to be content reflection and/or process reflection. Content reflection is described by Mezirow (1991) as a process in which we "are not attending to the grounds or justification for our beliefs but are simply using our beliefs to make an interpretation" (p107). Kreber and Castleden (2009) say that "importantly, the question of whether our beliefs or conceptions are 'valid' is not one

posed by content reflection" (p. 512). Process reflection is defined by Kreber and Castleden (2009) as *questioning the effectiveness of problem solving.* The assumed mechanisms in the deduced programme theory are *content reflection* and *process reflection.*

As the programme theory for employee transition under AI assumes that only content and/or process reflection are required, it implies that existing beliefs and conceptions are unquestioned and hence the process is one of assimilation rather than accommodation. Wadsworth (2004) describes assimilation as when "a person imposes his or her available structure on the stimuli being processed" (p. 18). The assumed main mechanism in the deduced programme theory for employee transition under AI is therefore quite different from that commonly assumed for diagnostic OD.

The deduced programme theory for employee transition throughout an AI intervention assumes that schema change occurs by means of assimilation as opposed to the process of schema change under a diagnostic OD type of intervention which is by means of accommodation. Wadsworth (2004) says that during assimilation "stimuli are forced to fit the person's structure. In accommodation, the reverse is true. The person is forced to change his or her schema to fit the new stimuli, which the person was unable to assimilate" (p. 18).

As content and process reflection, unlike critical reflection on assumptions with awareness, do not question existing beliefs or conceptions and as assimilation does not require cognitive disbalance, the posited mechanisms can help to explain why participants may experience feelings of increased pleasantness under an AI intervention.

The assumed mechanisms in the deduced programme theory for employee transition under AI are content reflection and process reflection as opposed to deeper levels of reflection such as critical reflection on assumptions with awareness. The issue of whether transformational learning at the level of the individual can occur without critical reflection on assumptions with awareness has been a contentious issue within the field of adult learning theory literature.

Can transformational learning occur without critical reflection on assumptions with awareness? Mezirow (2000) describes critical reflection on assumptions with awareness (CRA), as challenging our established and habitual patterns of expectation and he claims that it is central to the process of transformational learning. Mezirow (1998) differentiates between CRA and assimilation. Whereas CRA involves the active construction of knowledge, the process of assimilative learning is described as

when "our situation changes, and, beyond the scope of our awareness, we make a tacit judgment to move toward a way of thinking or behaving that we deem more appropriate to our new situation" (p. 4). He says that the distinction between assimilation and CRA—which relates to the awareness of critical reflection—is crucial and he confines views of changes to frames of reference which might occur without awareness to instances such as culture-change, brain washing, coercion, and indoctrination. For example he quotes that

> Taylor (1994) challenges the idea that transformative learning necessarily requires CRA. On the basis of a study of twelve Americans who had lived in another country for at least two years, Taylor contends that the development of new habits of thought and living in different cultures can produce a transformation in frames of reference without the person being aware of it. Taylor's analysis suggests that his subjects experienced dramatic changes in orientation based upon assimilation rather than critical reflection of assumptions. In a sense this assimilative learning, albeit mindless, did indeed result in major reorientation and changes in values. Dramatic changes in orientation may be effected by culture change as well as by brain washing, coercion, and indoctrination. (pp. 188–189)

Mezirow argues that in the field of adult education, transformation only occurs within the scope of one's awareness through CRA.

However, Taylor (1997) claims that "transformational learning theory, as presently understood, cannot explain meaning scheme and meaning structure transformations that occur outside the bounds of intentional construal" (p. 42). Merriam (2004) contends that Mezirow should "substantively expand the theory of transformational learning to include more 'connected,' affective, and intuitive dimensions on an equal footing with cognitive and rational components" (pp. 66–67).

As the mechanism in the deduced programme theory for employee transition under AI assumes that the schema change sequence involves the use of content reflection or process reflection and not CRA, it is in alignment with adult learning scholars such as Merriam and Taylor who contend that schema change can occur without CRA.

Can transformational learning occur without unlearning? Transition theory assumes that increased learning anxiety is an inevitable component of the change process. As learning anxiety is caused by the need to unlearn pre-existing knowledge or habits and as it is posited that transformational learning can occur under AI with increased pleasantness, the issue of whether transformational learning can occur without unlearning

is relevant to the proposed study. It is therefore important to review whether learning requires pre-existing knowledge to be destroyed or whether it remains.

Becker (2005) comments on the lack of empirical research in the field of unlearning and quotes Eaterby-Smith as saying that "further work should be conducted into how individual and shared cognitive maps can change" (p. 659). She comments that, whereas one set of theories of unlearning suggests that obsolete and misleading knowledge is discarded by unlearning, there is a counter school of thought which proposes that "knowledge is not destroyed but remains" (p. 661). She cites Bouton's learning laboratory studies and Klein's *parenthetic learning* model as examples of this counter school.

Bouton (2000) was predominantly from the associationistic learning theory paradigm and his laboratory experiments led him to conclude that "there is now ample evidence that the original learning is not destroyed …. Some manipulation causes a substantial return of the original behaviour after extinction has occurred …. In another context, the original performance can return" (p. 58).

Klein (1989) argues that the *discarded knowledge* unlearning model "fails to capture the individual and organizational processes necessary to achieve the objectives for which it is proposed" (p. 291). He examines Greiner's unlearning model consisting of the extinction of undesirable knowledge and its replacement by new knowledge and claims that such a model "vastly underestimates human potential" (p. 292). According to Klein (1989), "nonreproduced items are not necessarily lost forever" (p. 293) but rather "unlearning is largely a matter of reduced response availability" (p. 293). His point is that learning does not necessarily imply a loss of previous knowledge. He proposes an alternative learning model which he calls parenthetic learning and defines it as "the cognitive expulsion of elements from a set, due to enhanced understanding of characteristics that define the set, thereby reducing its size. The elements remaining in the set are 'parenthesized' or distinguished from previous members" (p. 300).

In explaining additional benefits of defining the learning process as parenthetic, Klein (1989) says "one can facilitate the process by framing it constructively . . . adaptation can be recommended persuasively by presenting it as a skill that has already been mastered and now must simply be applied once again" (p. 300). He contends that a focus on unlearning specifically is not necessary. These points bear a striking resemblance to certain aspects of AI-based organisational change interventions and

would support a proposition that learning can occur under AI without the need for unlearning.

Srithika and Bhattacharyya (2009), in a paper entitled "Facilitating Organizational Unlearning Using Appreciative Inquiry as an Intervention", suggest that "increased resistance and fear inherent in the unlearning process calls for an affirmative and strength-based approach such as appreciative inquiry" (p. 67). However, rather than striving to determine whether unlearning is a component of transition under AI, they attempt to explain how such an intervention would satisfy the required steps as per those already identified for unlearning in general being:

1) individuals, groups or organizations to *identify existing knowledge*
2) individuals, groups or organizations to *recognize the obsoleteness* of such existing knowledge
3) individuals to *express the obsoleteness* of knowledge to groups or organizations.
4) groups or organizations to *recognize such obsoleteness* of knowledge
5) individuals, groups or organizations to *resist or avoid the application* of such obsolete knowledge.
6) *substitution of old knowledge* by new knowledge (learning gained). (p. 70)

In comparing the 4-D process of AI with these commonly accepted unlearning steps the authors assume that an AI-based intervention openly addresses the issue of obsolete knowledge as per steps two to five above and they make the statement that "any type of organizational learning would involve: (1) creation of new knowledge and (2) getting rid of obsolete knowledge" (p. 67). The authors may have been correct to state that a change process calls for an affirmative approach to help overcome fear and resistance but they may be incorrect to attempt to fit such an approach with the steps of unlearning in the literature. This research challenges the view that increased learning anxiety caused by the need to get rid of obsolete knowledge is a necessary component of any organisational learning or change process.

The Deduced Programme Theory

A programme theory of employee transition throughout an AI intervention has been deduced from the literature and is shown in Figure 7. The programme theory aims to show, in the form of an embryonic theory, the mechanisms which act in contexts leading to outcome patterns throughout an AI intervention aimed at transformational organisational change. The main function of the deduced programme theory is to identify

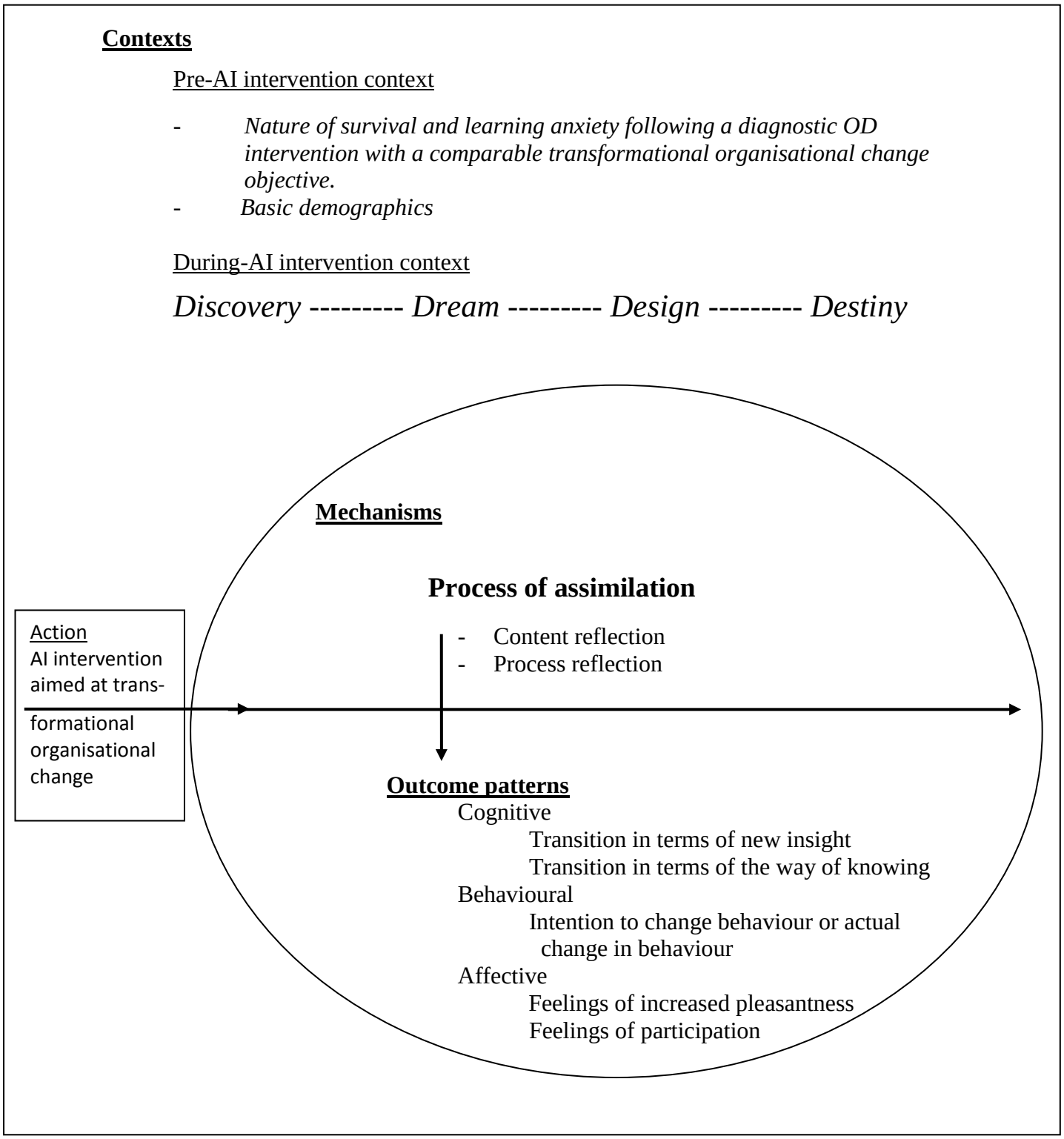


Figure 7: Deduced programme theory for employee transition throughout an Appreciative Inquiry Intervention. Mechanisms adapted from Mezirow's (1991) categories of reflection and outcome patterns mainly adapted from Bushe and Kassam (2005); and Kegan (2000).

the constructs of interest and their possible linkages which can be used to guide the empirical stage of the research.

The broad contexts for the deduced programme theory for employee transition throughout an AI intervention are drawn from Carter (2009) and Oreg et al. (2011) in that they are divided into pre-AI contexts, which are independent from the intervention itself, and during-AI contexts, which involve aspects of the intervention. The literature study has led to the identification of the reasons for high survival and learning anxiety following a diagnostic OD intervention with comparable transformational change objectives as a pre-AI context. Basic demographics is also included as a pre-AI context. The literature study has also resulted in the 4-D Cycle of discovery, dream, design, and destiny being assumed to make up the during-AI contexts.

The mechanisms in the deduced programme theory concern how participants make sense of the intervention. Dewey (1933) says that meaning is established by reflective thought. Drawing from Mezirow's (1991) distinction between content reflection, process reflection, and critical reflection on assumptions and his argument that critical reflection on assumptions always involves discomfort, the mechanisms in the deduced programme theory are assumed to be content reflection and process reflection. This is counter to transformative learning theory which claims that transition involves critical reflection on assumptions with associated feelings of fear, anger, guilt, or shame.

The cognitive outcome patterns, in terms of new insight and the way of knowing are drawn mainly from Bushe and Kassam (2005); and Kegan (2000). Following Taylor's (2000) advice that behaviour change is a good indicator of cognitive change, the intention to change behaviour or actual change in behaviour is included as a behavioural outcome pattern. Based on Bushe and Kassam's (2005) reference to AI involving sentiments such as hope, excitement, and joy, the affective outcome pattern of *feelings of increased pleasantness* is also included in the programme theory. In order to examine claims that AI can be seen as manipulative—claims which have been made by authors such as Fineman (2006)—*feelings of participation* is also included as an affective outcome pattern.

Constructs of interest in the deduced programme theory. Table 3 lists the constructs of interest as identified in the deduced programme theory for employee transition throughout an AI intervention. The table shows the definition of each of the constructs as selected or as developed for the purposes of this research. The definitions

Table 3.

Constructs of Interest in the Deduced Programme Theory

Construct	Definition for the purposes of this research	Source of Definition
Discovery	The first phase of an AI intervention which involves creating the positive change core.	Cooperrider & Whitney (2001)
Dream	The second phase of an AI intervention which asks what do we want to continue into the future?	Cooperrider & Whitney (2001)
Design	The third phase of an AI intervention which redesigns structures and processes and may include formalisation of a generative theory.	Cooperrider & Whitney (2001)
Destiny	The fourth phase of an AI intervention which involves creating inspired movements to implement change.	Cooperrider & Whitney (2001)
Content Reflection	Using our beliefs to make an interpretation as opposed to attending to the grounds or justification for our beliefs. The question of whether our beliefs or conceptions are "valid" is NOT one posed by content reflection.	Mezirow (1991); Kreber and Castleden (2009).
Process Reflection	Questioning the effectiveness of problem solving.	Kreber and Castleden (2009).
Transition in terms of new insight	Where new insight is brought into the existing way of knowing resulting in a realisation that something not previously considered important is now important, or vice versa.	Drawn from Bushe & Kassam (2005)
Transition in terms of the way of knowing	Where what was subject now becomes object—where previously the individual was "had by it" (captive of it) to where the individual "has it" and can be in a relationship to it.	Drawn from Kegan (2000)
Feelings of pleasantness	How well one is doing in terms of a hedonic valence of pleasant-unpleasant, good-bad, positive-negative, or appetitive-aversive.	Seo, et al. (2004)
Feelings of participation	Employee's satisfaction with the extent to which they were consulted.	Drawn from Amiot, et al. (2006)

serve as an aid for the research design and in particular for the design of the data measuring instruments and coding rules.

The Research Questions

The purpose of the research is to build on the theory underlying AI as a form of dialogic OD aimed at transformational organisational change. The focus will be on employee transition throughout an AI intervention.

The main research question asks: In the course of an AI intervention aimed at transformational organisational change, how do transitioning individual employees feel and make sense for themselves? The empirical stage of the research addresses the main research question by examining the deduced programme theory for employee transition throughout an AI intervention. The examination of the deduced programme theory for employee transition throughout an AI intervention directly or indirectly addresses subsidiary research-questions, such as the following:

Sub-question No. 1: What are the cognitive outcome patterns with regard to employee transition—to a new way of looking at the world—under an AI intervention?

Sub-question No. 2: What contexts trigger the mechanisms necessary for employee transition under AI?

Sub-question No. 3: What mechanisms facilitate transition under an AI intervention?

Sub-question No. 3a: Is critical reflection on assumptions with awareness a necessary mechanism for employee transition under AI?

Sub-question No. 4: What are the affective outcome patterns with regard to employee transition under an AI intervention?

Sub-question No. 4a: Can transition occur with increased pleasantness under an AI intervention?

Sub-question No. 5: Does AI enhance or dissolve employee-employer power imbalances?

CHAPTER THREE: RESEARCH DESIGN AND METHOD

The purpose of this study is to build on the theory underlying AI as a form of dialogic OD aimed at transformational organisational change. The focus is on individual employees as participants in an AI intervention. This chapter describes the research design and research method and also includes a discussion of the ethical considerations of the research.

Yin (2014) says that "a research design is the logic that links the data to be collected (and the conclusions to be drawn) to the initial questions of the study" (p.26). The first section of this chapter justifies and explains the research design for this study, which is a multiple-case study cast in a realist evaluation. The section also describes and justifies the research methodology which is essentially a qualitative research approach.

Babbie and Mouton (2001) explain that qualitative studies consist of methods of selection, data-collection, and analysis (p. 270). The research methods adopted in this study are described in this chapter under the headings of: (a) methods of selection; (b) methods of data collection and the data-collection instruments; and (c) methods of data analysis.

The Research Design: Multiple-case Study Cast in a Realist Evaluation

The research design sets out the strategy by which to address the research questions. The main research question asks how employees experience and make sense of their transition throughout an AI intervention aimed at transformational organisational change. This calls for a research design encompassing multiple cases of individual employees, considered in-depth, over time, in the real-time context of an AI intervention aimed at transformational organisational change.

Case Study Research

Yin (2014) argues that case study research, as distinct from other forms of social science research such as experiments and surveys, is preferred when: "(1) the main research questions are 'how' or 'why' questions; (2) a researcher has little or no control over behavioral events; and (3) the focus of the study is a contemporary (as opposed to entirely historical) phenomenon" (p. 2). Case studies are appropriate when the boundaries between phenomenon and context are not clear and where there is a need to understand complex social phenomena (Yin, 2014, p. 4).

Beer (2014) explains the difficulty in conducting controlled studies in the field of organisational change:

> What are the real world constraints that limit the number of controlled studies? . . . One of the most important constraints is the difficulty in gaining senior management's commitment to controlled studies . . . it is very hard if not impossible to conduct controlled studies in complex organizations where strategies, problems, and leaders are constantly changing. Even in operating units with single and relatively stable tasks, it is hard to persuade senior management that they should hold off intervention (treatment) for a subgroup of their operating units. (p. 29)

This study asks a "how" question in a real-world contemporary situation in which the researcher has little control over events. A case study design is therefore appropriate. The study uses a multiple-case design, as distinct from a single-case design, in line with Yin's (2014) recommendation that "the evidence from multiple cases is often considered more compelling, and the overall study is therefore regarded as being more robust" (p. 57).

Evaluation Research

An AI intervention represents a social intervention and hence an evaluation research approach is used. Babbie and Mouton (2001) describe evaluation research as "that field of (applied) social science which utilizes the whole range of social science methods in assessing or evaluating social intervention programmes" (p. 335). They say that the building of new theories and models is one of the possible purposes of evaluation research (p. 338).

Yin (2014) advocates the use of case studies cast in evaluation research. He says "because of the strength of case study research in capturing the complexity of a case as well as changes in the case over time, case study research is the conventional way for doing *process* or *implementation* evaluations" (p. 222). He adds that "the case study evaluation can track the implementation process with fieldwork conducted throughout the implementation period" (p. 222).

French and Bell (1999) highlight the potential difficulties regarding internal validity in research in the field of OD. They ask whether observed changes can be directly attributed to the OD intervention saying that "so much is going on in the real-world situation that it is difficult to pinpoint what causes the changes to occur" (p. 305). They recommend theory-guided research for investigating OD interventions, saying that "theory-guided research is more efficient, more precise, and more definitive. With theory,

researchers know what to look for in their research efforts" (p. 306). In this study a form of theory-guided evaluation is utilised.

In advocating theory-driven evaluation research, Chen and Rossi (1983) emphasise "the necessity for theorizing, for constructing plausible and defensible models of how programs can be expected to work before evaluating them" (p. 285) in order to "rise above the specific and the particular to develop general understandings of social phenomena" (p. 285). Coryn, Noakes, Westine, and Schröter (2011), in a review of theory-driven evaluation, say that although its origins can be traced back to the 1930s it has only really come to prominence in the 1990s "with the publication of Chen's seminal book *Theory-Driven Evaluations*" (p. 200). They quote Weiss as saying in 1997 that "the idea of theory-driven evaluation is plausible and cogent, and it promises to bring greater explanatory power to evaluation" (p. 200). They explain that programme theory-driven evaluation is "conceptually and operationally premised on '. . . an explicit theory or model of how the program causes the intended or observed outcomes and an evaluation that is at least partly guided by this model'" (p. 201).

The research uses a form of theory-guided research known as realist evaluation. The researcher is not aware of any published reports of a realist evaluation conducted on an AI intervention.

Realist evaluation research. The authors Pawson and Tilley (2004) say that realist evaluation is a form of theory-guided evaluation which "asks not, 'What works?' or, 'Does this programme work?' but asks instead 'What works for whom in what circumstances and in what respects, and how?'" (p. 2). They say that "realists regard programmes as rather sophisticated social interactions set amongst a complex social reality" (p6). In an earlier work, Pawson and Tilley (1997) contrast realist evaluation methods with those of experimentation and constructivism. They paraphrase Guba and Lincoln as saying that "experimentation tries to minimalize all the differences (except one) between experimental and control groups and thus 'effectively strips away the context and yields results that are valid only in other contextless situations'" (p. 22). In respect of constructivism, Pawson and Tilley (1997) argue that its weakness is "the inability to grasp those structural and institutional features of society which are in some respects independent of the individuals' reasoning and desires" (p. 23). They advocate realist forms of evaluation primarily because these allow "the researcher to generate some means of making independent judgements about the institutional structure and power

relations within a program" (p. 23) claiming that realist evaluation can "give contextual factors their proper place in investigation" (p. 53).

In a paper discussing methods for conducting longitudinal field research on change, Pettigrew (1990) says that "theoretically sound and practically useful research on change should explore the contexts, content, and process of change together with their interconnections through time . . . . to explain the differential achievement of change objectives" (p. 268) and comments that "there are remarkably few studies of change that actually allow the change process to reveal itself in any kind of substantially temporal or contextual manner" (p. 269). He says that studies which are limited to "snapshot time-series data, fail to provide data on the mechanisms and processes through which changes are created" (p. 269).

Regarding realist evaluation, Pawson and Tilley (2004) describe "four key linked concepts for explaining and understanding programmes: 'mechanism', 'context', 'outcome pattern' and 'context-mechanism-outcome pattern configuration'" (p. 6). They explain that "context-mechanism-outcome pattern configurations (CMOCs) comprise models indicating how programmes activate mechanisms amongst whom and in what conditions, to bring about alterations" (p. 9). The realist evaluation research process commences with the deduction of a programme theory comprising contexts, mechanisms, and outcome patterns configurations. The programme theory serves as a guide to the empirical stage of the research.

A deduced programme theory comprising of contexts, mechanisms and outcome pattern configurations, as described in Chapter Two, has been developed for the purpose of this study. The programme theory is drawn from diverse, albeit related, fields of scholarship and is therefore considered as embryonic. It serves as little more than a conceptual base for further theory building rather than as a fully elaborated theory for extensive quantitative testing. The purpose of the empirical phase of the research is to examine and build on the deduced programme theory. The empirical stage of the research is designed in such a manner, using multiple data collection and analysis techniques, so as to examine the constructs of interest in the deduced programme theory and their relationships, whilst also allowing the independent reasoning of the participants to be properly considered.

With regard to methods, Pawson and Tilley (2004) state that realist evaluation "has no particular preference for either quantitative or qualitative methods. Indeed it sees merit in multiple methods, marrying the quantitative and qualitative, so that both

programme processes and impacts may be investigated" (p. 10). Similarly, Babbie and Mouton (2001) state that a combination of quantitative and qualitative methods is often required in evaluation studies (p. 368).

Nonetheless, this research adopts a predominantly qualitative methodology due to the contextual, ideographic, and theory-building nature of the study. The contextualisation of the research in the natural setting of an AI intervention process, the focus of the research on the individual perspectives of the participants, and the dearth of literature regarding transition under AI all indicate that a qualitative study is appropriate. This is in line with Huy's (2012) recommendation that qualitative research is best suited when:

- The phenomena are little known and the literature is still very thin,
- The researcher is investigating new mechanisms that cannot easily be deduced from the existing literature,
- Collecting data about thinking and emotions,
- The researcher is investigating process-related matters (e.g. how certain phenomena evolve over time . . .) (p. 283).

The qualitative approach, with its interpretivist mind-set, as distinct from a positivist mind-set, aligns with the underlying epistemology of multiple realities in both dialogic OD and AI.

As is common in realist evaluations, some quantitative scales are used as part of the data collection process. However, due to a concern that such highly structured instruments may influence the participant transition process, the use of quantitative scales is confined to the post-intervention phase.

In terms of the realist evaluation process, Pawson and Tilley (2004) explain that, following the development of a deduced programme theory, data are collected "that will allow interrogation of these embryonic hypotheses" (p. 11) and that "the evaluator has, quite literally, to scavenge for the best data to test out the theories" (p. 11). They say that "existing administrative records might be put to use, stakeholders of all types might be interviewed and shadowed, dedicated before-and-after measures might [be] designed . . . focus groups might be assembled to unearth reasons for crucial choices, and so on" (p. 11).

The data analysis stage in a realist evaluation aims to examine and build on the deduced programme theory. Pawson and Tilley (2004) say that "there is no single analytic

method suitable for this purpose and the design of data analysis is a matter of the subtlety of the proposed theories and the availability of data" (p.11). They explain that the final stage of the realist evaluation process involves assessing and interpreting the analysis with "the purpose being to draw closer to explaining the complex signature of outcomes left behind by an intervention" (p. 11). In response to the question "how can we be sure that a particular mechanism or set of mechanisms is in fact responsible for bringing about change in a given context?" (p. 16) they answer "attribution is dealt with when we accept that action of a mechanism makes sense of the particular outcome pattern observed. Now, sense-making . . . is the cornerstone of the realist approach" (p. 16). The authors accept the implied limitation of this approach but say that "go as far as you can in sorting and sifting the rival explanations. All eventualities cannot be anticipated but, importantly, knowledge is considerably improved on each adjudication" (p. 17). Regarding generalisability—or transferability—, they say that realist evaluation "steers a path between making universal claims about what works, and focussing on the particulars of specific measures in specific places relating to specific stakeholders" (p. 17).

Of particular importance to this research, especially in respect of Bushe's (2011) concern that if AI is not appropriately applied, based on sound theory, then it will lose credibility, is Pawson and Tilley's (2004) conclusion that the "body of findings [from a realist evaluation] is intended to help with the business of targeting and tailoring programmes" (p. 19). However, the authors acknowledge that "findings are always 'provisional'. Realist evaluation begins and ends with theory" (p. 19). This is much in line with Ghoshal's (2005) argument that theory in the social sciences "serves as temporary 'walking sticks' . . . to aid sensemaking as we go along" (p. 81). Similarly, Kuhn (1962) says that "no theory ever solves all the puzzles with which it is confronted at a given time; nor are the solutions already achieved often perfect" (p. 146).

Methods of Selection

This section considers the methods of selection for the host organisation within which the research is situated and for the individual cases that constitute the units of analysis within the host organisation.

The Host Organisation for the Main Study

The host organisation for the main study was selected based on its compliance with a set of predetermined selection criteria.

Selection criteria for the host organisation for the main study. The host organisation needed to be about to embark on an AI intervention aimed at

transformational organisational change following a recent diagnostic OD intervention with a comparable change objective. For the purposes of the research, transformational change is defined as changes in cognitive frameworks underlying the organisation's activities, changes in the deep structure or shared schemata that generate and give meaning to those activities. In order to ascertain whether the aim of the proposed intervention could be considered as transformational, it was useful to consider French and Bell's (1999) way of distinguishing between first and second order change interventions. They explain that "OD interventions directed toward structure, management practices, and systems (policies and procedures) result in first-order change; interventions directed toward mission and strategy, leadership, and organization culture result in second-order change" (p. 77).

Balogun, Huff, and Johnson (2003) emphasise that willing commitment from research participants to the process of data collection is paramount and say that "individuals are unlikely to be involved if the research is not sanctioned and supported by the top of the organization" (p. 201). Hence, it was important for this research that senior management at the host organisation was supportive of the research project and willing to allow the researcher to collect data as required for the proposed research.

In order to provide a degree of flexibility for the selection of individual cases for study, there needed to be a minimum of around 30 employees participating in the AI intervention at the host organisation.

Host organisation selected for the main study. Based on the given selection criteria for the research site, together with what Pettigrew (1990) pragmatically refers to as "planned opportunism" (p. 274) the host organisation for the main study was the Retail Banking Division of the Seibank Group Ltd [pseudonym]. The Seibank Group is a major banking group based within South Africa. The Retail Banking Division consists of over 600 branches throughout South Africa and has more than five million clients.

In July 2013, top management in the Retail Banking Division implemented a merger within the Division which was primarily aimed at reducing costs but which was also intended to make the organisational culture more integrated and client-centred. Consequently, some 800 personnel from the Personal Banking Services (PBS) division were merged into the retail branch network structure. The merger was implemented abruptly with minimal consultation with staff members who were instructed in a matter-of-fact manner as to how their behaviour was expected to change under the new structure. Top management referred, perhaps over-simply, to the merger as an *alignment*.

The alignment was mainly premised on solving the 'problem' of high costs and it involved a top-down, planned approach focused on changing employee behaviour. It can clearly be classified as a diagnostic OD approach as distinct from a dialogic OD approach which would typically embrace social processes in order to address employee mind-sets.

Following the diagnostic OD intervention the Head of the Retail Banking Division was concerned about the outcome of the alignment in terms of the performance of the affected PBS personnel. Management performance metrics indicated that their performance was generally substantially lower than that of the Retail Banking Division personnel. An outside consultant was hired in the first quarter of 2014 to carry out an extensive culture survey amongst a large sample of PBS personnel, at all levels from Relationship Managers to Area Managers and Regional Managers. The survey identified that there was a great deal of unhappiness and anger amongst the personnel about the alignment.

The researcher had coincidently discussed the possibility of conducting research into organisational change processes with the Head of the Retail Banking Division prior to the commencement of the outside consultant's culture survey and was invited to observe the process. The researcher had no prior relationship with either the Head of the Retail Banking Division or with the consultant. The researcher consequently observed many of the focus group sessions and individual interviews conducted by the consultant. The data collected during the culture survey did not form part of the study described in this Thesis. However, the findings which emerged from the culture survey included the recommendation to implement an AI intervention with the intention of addressing the cultural and performance issues. The objective of the AI intervention was framed within the general title: Integrating the Alignment with Living the Brand.

The objective of both the AI intervention and the earlier diagnostic OD initiative was to successfully merge two divisions of the bank. The objective of the two interventions was therefore comparable. The need to focus on mission, strategy, leadership, and organisational culture implies that both change interventions were transformational in nature.

The Head of the Retail Banking Division had experience of conducting research at a doctoral level. He was aware of the covert intention of the researcher to investigate the individual transition paths of individuals during the planned AI intervention and he supported the involvement of the researcher in the AI intervention process. The minimum number of participants in the intervention was to be 30.

The selected host organisation appeared to meet all of the previously identified selection criteria.

Number of Cases and Case-Selection Criteria

The number of cases and the case-selection criteria are described under the following headings: (a) the number of cases; (b) the initial case-selection criteria; (c) the final case-selection criteria; and (d) saturation.

Number of cases. The unit of analysis in the study is at the level of the individual employee. Each employee selected was considered as a case within the realist evaluation. Yin (2014) describes the scope of a case study as "an empirical inquiry that investigates a contemporary phenomenon (the 'case') in depth and within its real-world context" (p. 16) and he says that "the classic case studies usually focus on an individual person as the case" (p. 31). In terms of the number of cases in a study, Eisenhardt (1989) recommends between four and ten cases saying that

> with fewer than 4 cases, it is often difficult to generate theory with much complexity, and its empirical grounding is likely to be unconvincing . . . . with more than 10 cases, it quickly becomes difficult to cope with the complexity.
>
> (p. 545)

In explaining the logic underlying multiple-case studies, Yin (2014) suggests the use of six to ten cases selected on the basis of perhaps pursuing three different patterns of theoretical replications. He explains that "each case must be carefully selected so that it either (a) predicts similar results . . . or (b) predicts contrasting results but for anticipatable reasons" (p. 57). However he emphasises that the number of cases selected is a matter of judgement rather than being based on a formula.

Guest et al. (2006) note the lack of reasoned advice in the literature regarding the use of the concept of saturation for determining purposive sample sizes in qualitative research. However, the authors mention, amongst a list of cited recommendations, that "Creswell (1998) . . . . recommended between five and twenty five interviews for a phenomenological study" (p. 61). Guest et al. (2006) highlight that it is difficult to predict in advance the number of interviews required in order to reach saturation in a proposed study. They say that "if the goal is to describe a shared perception, belief, or behavior among a relatively homogeneous group, then a sample of twelve [interviews] will likely be sufficient" (p. 76) but add that "twelve interviews will likely not be enough if a selected group is relatively heterogeneous, the data quality is poor, and the domain of enquiry is diffuse and/or vague" (p. 79).

In this study it was decided that six cases would be adequate for the purposes of the research. This falls within the recommended range of both Eisenhardt (1989) and Yin (2014). As self-report or interview data were to be collected six times in respect of each case—once prior to the AI intervention, four times during the AI intervention, and once after the AI intervention—, a total of six cases would result in thirty six data collection points. Given: (a) the relatively homogeneous group of employees to attend the AI intervention; (b) the anticipated high level of triangulation; and (c) the relatively focused area of investigation as guided by the deduced programme theory, the number of cases was considered to also satisfy the recommendations of Guest et al. (2006). Furthermore, during the research, evidence was to be provided regarding data saturation in order to verify that the number of cases was adequate for the research purposes. In order to provide for an element of attrition, ten cases were initially selected.

Initial case-selection criteria. The focal case-selection criterion was the participant's pre-AI *stage of transition* following the earlier diagnostic OD intervention which had a comparable organisational change objective to that of the upcoming AI intervention. The initial purposive case-selection procedure was aimed at choosing ten cases, spread across different job roles and demographics, which, where possible, were polar opposites in terms of the individual's stage of transition following the diagnostic OD initiative. Seawright and Gerring (2008) refer to such a case selection procedure as a *most-different case selection* technique.

Drawing on Schein's (1996) contention that change interventions create survival anxiety accompanied by learning anxiety which acts as a barrier to change, the individual's stage of transition was assessed in terms of the level of survival and learning anxiety being experienced at the pre-AI intervention stage as a result of the earlier alignment initiative. Individuals with low survival anxiety and low learning anxiety were classified as being *well-transitioned* and individuals with high survival anxiety and high learning anxiety were classified as *non-transitioned*.

The cases were selected by means of an initial analysis of data collected from all of the participants at the pre-AI stage. However, more than 80% of the 45 participants were classified as non-transitioned and there were some job roles in which no one was classified as well-transitioned. Given the desire to maintain a spread of cases amongst different job roles, there were only two participants selected as cases which were classified as well-transitioned.

Final case-selection criteria. During the AI intervention it became evident that the most-different case selection technique was not the most suitable technique to address the central problem statement of the research. The research was based on the need to better understand the success factors behind organisational change initiatives and the consequent research question was aimed at understanding how transitioning employees feel and make sense for themselves. As the objective of the study was to investigate how employees transitioned throughout an AI intervention, the participants needed to have entered the AI intervention process in a relatively non-transitioned state in order to qualify for selection as appropriate cases. Already well-transitioned individuals entering into a change intervention would be unlikely to experience significant further transition during the intervention and hence were not considered to be the most appropriate type of subjects for the research study. Hence, the case selection procedure was amended to include choosing only those individuals amongst the initial cases who were classified as non-transitioned—by means of their experiencing high survival anxiety and high learning anxiety in respect of the earlier diagnostic OD initiative. Seawright and Gerring (2008) refer to case selection procedures such as this amended procedure as an *extreme case selection* technique. The authors also comment that "revision of one's cross-case research design is entirely normal and is perhaps to be expected" (p. 306).

The revised criteria resulted in two individuals, initially selected as cases but who had transitioned well through the earlier diagnostic OD initiative, being discarded as cases. Of the remaining eight cases, one individual had left the affected divisions in the bank just before the AI intervention started and therefore was no longer directly impacted by the alignment initiative. This case was excluded from further full inclusion in the study. Of the remaining seven cases, one individual did not attend either of the last two AI intervention workshops. The exposure of this individual to the AI intervention was therefore limited and, as the amount of data collected in respect of this case would also be limited, the case was excluded from further full inclusion in the study. Of the remaining six cases: four (Susan, Maria, Eddie, and Bernice) attended all four AI intervention workshops; and two (Lala and Allison) missed one of the last two workshops. [All case names are pseudonyms]. All six of these cases were fully included in the study.

Although the focal case-selection criterion was the pre-AI stage of transition following the diagnostic OD intervention, an intention of the case selection procedure

Table 4.

The Demographics for the Six Individuals Selected as Cases

Name	**Job Role**	**Sub-region**	**Years at Bank**	**Age**	**M/F**	**Home Language**
Allison	RM	2	9	26-35	f	English
Bernice	BM	3	31	46-55	f	English
Eddie	PRB	3	6	26-35	m	English/Zulu
Lala	AM	2	20	36-45	f	English
Maria	PRB	1	28	46-55	f	Afrikaans
Susan	PRB	2	24	36-45	f	Afrikaans

was also to attempt to ensure a representative spread of job roles and demographics. The demographics for the six individuals finally selected as cases are shown in Table 4. Of the six cases, one was an Area Manager ("AM"), one was a Branch Manager ("BM"), three were Personal Relationship Bankers ("PRB"), and one was a Relationship Manager ("RM"). As the transformational organisational change objective of both the diagnostic OD initiative and the AI intervention was to reduce costs by merging two divisions with a specific focus on improving the performance management of the PRBs, the PRBs were strongly impacted by the change initiatives. Hence, it was appropriate that there were more PRBs amongst the cases. The spread of the cases amongst four different job roles was considered adequate for the purposes of the study.

The six individuals selected as cases came from three different sub-regional offices and their service at the bank ranged from six years to more than thirty years. Two individuals were aged younger than 35, two were between 36 and 45 and two were between 46 and 55. Three spoke English as their home language, two spoke Afrikaans as their home language and one spoke English/Zulu as his home language. The six cases represented a reasonable spread on all of these parameters.

A parameter where the spread may be considered to be limited was gender where only one of the six cases was male. However, the general spread of demographics amongst the cases is considered adequate for the purposes of the study.

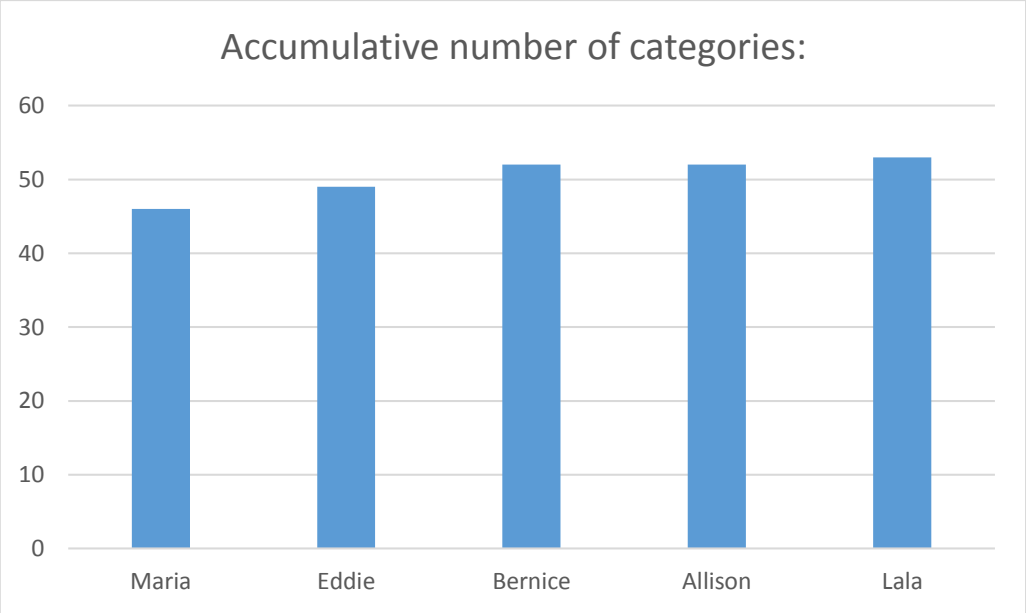


Figure 8: The accumulated number of categories per case, in the temporal order that coding for each case was completed.

Saturation. Guest et al. (2006) operationalise the concept of saturation regarding purposive sample sizes for interviews as "the point in data collection and analysis when new information produces little or no change to the codebook" (p. 65). They explain that saturation can be measured by examining "the progression of theme identification—that is codebook structure" (p. 65). Saturation was assessed in this study by graphing the accumulative number of themes/categories against the number of cases coded, in the temporal order in which the coding of the cases was completed. The cases were coded in no particular pre-determined temporal order. The detailed case saturation table by coding category is shown as Table A1 in Appendix A. The graph showing the category-level saturation per case is shown in Figure 8.

Of the 53 categories, 45 were assigned or identified during the coding of the first case. This represents 85% of the total categories. By the time that coding of the fourth case had been completed, 52 categories, representing 98% of the total categories, had been assigned. These results are considered to show adequate evidence of saturation and it can be concluded that the number of purposive samples was adequate for the purposes of the research.

Methods of Data Collection and the Data-collection Instruments

The data collection process was designed to achieve the purpose of the research and to optimise the research credibility. Bloomberg and Volpe (2012) describe credibility

as "whether the participants' perceptions match up with the researcher's portrayal of them. In other words, has the researcher accurately represented what the participants think, feel, and do?" (p. 112). For each temporal phase of data collection, techniques were also selected taking into account the potential risk of their influence on the transition path of the participants.

The potential effect of research data collection activities on an organisational change process can be found in both the diagnostic OD and dialogic OD fields of literature. From a diagnostic OD perspective, Schein (1996) states that "the interview process itself will change the system" (p. 64) and that

> for example, asking someone in a questionnaire how they feel about their boss gets the respondent thinking about an issue that he or she might not have focussed on previously, and it might get them talking to others about the question in a way that would create a common attitude that was not there before. (p. 65)

Similarly, from a dialogic OD perspective, Cooperrider and Srivastva (1987) say that the process of asking questions has not only the ability to stimulate change, but is part of the change process itself. They warn that "the conduct of inquiry cannot be separated from the everyday negotiation of reality" (p. 76).

Onwuegbuzie and Leech (2007) explain that the researcher may have an undue influence on participants. They explain that such an influence may be either active or passive: "passive sources include personality characteristics or attributes of the researcher (e.g. gender, ethnicity, type of clothing worn), whereas active sources may include mannerisms and statements made by the researcher that provide the participants with information about the researcher's preferences" (p. 236). They say that the effects of the researcher on the participants may be reduced by "using unobtrusive measures where possible" (p. 242). From a systems thinking and complexity science perspective, Midgley (2003) claims that even observation influences the change process. He states that "there are inevitably direct and/or indirect links between the observer and the observed" (pp. 78–79) and "therefore wholly independent observation is impossible" (p. 84). He consequently recommends that scientists should recognise the "value of methodological pluralism" (p. 88) in order to better "take account of the construction of observation" (p. 88).

Walsh (1995) comments that "the most fundamental challenge to researchers assessing a knowledge structure is to be certain they are measuring the subject's knowledge structure and not their own" (p. 308). He recommends minimising both the

degree of intrusion by the researcher and the subject's awareness of the behavioural assessment. Hence, an example of a measurement with good credibility would be a form of self-report where the subject is not aware of the full purpose of the assessment. An example of a less credible measurement would be a semi-structured interview in which the subject knows or ascertains the purpose of the assessment. In any event, Walsh (1995) concludes that "the standard measurement prescription applies: triangulate" (p. 308). Similarly, Schein (1994) advises that "studying the effects of the intervention implies the use of objective observation, interviews, measurements, and whatever other techniques are appropriate to the evaluation of the intervention to make it as nearly bias-free as possible" (p. 241).

Triangulation is also recommended for studies of stress manifestation. Marshall and Cooper (1979, p. 605) explain that, in studies of anxiety, participants may have a high concern in being *judged* by the researcher and they recommend that the most appropriate research strategy is triangulation. Jick (1979), in a study of the dynamics of anxiety in an organisation, used semi-structured interviews and observations to record employee anxiety. He comments that "both sets of results confirmed which events tended to be most anxiety producing and under what conditions anxiety was reduced. Thus, different measures of the same construct were shown to yield similar results" (p. 607). However, he added that "where divergent results emerge, alternative, and likely more complex, explanations are generated. In my investigation of anxiety, triangulation allowed for more confident interpretations, for both testing and developing hypotheses, and for more unpredicted and context-related findings" (p. 608).

According to Johnson, Onwuegbuzie and Turner (2007) the use of multiple research methods was first formalised by Campbell and Fiske in 1959 when referring to *multiple operationalism* "in which more than one method is used as part of a validation process that ensures that the explained variance is the result of the underlying phenomenon or trait and not the method" (pp. 113–114). The authors credit Webb, Campbell, Schwartz, and Sechrest as coining the term triangulation in 1966 and quote them as saying that "once a proposition has been confirmed by two or more independent measurement processes, the uncertainty of its interpretation is greatly reduced" (p. 114). Yin (2014) comments that "a major strength of case study data collection is the opportunity to use many different sources of evidence" (p. 119) and says that "the most important advantage presented by using multiple sources of evidence is the development of *converging lines of inquiry*" (p. 120).

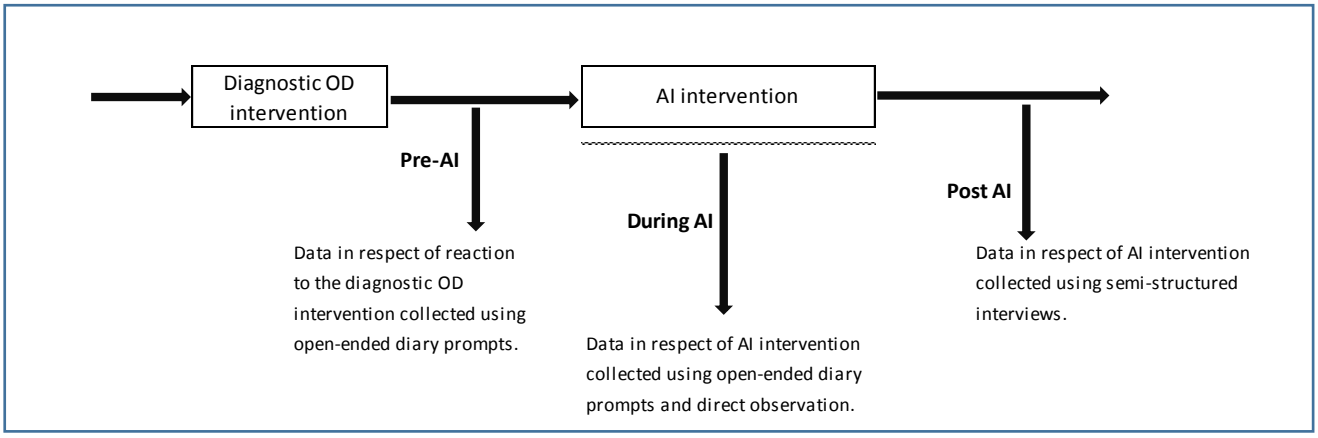


Figure 9: Data collection process.

In this study the data collection techniques were selected to: (a) ensure a high level of triangulation; whilst (b) taking into account the possible risk of the technique influencing the change process at different stages in the intervention. In order to understand how participants experienced and made sense of the AI intervention and, in particular, to examine the constructs of interest in the programme theory, it was necessary to ask the participants structured or semi-structured questions. However, such questions were only asked at the end of the AI change intervention so that their potential influence on the change process was minimised. Before and during the AI intervention, data were collected by means of less obtrusive techniques such as diaries with open-ended questions and direct observation. The data collection process is illustrated in Figure 9. Data were collected prior to the AI intervention, at four points in time during the AI intervention and once after the AI intervention. Data collection methods include open-ended diary prompts, direct observation, and semi-structured interviews.

In order for all of the participants to be seen to be treated the same in terms of the pre-AI and during-AI research processes, diary response and observation data were collected in respect of all the participants in the AI intervention. The pre-AI data were to be used to purposively select individual cases. Post-AI interview data were only collected for these selected cases and only the data for the selected cases were fully analysed. The post-AI data included both retrospective and real-time data.

The use of both retrospective and real-time data-collection in the study is in line with Pettigrew's (1990) recommendations regarding longitudinal field research on

change (p. 271) and his criticism of "snapshot time series data" (p. 269). It is also in line with recommendations made by Howard et al. (1979) in order to overcome a potential source of internal invalidity, which they termed 'response shift' which can unnoticeably occur when self-report measures are used only in a pretest-posttest manner. Based on a study of students being trained in interpersonal communication the authors identified that:

> An increase in the subjects' understanding of the phenomenon under consideration or an increased appreciation of their initial level of functioning on that dimension could have caused them to report Then scores which were more dogmatic [a phenomenon included in the training] than their pretest scores might have been. (p. 6)

Golembiewski et al. (1976) refer to the same phenomenon as beta change, which they say "involve[s] the recalibration of the intervals used to measure some stable dimension of psychological space, as in preintervention vs. postintervention responses" (p. 135). Howard et al. (1979) recommended a pretest together with a Then/posttest procedure. Comparison of the pretest and the Then data can help to improve the internal validity of the self-report data. The data collection process was designed for this study in order to obtain and facilitate comparison of pre-intervention and Then data.

Walsh (1995) warns that, in the field of knowledge structures or schema, "researchers must confront tricky measurement issues to do empirical work in this area" (p. 285). Taylor (2000) warns that "despite the abundance of studies looking at change in a frame of reference, it is still far from clear what warrants a perspective transformation" (p. 292). He goes on to say that "Saavedra states that 'action, acting upon redefinitions of our perspectives, is the clearest indication of a transformation'" (p. 297). This study measured both cognitive and behavioural changes in order to assess participant transitions.

Data Collection by Means of Diaries

In a study by Balogun and Johnson (2004) aimed at understanding how middle managers interpret change, diaries were used as the primary data-collection instrument. The authors explain that a key strength of data collection through diaries is that it provides an insider's account of a situation (p. 523). Balogun et al. (2003) state that although "there is little written guidance for their use . . . . diaries are potentially useful in real-time research when there is a need to track events through time from the perspective of the practitioner, such as during change implementation" (p. 208). In Balogun and Johnson's (2004) research, diary questions were designed "to elicit the thought processes of the

diarists, giving insight into how they were interpreting the changes and why, and the impact of this interpretation on them and on the change process" (p. 526). However, Balogun et al. warn that depth and detail in diary entries may be lacking and that intermittent contact may be required to maintain interest. Nonetheless, in this study, review meetings were not held with the participants before or during the AI intervention as this could have unduly influenced their thought processes. Although the risk of unduly influencing the change process was minimised by this approach, there was a possible threat to the credibility of the research if depth and detail was lacking. This was balanced by the multiple methods adopted to collect data.

Data Collection by Means of Interviews

Following the AI intervention, interviews were used to collect data. Regarding the use of interviews to collect data during realist evaluations, Pawson and Tilley (1997) say that "data construction should be theory-driven. Thus on the realistic model, the researcher's theory is the subject matter of the interview, and the subject (stakeholder) is there to confirm, to falsify and, above all, to refine that theory" (p. 155). They advocate putting the interviewee in a position to "understand the conceptual ground you are exploring" (p. 167) as from the interviewee's perspective "this makes your concepts clear to me, and applying them gives me the following answer" (p. 167).

Pawson and Tilley (1997) suggest a two-phase interview format in which the respondent is given access to the researcher's concepts in a way which allows

> the creation of a situation in which the theoretical postulates and conceptual structures under investigation are open for inspection in a way that allows the respondent to make an informed and critical contribution to them. . . . the strategy involves a highly specific and carefully planned route march which goes between the quantitative and qualitative traditions. (p. 182)

The authors give an example which consists of a list of statements to which respondents are asked to respond, on a four-point Likert-type scale, according to how each statement applies to their experience of the intervention. The key role of the questions is "to set a clear agenda which represents a body of theory . . . . to involve the respondent in a closer articulation and clarification of these theories" (p. 173). The interview then proceeds with the researcher asking the respondent to explain why they have chosen each particular response. The authors describe this as "the 'here's my theory, what's yours?' strategy of data collection" (p. 173) and say that "what is induced by this process is a great deal of conceptual hair-splitting and this is precisely the kind of data which lead to better focused

explanation" (p. 173). The format of the interviews in this study largely followed the suggestion of Pawson and Tilley (1997) in that statements relating to the constructs in the programme theory were presented to participants for rating on a quantitative scale and conversations were then structured around understanding why each response was selected. The danger of such an approach was obviously that the interviewee may have been falsely led into agreeing with the researcher's proposed concepts and hence it was again important that the data were compared with those obtained from the other data collection methods.

Mixed methods have been adopted in the study of change recipient reactions to organisational change. For example, Bartunek et al. (2006) conducted a study to examine both change-related sensemaking and emotional responses to an organisational change intervention. Both qualitative open-ended questions and quantitative structured survey questions were used to assess sensemaking and all of the data were collected after the change intervention had occurred.

Although the research design in this study was a realist evaluation which, by its nature, may adopt a mixed methods approach, and although mixed methods have been used to study change recipient reactions to organisational change, the methodology adopted here was essentially qualitative with some quantitative statements included as part of the post-intervention interview process. All data were coded and analysed using only qualitative methods. No quantitative analysis of data was done. In an article aiming to contribute to the literature on how to conduct realist evaluations, Pawson and Manzano-Santaella (2012) say that "mining mechanisms requires qualitative evidence" (p. 182) but advise that "outcomes should be carefully conceptualized and indicators thought through; baselines should be established; [and] before-and-after measures should be plotted" (p. 183). However, in order for the research to avoid undue influence on the transition process of participants, quantitative instruments were not used at the pre-intervention or during-intervention stages of this study.

Data Collection by Means of Direct Observation

Taylor (2000), in a review of research designs in the field of transformative learning, raises a concern that, although the limitations in respect of participant recall in qualitative retrospective interviews can be significantly addressed by collecting data longitudinally, such a design "still put[s] the burden of recall exclusively on the participant . . . . and does not account for learning that happens outside the learner's awareness" (p. 319). He advises that "to help address this concern the researcher needs

to be present during the transformative experience so he or she can observe and record in addition to interviewing the learner" (p. 319).

Babbie and Mouton (2001) note some advantages of observation:

- It forces the observer to familiarize with the subject
- It allows previously unnoticed or ignored aspects to be seen
- People's actions are probably more telling than their verbal accounts and observing these are valuable
- It is unobtrusive and when obtrusive, the effect wears off in reasonable time. (p. 295)

However, in a paper discussing the measurement of emotions, Wallbott and Scherer (1989) warn that "emotional expression is subject to severe social control" (p. 60) and they advise that "the use of self-report techniques is required for the study of conscious emotional experience" (p. 61).

Direct observation was used in this study for triangulation purposes. It was also used in order to attempt to gather data on learning that may have occurred outside the learner's awareness and in order to provide prompts to assist the memories of the participants during the subsequent post-AI data collection phase. The combination of self-reports and direct observation was used in this study in order to reduce possible limitations due to either actions or written accounts being self-censored.

The combination of observation and interview data, in a longitudinal study, aligns with Verleysen et al.'s (2015) call and recommendations for research into how AI works. These authors state:

> future research might benefit from longitudinal qualitative research . . . . this type of research is likely to offer more insight into the intricacies of how and why AI works and impacts on the development of persons and organizations. Particularly, analyzing data from a combination of participant observation (detailing observable behavior) and in-depth interviewing (detailing stories and sense making) is likely a fruitful approach. (p. 21)

The direct observation was performed by the researcher. The researcher did not participate in the change intervention and hence was a passive observer with the intention of not influencing the change process. Based on the observations, the researcher established field notes. Particular focus was placed on the emotional reactions of participants by recording external signs such as facial expressions and body language.

The limited experience of the researcher in formally assessing such expressive signals is acknowledged as a limitation.

Data-collection Instruments

The data-collection instruments were designed to address the research questions by means of examining the constructs of interest—and the relationships among these constructs—in the deduced programme theory. The constructs to be assessed included survival and learning anxiety; types of reflection, cognitive, behavioural, and affective outcome patterns; feelings of pleasantness, and feelings of participation. The data-collection instruments are described for the pre-AI, during-AI, and post-AI stages of data collection.

Pre-AI data-collection instruments. In the deduced programme theory for employee transition throughout an AI intervention, the pre-AI intervention contexts of interest were: (a) *the nature of survival and learning anxiety following a diagnostic OD intervention with a comparable transformational organisational change objective;* and (b) b*asic demographics*. These contexts—being independent of the AI intervention and existing prior to the introduction of the AI intervention—were considered likely to encompass many of the factors which might influence transition during an AI intervention. The pre-AI data-collection instruments were aimed at providing data which could be used to validate or build on this embryonic theoretical framework for the pre-AI context.

The data collection process started approximately two weeks before the commencement of the AI intervention workshops. Data were collected from all of the invited participants. Demographic data were collected using a questionnaire. Data in respect of the participant's opinions and feelings regarding the earlier diagnostic OD intervention were collected using diary prompts. The demographics questionnaire and pre-AI diary prompts are shown in Appendix B.

During-AI data-collection instruments. The AI intervention consisted of four workshops, one for each of the AI intervention stages of discovery, dream, design, and destiny. Immediately following each workshop the participants were asked to respond to a set of diary prompts. The diary prompts probed the participant's opinions in relation to the change initiative, their reactions to workshop activities, their depth of reflection, their feelings, whether their behaviour had changed and/or whether they intended to change their behaviour. The during-AI diary prompts are shown in Appendix C.

During each AI workshop the researcher collected data by means of direct observation. Mulhall (2003) distinguishes between structured observation and unstructured observation. She explains that "observers using unstructured methods usually enter the field with no predetermined notions as to the discrete behaviours that they might observe" (p. 307) whereas in structured observation "observation schedules are predetermined using taxonomies developed from known theory" (p. 306). In this study a deduced programme theory was developed and consequently, a purpose of the direct observation instrument was to help assess the emotional reaction of the participants, in particular to assess whether participants experienced feelings of pleasantness. The deduced programme theory was used to give some structure to the observation process. However, as the theory is embryonic, it was important that the observation process was not so structured that observations were missed. Hence, semi-structured observation was conducted within some predetermined guidelines.

Russell (1989) criticises the use of single emotion terms in measuring emotions. He gives an example where "an observer assigns each of a set of facial expressions to one of six categories labelled happiness, surprise, fear, anger, disgust, or sadness" (p. 84) and says that "unfortunately, emotion terms are far from independent" (p. 84). He emphasises that "a failure to consider these interrelationships can lead to a misinterpretation of empirical results" (p. 84) and insists that "an adequate understanding of everyday emotion categories . . . requires their representation in a way that specifies the relationship among the categories" (p. 85). He therefore advocates the use of a circumplex model, in which the intensity of each emotion can be shown as a vector from the centre of the circle with its length representing intensity. Russell's (1989) circumplex model for measuring emotions is shown in Figure 10.

In the circumplex model, the closeness of the words represents the degree of inter-relatedness. The horizontal axis represents evaluation on a spectrum from displeasure to pleasure. The vertical axis represents activation on a spectrum of sleep to states of high arousal. Russell (1989) points out that if emotions are measured only in terms of the pleasure-displeasure dimension without considering the arousal dimension then results between tests may not be comparable. In this study, the measurement of participant feelings of pleasantness by means of observation was performed using the circumplex model as a tool onto which the researcher added vectors from the centre of the circumplex model to reflect such observations.

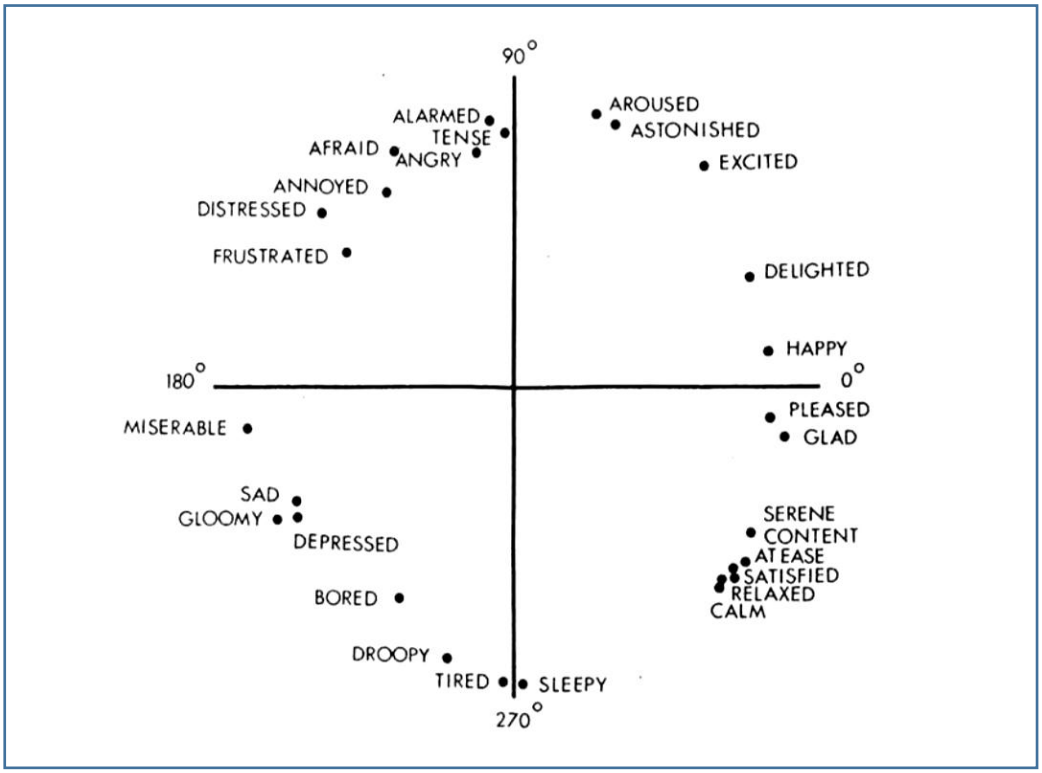


Figure 10: Russell's (1989) circumplex model for measuring emotion.

Post-AI data-collection instruments. At the post AI stage, interviews were conducted in order to collect data retrospectively in respect of the pre- and during AI intervention stages; and to collect data in respect of the point-in-time of the post-AI interview. A combination of semi-structured questions and statements—to be rated on a four-point scale in order to provide associated discussion point foundations—was used.

The development of the post-AI questionnaire and interview guidelines was based on the constructs of interest in the deduced programme theory. The contents were largely drawn from previous studies relating to: (a) survival and learning anxiety; (b) movement to a new lens; (c) types of reflection; (d) feelings of pleasantness; and (e) feelings of participation.

Survival and learning anxiety. Based on Schein's concept of survival anxiety, Sun and Scott (2003) differentiate between *physical* and *psychological* survival anxiety saying that physical survival anxiety deals primarily with "physical survival in the organization" and psychological survival anxiety is related to "the need for cognitive

enhancement" (p. 211). The authors give examples of physical survival anxiety, psychological survival anxiety, and learning anxiety. The examples are shown in Appendix D. The examples listed do not represent an established quantitative scale but serve to provide a useful and theory-embedded set of statements with which to pave the way into a focussed qualitative discussion of the participant's levels of survival and learning anxiety. The examples in Appendix D were used as quantitative statements in the post-AI questionnaire and interview guidelines in respect of survival and learning anxiety.

Movement to a new way of looking at the world. In Isabella's (1990) study of managers' changing cognitive patterns associated with an organisational change process, she collected data by means of retrospective semi-structured interviews with the specific purpose of learning "as much as possible about managers' concerns, perceptions, reactions, observations, and thoughts in connection with specific key events" (p. 12). She first asked "Tell me about the [specific event] from your point of view—tell me what happened before, during or after the event occurred" (p. 12). She asked detailed questions to elicit richer details and graphic descriptions and asked interviewees to identify specific concerns or questions they had had or perceived others as having throughout the course of an event. She explains that "the goal of the data collection was to understand the perspectives of participating managers, how they saw events through their own eyes . . . I sought to understand and clarify the frames of reference each manager offered" (p. 12). The detailed questions from Isabella's (1990) study, all of which were asked retrospectively, are shown in Appendix E.

The questions used by Isabella (1990) provided a guideline for developing the semi-structured interview questions relating to movement to a new way of looking at the world. The questions probed the participant's own opinion as to whether he or she had transitioned as a result of the AI intervention. In addition, comparing the post-AI responses with relevant data obtained prior to or during the AI intervention also allowed the movement to a new way of looking at the world to be assessed. Questions also probed to see whether the participants changed their behaviour or intended to change their behaviour as a result of the AI intervention.

Types of reflection. Kember et al. (2000) developed a questionnaire to measure the level of reflective thinking of students. Drawing on the work of Mezirow (1991) they developed a protocol consisting of four categories of reflection: habitual action; understanding; reflection; and critical reflection. Kember, McKay, Sinclair, and Wong

(2008) developed a scheme for assessing the level of reflection in written work. They say that the process of reflection can be triggered by conscious attempts to revisit past experiences and they differentiate reflection from habitual action or understanding by saying that "reflection takes a concept and considers it in relation to personal experiences. Theory is applied to practical applications. As a concept becomes related to other knowledge and experience, personal meaning becomes attached to the process" (p. 373). The authors differentiate reflection from critical reflection which they say requires "a critical review of presuppositions from conscious and unconscious prior learning and their consequences" (p. 374). However, the instruments or schemes developed by both Kember et al. (2000) and Kember et al. (2008) do not distinguish between content reflection and process reflection. Both define critical reflection in terms of the outcome of a perspective transformation as opposed to the process. Hence the two sources were of little use in developing instruments to measure the level of reflection in this study.

The measurement was therefore developed by drawing upon Kreber and Castleden (2009, pp. 512–513). The authors describe content reflection as asking about the content of a problem and as calling on current knowledge of how to solve the problem. They say that the question of whether beliefs are valid is not asked during content reflection. They explain that process reflection asks about the effectiveness of problem solving whereas premise reflection calls core beliefs into question.

Feelings of pleasantness. Pleasantness is defined by Seo et al. (2004) as a summary of "how well one is doing in terms of a hedonic valence of pleasant-unpleasant, good-bad, positive-negative, or appetitive-aversive" (p. 426). In a paper entitled "Work Experiences of Middle and Senior Managers: The Pressure and Satisfactions", Marshall and Cooper (1979) state that anxiety is "the primary psychological symptom of stress" (p. 86) where "stress is regarded as a state of the organism, which . . . can be recognised by its symptoms (anxiety, feeling that one is unable to cope, physical manifestations, etc.)" (p. 82).

Spielberger, Gorsuch and Lushene (1983) explain that there are "two distinct anxiety concepts: State anxiety (A-State) and trait anxiety (A-Trait)" where "A-States may vary in intensity and fluctuate over time" and "A-Trait refers to relatively stable individual differences in anxiety proneness, that is, to differences between people in the tendency to respond to situations perceived as threatening with elevations in A-State intensity" (p. 3). Spielberger developed an instrument known as *The Spielberger State-*

Trait Anxiety Inventory (STAI) which according to Marteau and Bekker (1992) is "one of the most frequently used measures of anxiety in applied psychology research" (p. 301).

Auerbach (1973) utilised the STAI to measure both trait and state anxiety of individual patients before surgery and at various intervals after surgery. He found that, whilst A-State varied significantly throughout for each patient, A-Trait remained relatively stable. He reported that these findings were in line with Spielberger's statement that

> state anxiety (A-State) level would be high in circumstances that are perceived as threatening, and relatively low in situations in which there is little or no danger. However, trait anxiety (A-Trait), which refers to relatively stable individual differences in anxiety proneness, should not be influenced by situational stress. (p. 264)

The interest in this research is in state anxiety as, unlike trait anxiety, it may be expected to vary over time for individuals due to the effect of an organisational change intervention. The quantitative statements with regard to feelings of pleasantness included in the interview guidelines consist of all six items in Marteau and Bekker's (1992) short-form scale for measuring state anxiety. The six statements are: *I feel calm; I am tense; I feel upset; I am relaxed; I feel content;* and *I am worried*; each of which is rated by the participant on a four-point Likert-type scale. The scale is included in the post-AI questionnaire and the interview guidelines provide for each response by the participant to be qualitatively discussed.

Feelings of participation. The level of participation experienced by employees in a change process was measured by Amiot et al. (2006) in a quantitative study asking employees to indicate their satisfaction with the extent to which they had been consulted in the change process and their satisfaction with their involvement in the implementation of the change. These questions were used as a guide to develop the post AI interview questions in regards to employee feelings of participation.

Structure of the post-AI questionnaire and interview guidelines. The post-AI questionnaire and interview guidelines are shown in Appendix F.

The first section relates to the period before the AI intervention. Question 1.0 relates to movement to a new way of looking at the world; questions 2.1 to 2.7 relate to feelings of pleasantness; questions 3.1 to 3.9 to survival anxiety; and questions 4.1 to 4.13 to learning anxiety.

The second section relates to the period during the AI intervention. Questions 5.0, 6.0 and 6.8 relate to movement to a new way of looking at the world; questions 6.1 and 6.2 relate to recalling positive experiences; questions 7.1 to 7.8 relate to feelings of pleasantness; questions 8.1 to 8.9 relate to survival anxiety; and questions 9.1 to 9.14 to learning anxiety.

The third section relates to the period following the completion of the AI intervention workshops. Questions 10.0 to 10.3 relate to movement to a new way of looking at the world; questions 11.1 to 11.8 relate to feelings of pleasantness; questions 12.1 to 12.9 to survival anxiety; question 13.0 relates to learning anxiety; and questions 14.0 to 14.2 relate to feelings of participation.

Pilot study: Testing and Refinement of the Data-collection Instruments

A pilot study was conducted with the main objective of testing the data-collection instruments before the commencement of the main study. The host organisation for the pilot study was selected based on its commencement of an AI intervention following a diagnostic OD intervention with a comparable objective. Seven employees at the host organisation participated in both interventions and data were collected from all seven before, during, and after the AI intervention. The data-collection instruments were reviewed for practical clarity and logical order by the researcher together with an independent research assistant at each phase of data collection, including after each post-AI interview. In addition the apparent appropriateness of the data in light of the constructs of interest in the deduced programme theory was assessed during coding of the data and the data-collection instruments were further refined where necessary. The coded data were not analysed further as this was not necessary in terms of the objective of the pilot study.

The use, with a clear objective, of a pilot study is in line with Lancaster, Dodd, and Williamson's (2004) recommendation, in a paper entitled "Design and Analysis of Pilot Studies: Recommendations for Good Practice", that "a well-conducted pilot study, giving a clear list of aims and objectives within a formal framework will encourage methodological rigour" (p. 307). However, the authors also report that they "could find no formal methodological guidance as to what constitutes a pilot study" (p. 307).

The host company for the pilot study is a privately owned manufacturing company. It is based in Johannesburg, South Africa and employs approximately 700 people. The researcher is a senior manager in the company. An obvious advantage of conducting the pilot study in an organisation in which the researcher was a senior

manager was the high accessibility for the researcher and an independent research assistant to the participants. In addition, the researcher could have a high level of influence on the logistical aspects of the pilot study process.

An independent research assistant was used to collect the data in order to try to reduce the inevitable bias caused by the researcher being a senior manager in the organisation. Despite the use of the research assistant, the level of bias was still likely to remain high as the participants were informed as to the identity of the researcher and were likely to be concerned that they would be judged by the researcher. However, the level of possible bias was considered acceptable given that the main purpose of the pilot study was to test and refine the data-collection instruments for use in the main study.

In line with Miles and Huberman's (1994) recommendations for qualitative research, field notes, a codebook, and analytic memoranda were kept throughout the pilot study. In addition, an instrument change log was kept to record the changes to the data-collection instruments which emerged during the pilot study. The pilot study resulted in modifications to the data-collection instruments in that the number of questions was reduced, the wording of various questions was refined, and the interview questions were regrouped into the temporal phases to which the questions related. The coding of the data led to an appreciation of the richness of the data obtained by the data-collection instruments. In particular, the combined use of quantitative scales and semi-structured qualitative questions in the interviews was seen to work well. All of the data-collection instruments described and shown above for the pre-AI, during-AI and post-AI data-collection phases reflect the modified data-collection instruments following the pilot study.

Methods of Data Analysis

The data analysis process is described in three sections: (a) the deduced coding framework; (b) the data-coding techniques and process; and (c) the overall analytical process.

Deduced Coding Framework

A framework for the classification of codes was deduced commencing with the realist evaluation components of contexts, mechanisms, and outcome patterns as specifically described for the purposes of the study. The contexts component was divided into pre-AI contexts, described as *factors which may influence employee transition during the upcoming AI intervention which are independent of the AI intervention and which existed prior to the introduction of the AI intervention* and during-AI contexts,

defined as *factors involving aspects of the AI intervention itself that may influence employee transition*. Mechanisms are the *processes of how subjects interpret and act upon the intervention* and in this research refer to forms of reflection. Outcome patterns were described as *consequences of the intervention during and following the AI intervention at the level of the individual.*

Themes and categories were then deduced for each of the components by drawing upon the deduced programme theory and upon Oreg et al.'s (2011) review of studies into change recipients' reactions to organisational change. Oreg et al.'s (2011) review contains a list of key variables which have been identified in the literature as antecedents to change recipient reactions or as antecedents to consequences of organisational change. A benefit of drawing on Oreg et al.'s (2011) deduced list and the associated definitions was that it helped to ensure that the codebook themes developed were relevant, mutually exclusive, and exhaustive. The deduced coding framework is shown in Appendix G.

Data-Coding Techniques and Processes

The data were coded in the study using qualitative content analysis. Hsieh and Shannon (2005) identify three distinct approaches to qualitative content analysis; conventional, direct, and summative:

> In conventional content analysis, coding categories are derived directly from the text data. With a directed approach, analysis starts with a theory or relevant research findings for guidance for initial codes. A summative content analysis involves counting and comparisons, usually of keywords or content, followed by the interpretation of the underlying context. (p. 1277)

Hsieh and Shannon (2005) explain that, in the conventional approach "researchers avoid using preconceived categories" (p. 1279) but warn that "one challenge of this type of analysis is failing to develop a complete understanding of the context, thus failing to identify key categories" (p. 1280). They also say that a further limitation is that conventional analysis procedures "make the theoretical relationship between concepts difficult to infer from findings. At most, the result of a conventional content analysis is concept development or model building" (p. 1281).

Although this study started with a deduced programme theory, the data collected prior to and during the AI intervention were based on open-ended questions and direct observation so that the change process itself was not unduly influenced by the data collection process. Hence, this data were mainly coded by means of a conventional qualitative analysis technique in which codes were derived directly from the data. These

induced codes were allocated into the deduced coding framework categories. Where induced codes did not fit any of the deduced categories, new categories were introduced. These new categories indicated a novel finding.

The data collected prior to and during the AI intervention were coded and roughly analysed as a *preliminary data-analysis process* prior to commencing the post-AI data collection phase. Miles and Huberman (1994) strongly recommend early—or preliminary—analysis of data. They explain that "it helps the field-worker cycle back and forth between thinking about the existing data and generating strategies for collecting new, often better, data" (p. 50). The amended coding framework, including the new categories which emerged from the preliminary data analysis, is shown in Appendix H.

The rough analysis of the pre-AI and during-AI data provided input for the refinement of the post-AI data-collection instrument. The instrument was refined to measure the transition path per transition theme—the subject matter of the transition. This refinement of the post-AI data-collection instrument allowed for better probing of the context-mechanism-outcome links for each transition theme. The instrument was also amended, in order to better changes in ways of knowing, by including a set of scales relating to Kegan's (2000) concept of subject-object balance. The refined post-AI data-collection instrument is shown in Appendix I.

Where appropriate, key events for each case were identified from the pre-AI and during-AI data. These key events were used to provide prompts for use during the post-AI interviews in order to assist interviewee recall or to further probe key events. The assisting of interviewee recall helps to address the concern noted by Chreim (2006) that "some researchers have criticised the use of retrospective accounts, pointing out that they are subject to recollection bias" (p. 319). In any event, Chreim (2006) says that "the value of retrospective accounts lies in their reflections of the interpretations that individuals make of past experiences and not in their reflection of actual behavior or occurrences" (p. 319).

The data collected at the post-AI stage—by means of structured scales or semi-structured questions—were coded mainly by a direct content analysis approach. The initial codes were not only drawn from the deduced programme theory but also from the outputs from the preliminary data analysis process. Where data collected at the post-AI stage did not fit an existing code, new codes were established. Where new codes did not fit any of the existing categories, new categories were introduced. These new categories indicated further novel findings. The final coding framework, with the new categories

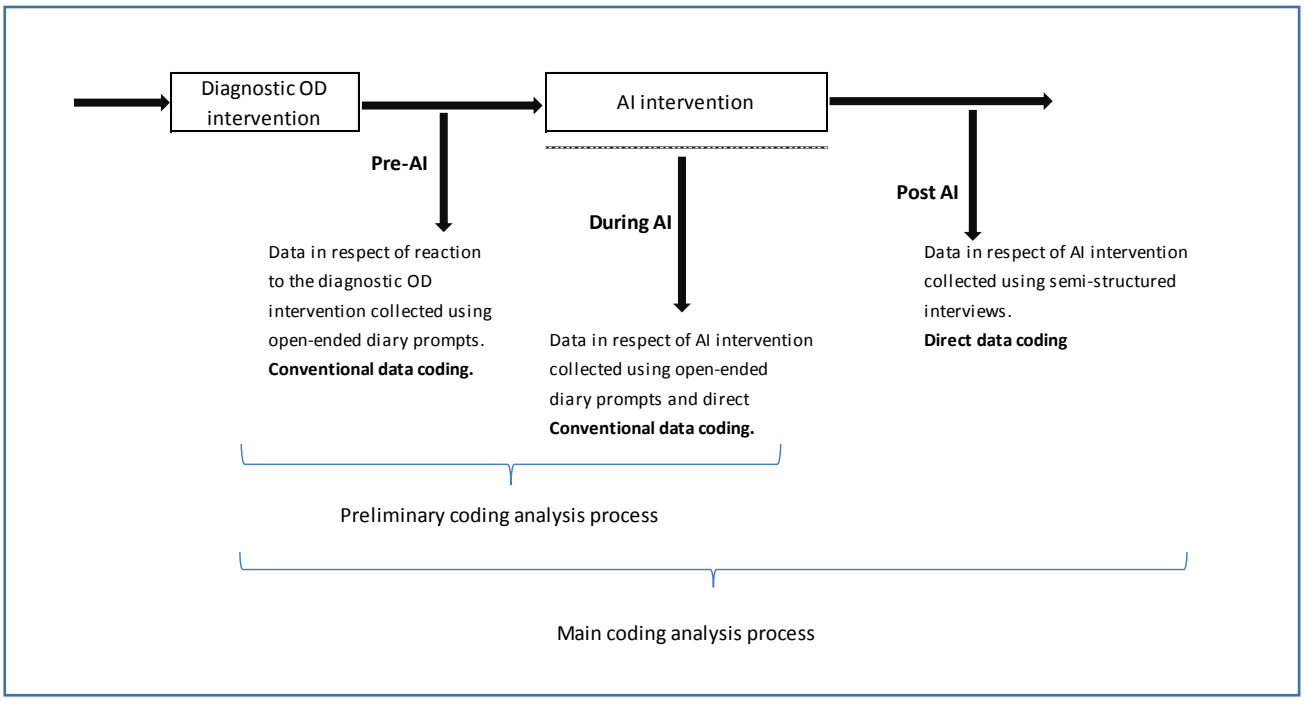


Figure 11: The data-coding techniques and processes.

which emerged through-out the study, is shown in Appendix J.

Hsieh and Shannon (2005) explain that "the goal of a directed approach to content analysis is to validate or extend conceptually a theoretical framework or theory" (p. 1281). However, they warn that "researchers approach the data with an informed but, nonetheless, strong bias" (p. 1283) and that "an overemphasis on the theory can blind researchers to contextual aspects of the phenomenon" (p. 1283).

In this study a primarily conventional content analysis approach was used to code the data collected from the observations and open-ended questions and a primarily direct content analysis approach was used to code the data collected from the interviews. The combination of both analysis techniques represents a form of triangulation which helps to overcome the limitations of each technique. The direct content approach helped to ensure that key categories were identified and the conventional approach helped to minimise the effect of any preconceived biases of the researcher. The data-coding techniques and processes are shown in Figure 11. The data collected by the different

methods were analysed jointly. This is in line with Yin's (2014) recommendation that data triangulation requires the combined data from different sources to be analysed jointly as opposed to data from each source being analysed separately with comparison only taking place at the conclusion stage.

The Overall Analytical Process

Pawson and Tilley (1997) refer to a *cumulation* process in realist evaluations which leads from empirical data to theory abstract enough to underpin a range of interventions (p. 116). They map five levels of CMOCs for the purpose of accumulating knowledge in realist evaluation research. The levels range from the most concrete, consisting of focused configurations from within each case, through outcome regularities in which cross-case data are compared, to three levels of increasingly abstract CMOCs (p. 121). The analytical process for realist evaluations is shown in Figure 12.

The analytical process followed in this research commenced with within-case analyses. Network diagrams were created, using the Atlas-ti software application, for the relevant themes/categories for each case at each temporal stage of data collection. Within-case analyses were then conducted, in two stages, for each case. First, the data were described at each temporal stage of data collection. The data description was thick with an extensive use of quotes. Second, the data were analysed per transition theme—the subject matter of the transition. The transition path for each transition theme was presented in the format of focussed configurations relating contexts, mechanisms, and outcome patterns. In the within-case analysis process each focussed configuration was thereby linked to specific data.

The cross-case analysis was then performed leading to findings in the realist evaluation format of outcome regularities. Pawson and Tilley (1997, p. 125) explain that the use of the word "outcome" is slightly misleading as the regularities are not necessarily outcomes but should rather be considered as the raw material to be explained within the next higher level of abstraction. Outcome regularities were identified by considering the focussed configurations for individuals grouped by criteria such as degree of transition and job-role. Outcome regularities were also identified by considering the focussed configurations grouped by transition theme and also by considering the role across the focussed configurations of components such as contexts, mechanisms, and outcome patterns. In the cross-case analysis process each outcome regularity was linked to the relevant focussed configurations.

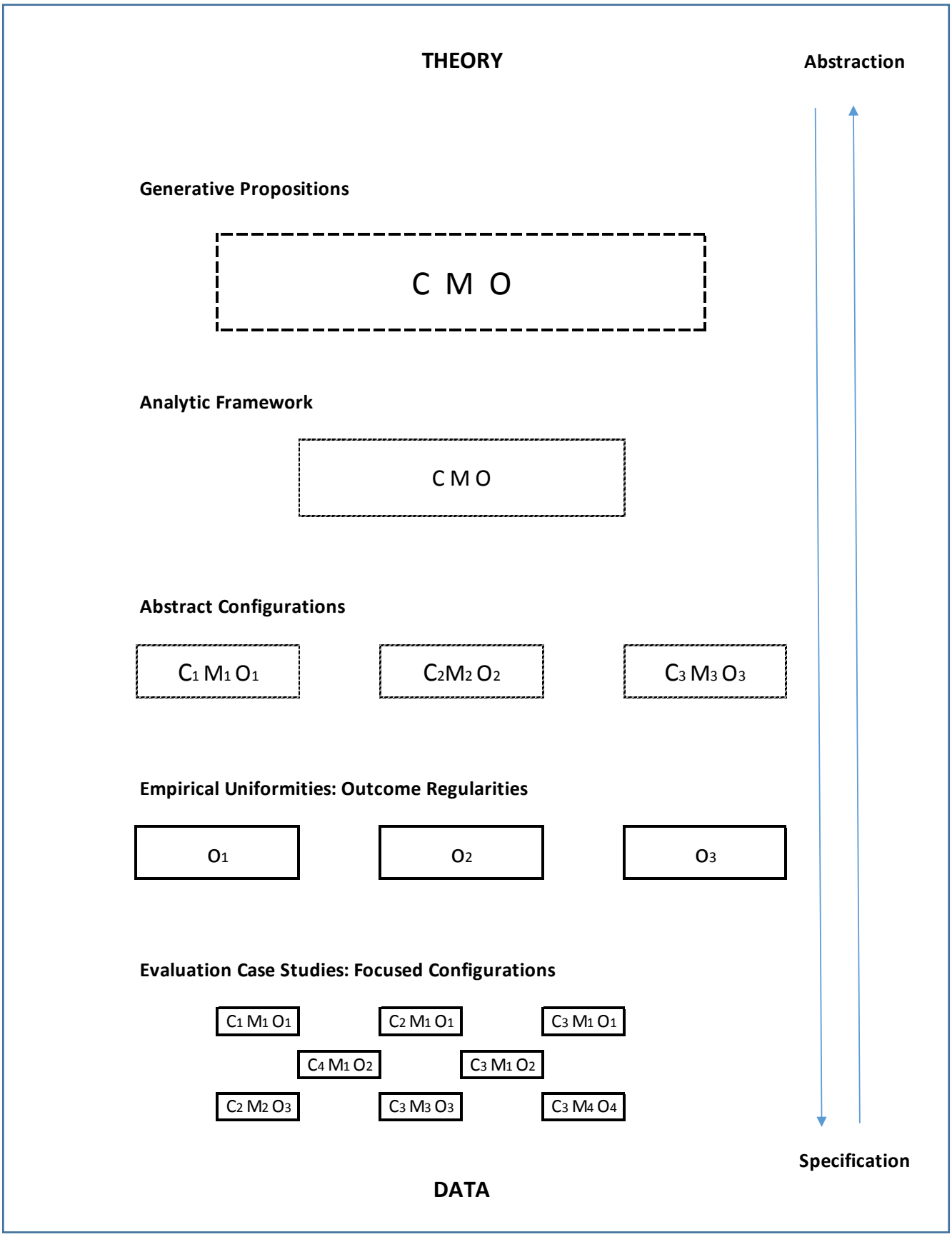


Figure 12: The analytical process as adapted from Pawson and Tilley's (1997) "The elements of realist cumulation" (p. 121). The dashed boxes indicate broader scope.

Outcome regularities were considered in the light of the extant literature, as studied in Chapter Two and as used to develop the deduced programme theory. Pawson and Tilley (1997) explain that "in order to understand the regularity, we must turn to theory. Most of the key areas in evaluation research have appropriate bodies of general theory to call upon" (p. 138). Using the structure of the deduced programme theory as a guide, the outcome regularities were formed into groupings. For example, outcome regularities were formed into groups based on whether they mainly pertained to cognitive or affective outcome patterns; pre-AI or during-AI contexts; or different types of mechanisms. For each grouping of outcome regularities, the extent to which findings were supported by extant literature was considered. This process led to the development of abstract configurations.

Pawson and Tilley (1997) refer to abstract configurations as representing "*middle-range* theory, of a kind abstract enough to underpin the development of a range of program types" (p. 116). They also describe abstract configurations as "a conduit between abstract concepts and real-world actions" (p. 124). Abstract configurations are therefore more broadly based and more theoretically meaningful configurations of contexts, mechanisms, and outcome patterns than those contained in the outcome regularities. The main theoretical contribution of this study is summarised by means of a model encompassing these abstract configurations. In the analysis process, each abstract configuration is linked to specific outcome regularities.

The next higher level of abstraction covered in this study is at the level of an analytic framework which is described by Pawson and Tilley (1997) as a "way of seeing" or as a framework that "a researcher develops in order to aid the examination of a specific 'class of phenomenon'" (p. 122). The class of phenomenon of interest here is how employees experience and make sense of their transition throughout an AI intervention aimed at transformational organisational change. The general structure of the deduced programme theory—with the contexts split into pre-AI and during-AI contexts; the mechanisms as types of reflection, and the outcome patterns shown as cognitive, behavioural, and affective themes—represents an initial analytic framework. Following the development of the abstract configurations, the deduced programme theory was reviewed to produce a more appropriate and more comprehensive "way of seeing" AI interventions. The structure of the resulting revised programme theory can be considered as the main methodological contribution of this research.

Subsequent to the elaboration of the revised programme theory, some generative propositions were developed. The generative propositions are at the highest level of abstraction in this study and lie outside of the boundary of the analytic framework which focuses on AI types of OD interventions. The generative propositions provide opportunities for further research.

Ethical Considerations

Prior to the researcher entering the field, ethical clearance for the study was obtained from the University of Pretoria, Gordon Institute of Business Science. A copy of the Ethical Clearance is shown in Appendix K.

Every participant in the pilot study and the main study signed a Research Consent Form before any other data were collected. The Research Consent Form is shown in Appendix L.

CHAPTER FOUR: WITHIN-CASE ANALYSES

According to Eisenhardt (1989), the purpose of analysing within-case data is to "allow the unique patterns of each case to emerge before investigators push to generalise patterns across cases" (p. 540). In this chapter, the six cases are discussed individually, in alphabetical order. For each case, the data are first described in the order in which data collection occurred—commencing at the pre-AI stage, followed by the during-AI stages and ending with the post-AI stage—and the data are then analysed. The analysis of the data is conducted under the headings: (a) pre-AI context; (b) transition regarding the bank as a great place to work; (c) transition regarding opinion of the alignment; (d) transition regarding opinion of organisational change in general; (e) transition regarding realisation of own role in change; and (f) feelings of participation and/or manipulation. The transition path is then shown in the format of context-mechanism-outcome pattern configurations. The chapter ends with a brief summary of the with-in case analyses.

Within-Case Analysis for Allison

Data Description

Demographics. At the time of the study, Allison, female, was in the 26-35 age category and had worked for the bank for nine years. Her home language was English. She had been a Relationship Manager in the Small Business Services ("SBS") department of RRB for three years and as a consequence of the alignment had to report in to the retail branch structures at the bank. Although processes and mandates changed, the physical location of the office suite where she worked was not affected.

Diary response data collected at pre-AI stage. At the time of the alignment, around mid-2013, Allison felt stressed and disempowered, particularly due to the lack of communication. She said that:

> It was very overwhelming and scary. A lot was unknown to us at the time. All the detail of the alignment was not properly communicated so there was a lot left for us to assume. . . . I felt as though our people and business unit were not important enough therefore that is why we have now been aligned to retail.
>
> (P8: TT280.1docx, QU: 8.15)

In November 2014, just prior to the AI intervention, she still disagreed with the concept of the alignment as she felt the same processes and measurements could not be applied to retail and RRB. She explained that:

> I now still do not think the alignment should have happened. Retail and RRB are two completely different business units and cannot be measured with the same

> tools and measurements. . . . Yes, in terms of costs we have saved, but the measurements and processes we have not achieved.
>
> (P8:TT280.1docx, QU: 8.18)

She had concerns about her career development and was focussing on that rather than on the alignment, however she was nervous about any possible future changes, saying that "my current perception is very nervous there are a lot of changes at present and they seem to be ongoing" (P8: TT280.1docx, QU: 8.23). She said that the bank was not a great place to work due to all the extra stress. She recommended that sales people be allowed to focus on sales but doubted the change would be made as "these kinds of requests have been escalated before and nothing has been done or considered" (P8: TT280.1docx, QU: 8.28).

Diary response and observation data collected at discovery phase. Allison was fully engaged in the workshop and said "I participated fully in today's workshop by providing my input for every part of the workshop" (P22: TT280.2d.docx, QU: 22.2). A significant learning for her was "that mostly everybody was not happy with the changes that were implemented" (P22: TT280.2d.docx, QU: 22.4). During the workshop she was observed displaying strong negative body language, facing away and pursing her lips, when a more senior colleague spoke positively about the alignment. She was observed to say in response that "it is disheartening that when we eventually gave input nothing changed" (P32: TT280.2o.docx, QU: 32.5).

She had to think deeply to recall experiences and her feelings from the time of the alignment. She felt empowered by the workshop, saying she was "very excited that management are considering our opinions and looking at taking them into consideration. Glad that we can give our input" (P22: TT280.2d.docx, QU: 22.10). In addition, she realised that she could choose how to react to change and change her behaviour "by understanding that in order to embrace change I need to start with changing my attitude" (P22: TT280.2d.docx, QU: 22.14) She also announced her intention to assist with the change process by "making others understand the importance of the alignment and the fact that management is now considering it" (P22: TT280.2d.docx, QU: 22.15).

Allison said that the bank was a great place to work "because of job security as well as the relationship one has with their [*sic*] line managers" (P22: TT280.2d.docx, QU: 22.18) although she did have a relatively minor complaint about the lack of recognition for her upcoming 10 year service milestone.

Her closing remark about the workshop was observed to be a fairly neutral "it was interesting" (P32: TT280.2o.docx, QU: 32.8).

Diary response and observation data collected at dream phase. Allison was observed saying at the start of the workshop that she had attended in order "to continue our learning" (P44: TT280.3o.docx, QU: 44.1). In her diary responses she reported a positive change in her feelings—as a result of the workshop—about the alignment and the bank as a great place to work. She said she felt "much more positive about the future as I feel that my input is valid. More positive about change. I feel important as my voice is being heard" (P53: TT280.3d.docx, QU: 53.12) and "a lot more positive about the place I am in" (P53: TT280.3d.docx, QU: 53.15). In respect of the importance of being positive she acknowledged that "it is very easy to be negative and a lot harder to be positive" (P53: TT280.3d.docx, QU: 53.15) and she stated her intention "to have more of a positive attitude" (P53: TT280.3d.docx, QU: 53.6).

She realised that she could choose how to react to change, saying "change is important and starts with oneself" (P53: TT280.3d.docx, QU: 53.4), "I am responsible for my own attitude" (P53: TT280.3d.docx, QU: 53.16) and committing to "take ownership and accountability for my actions" (P53: TT280.3d.docx, QU: 53.17). It appeared that Allison also acknowledged aspects of social constructionism when she commented that she had learnt about "the strength and effects that words have on people" (P53: TT280.3d.docx, QU: 53.3).

When asked about her opinion of the bank as a great place to work she listed three positive features; (a) that the bank offers study bursaries; (b) that the bank offers sufficient training; and (c) that there is cultural diversity.

Her closing remark about the workshop was observed to be "amazing" (P44: TT280.3o.docx, QU: 44.4).

Diary response and observation data collected at design phase. Allison said that transparency was important during organisational change. She was pleased that the bank recognises the problems that arose from the alignment, saying "we feel like we are finally being heard and our opinion does matter" (P67: TT280.4d.docx, QU: 67.9) and "I understand more now that the bank is interested in our opinions and what we think" (P67: TT280.4d.docx, QU: 67.14). She was complimentary about job security at the bank but again criticised the recognition systems.

Although she reflected on the effect of the alignment on her family, when asked how deeply she thought, she replied "not very deeply—mostly about the stakeholders

that are really involved in this change management/alignment. Which are our families as well which we don't realise how affected they sometimes are [*sic*]" (P67: TT280.4d.docx, QU: 67.7).

Allison was observed watching the *Seeing the Positive in the World* video intently (P61: TT280.4o.docx, QU: 61.1) and she wrote in her diary responses that "the movie/video that we were shown today was excellent. There were many quotes mentioned in there that were very inspirational" (P67: TT280.4d.docx, QU: 67.19). She appeared to learn about constructionism, saying that a significant event in the workshop for her was "the realisation that our perception controls our reality, to progress positively we also need to have a personal vision" (P67: TT280.4d.docx, QU: 67.2). She said "I look at things a lot differently now" (P67: TT280.4d.docx, QU: 67.18).

She learnt further about having a positive attitude, making the comment that "a positive attitude starts with me and me only, I need to personally make the decision to change" (P67: TT280.4d.docx, QU: 67.3). She said her behaviour in this regard had already changed as "I do not always just point out the negatives any longer, I also look for the positives and encourage others as well" (P67: TT280.4d.docx, QU: 67.17). She also said that "I intend to have more of a positive attitude and allow that to rub off on my colleagues" (P67: TT280.4d.docx, QU: 67.20). She was observed saying there was a "need to influence self, colleagues and management" (P61: TT280.4o.docx, QU: 61.3).

Diary response and observation data collected at destiny phase. Allison did not attend the destiny workshop as she was on maternity leave.

Interview data collected at post-AI stage. At the post-AI interview Allison recalled that, prior to the AI intervention, her overall rating of the bank as a great place to work and her rating of her job satisfaction and the bank as caring about her opinion were "fair". She was not worried about job security and although she was frustrated by the systems she accepted that they were costly and would take time to modify. She was however unhappy with the rewards and recognition in comparison to the past as:

> We always had additional incentives as sales people, besides your annual bonus, performance bonus etcetera. It was based on your monthly performance and you would get rewards and recognition in that time. But then when they amalgamated, when they first did an alignment between PRB and SBS [this was some time before the alignment between RRB and Retail], then because PRB had its own rewards and monthly recognition and SBS had its own, they said because now we are merging the two businesses we'll have to come up with one [bonus system]

> that the two joint businesses can use. And from that end, it's never ever been brought back to us. So we don't have either.
>
> (P100: TT280.6i.docx, QU: 100.30)

At the post-AI interview Allison reflected on her negative view of the alignment prior to the AI intervention. She had been confused due to the lack of communication about the alignment and had been of the opinion that RRB and Retail did not fit well together as businesses. She complained:

> Look, it wasn't fine as it was because the integration between RRB and Branch networks firstly didn't happen smoothly. It was something that just happened, everybody just had to deal with it from the onset, so in my eyes it wasn't really working because you can't necessarily amalgamate the two businesses just like that because they are two separate kinds of businesses. They operate differently. So it was stepping, trying to make it work in those months after the change because everybody was trying to get used to this whole—or grasp this—whole integration between the two. . . . That was kind of difficult.
>
> (P100: TT280.6i.docx, QU: 100.5)

This lack of fit between the businesses was causing significant problems for her clients and she was finding the situation stressful. She explained that:

> It was just the frustration in terms of certain processes changing because now we were aligned to the branches. So whereas your team manager would authorise certain things now it had to be authorised by branch managers and if the branch manager wasn't there it had to wait and then you had to go through to the area manager who is not always available or you had to go through to national desk, which takes longer and you know, our clients are used to a high level of service because they have a dedicated person with them. And they're paying for that kind of service. So you can't really explain to clients…"no we've got to wait, our process has changed" because a month ago they used to do it one way and now they're doing it another way. And it's not convenient to them. You see if it's more convenient to them they won't mind, but now it's an inconvenience to them. So that became a lot more stressful in terms of delivering a high level of service. And in terms of the bank strategy world-class service is one of the main strategies, so how do you balance that, you know? (P100: TT280.6i.docx, QU: 100.12)

In addition to the pressure from the clients, Allison was also experiencing pressure from management to increase sales. She said that, in addition to the disgruntled clients,

"management used to just push for sales. I mean they still expected, what was still expected, you had to do it" (P100: TT280.6i.docx, QU: 100.7). The pressures were creating high stress, as Allison emphasised: "So there was a lot of stress, there was a lot of workload, there was now this change that you had to get used to so immediately you know a human body just doesn't really work with it" (P100: TT280.6i.docx, QU: 100.7).

Due to her specialised skills, Allison felt reasonably secure prior to the AI intervention but she did not know the future direction of the combined division, saying that it was never clarified with them "what's going to happen in the future. That picture was never given to anybody so that's why I feel like the picture going forward, nobody could understand" (P100: TT280.6i.docx, QU: 100.24). She complained that much of the extra work following the alignment was not relevant and that the difficulties were caused by the different nature of the two businesses that had been aligned. She elaborated:

> So you've got to report what you're going to do and then at the end of the day you've got to do a spreadsheet of what you've done and we never used to do that because we used to have weekly one-on-ones where we used to go through our sales, so you prepared for your weekly one-on-one. Now you had to do it every day, on a morning and afternoon basis and with our roles, with appointments with clients because you are in and out of the office all the time, it becomes a bit difficult. Because sometimes you've got an afternoon appointment so you're not in the office in the afternoon to do that at the end of day. Then you've either got to make your way back to the office to do it or you've got to do it telephonically. So it became kind of strenuous with extra things that you didn't have to do.
>
> (P100: TT280.6i.docx, QU: 100.14)

She felt that the extra reporting requirements were disempowering, saying that:

> We see our roles as more senior, so you're responsible in terms of your portfolio, you're running it with your clients and you know what you're doing and you know what you have to do, and you have a close relationship with your manager who knows what you are doing on a daily basis. So having that approach could work in the branch because they're just working with walk-in clients whereas you're working with a different base of clients, so it tends to work a little bit differently.
>
> (P100: TT280.6i.docx, QU: 100.15)

Upon hearing about the AI intervention Allison was sceptical as she doubted the integrity of top management in instigating the process. She recalled that:

> In the beginning, well before going to any workshop we jointly decided…well me personally I figured OK it's another one of these sessions that we have to go to and nothing is going to come of it. So you say what you need to say or you honestly tell what you need to tell and then nothing comes of it, so there's an interest but there's no interest. So there's something put together for us to show you guys that we're interested, but then nothing comes of it, so….
>
> (P100: TT280.6i.docx, QU: 100.25)

At the post-AI interview Allison said that her view of the bank as caring about employee opinions had improved:

> Look, the entire process was, for me it was rewarding because it was like management took the time to at least find out what happened with the last integration, what was the downfalls, you know to get their opinions of people, so it was to me a step in the right direction, because there's obviously an interest at top level as to how they can do things better. (P100: TT280.6i.docx, QU: 100.2)

However, she was cautiously monitoring the situation, saying "look it has changed for the positive because we had that inquiry, but I still don't know what's going to happen after that" (P100: TT280.6i.docx, QU: 100.35).

She particularly liked the fact that the content of the AI workshops came almost entirely from the participants as opposed to being in a lecture format and that the approach was holistic in terms of the issues which were covered. She said:

> Each step we did ... for me was important, because you went from step, by step, by step and you had different opinions in each step, and you know, it carried through the entire session so, for me it was great that it wasn't just one session where...like I'm saying it was just a slide show and you had to go through this and read it. It was in depth, you went into your feelings in every single session, and for me that at least gave Exco a full picture of your opinion, not just one set of it. It went through every single thing. (P100: TT280.6i.docx, QU: 100.39)

Allison said that her level of job satisfaction, her view of the rewards, recognition and development and her opinion of the extent to which the bank provided a supportive environment had not changed. Although she commented on some feelings of job insecurity she continued to rationalise that she was reasonably secure due to her specialised skills. It would appear that her opinion of the bank as a great place to work had not changed as a result of the intervention.

Allison's opinion of the alignment itself had also not changed as a result of the AI intervention. She said "look, it's still in my head space, it's still ... you cannot merge the two businesses" (P100: TT280.6i.docx, QU: 100.62) and "so maybe until I get over that part, then I'll get over it, but, *ja*...because to me it just doesn't work" (P100: TT280.6i.docx, QU: 100.63).

Despite her unchanged opinion of the alignment itself, Allison said she did learn about the need for consultation during organisational change in general from the AI intervention. She said she learnt:

> How we should go about doing the alignments, because we just...it just happened. But with the Appreciative Inquiry, you got to hear how people wanted these alignments to happen, that it should be discussed with the staff first, you know, things like that. So you got to hear other peoples' opinions about it and you got to realise that that's probably how it should happen and not just happen.
>
> (P100: TT280.6i.docx, QU: 100.56)

She argued that if a change was imposed on someone without any consultation then it would be very difficult for the impacted person to adopt a positive attitude towards the change. She said that:

> If it's something that is just dropped on you and you've got to deal with it, that's when people tend to get angry … but when it's something that you went into, you feel like you're part of it and then you will accept it.
>
> (P100: TT280.6i.docx, QU: 100.67)

However, Allison said that she learnt to view things more positively and as a result she became more confident that change would be better managed in the bank in future. She said:

> Instead of being frustrated and constantly thinking about the bigger picture as to why this happened, the positive...the positive thinking and change came in and said, "you know what? It's happened, it's done and dusted, you might as well just look at the positives and move forward with what's happened, and you've given your opinions, there's a team of you that have. It's going to go up to Exco, so it's probably not going to happen like this again". That's, for me, how I moved forward with it. (P100: TT280.6i.docx, QU: 100.59)

Allison did not feel that the other participants had had much influence on her thinking. When asked if she was influenced by becoming aware of the viewpoints of others, she admitted that she could be dogmatic, replying:

> Yes and no, because sometimes you didn't ... maybe you didn't quite understand what it was about and then that's why you had that specific opinion and when you heard someone else's then it brought you, probably into the same picture but you are still on a different path because that's your opinion. I'm very headstrong so my opinion sometimes is the only one. (P100: TT280.6i.docx, QU: 100.44)

Allison said she had to think deeply during the 'envisioning a positive future' activity. It influenced her to think more positively and she hoped that it would influence the thinking of top management once they received feedback about the results of the activity. An excerpt of the transcript reads as follows:

> *Allison:* In five years' time, yes. That for me was...now you really had to think, because now what would be your perfect day at work in five years' time at the bank, working in the bank? So, you know, you really had to think about it because all you do is take it step by step and just, you know, just take things as it comes. So now you had to think of what your perfect picture would be.
>
> *Researcher:* Was that quite difficult to go through that process of thinking into the future? Or thinking...imagining the future?
>
> *Allison:* It was … because now you had to take everything into context, this whole big picture of what you do and this whole big circle around you because there's a lot of systems, and a lot of people and everything and then you had to think about what it would be like in five years' time, but your perfect dream.
>
> *Researcher:* Do you think that changed your thinking at all?
>
> *Allison:* Yes.
>
> *Researcher:* In what way?
>
> *Allison:* Positive in terms of, if we all had to think like that and paint those pictures ... we put all those things together and all I can think about is what Exco did when they saw or heard about that. You know, it obviously also would make them think in that positive light as well. (P100: TT280.6i.docx, QU: 100.40)

Although Allison said she had to think deeply during the 'envisioning a positive future' activity, she did not feel highly uncomfortable during the process. In response to a question about how she felt she replied:

> I won't say I was totally at ease. You're obviously coming out of your comfort zone because now you're having to think into the future and you're having to think your thoughts out loud, sometimes personal because now you're working in a group, and like I'm saying, sometimes you don't share the same opinions or

> dreams, so what I would have liked to change in the future, somebody else might not necessarily have wanted to in the group ... or might not see it as priority where I did. So it was a little bit difficult, so I wasn't totally at ease but I wasn't totally out of my comfort zone. (P100: TT280.6i.docx, QU: 100.49)

She said that the AI intervention led to her having a more positive attitude which also enabled her to positively influence her work colleagues back at the office. When asked if her behaviour had changed as a result of the intervention, she replied:

> It did, I think we saw, not after the first session, after the second session. . . . you could tell them, look this is happening and, you know, we are going to...it is going to get better, it's not as bad as it used to be. At least we're doing this and this is what we did today and, you know. So I think the positiveness from us attending the Appreciative Inquiry and what we did in it spread into the rest of the team as well. (P100: TT280.6i.docx, QU: 100.69)

When asked to relay the content of the message she imparted to her colleagues she referred to her increased confidence that things would improve in the future, saying:

> We were optimistic that the process is happening. This is how many sessions we're going for so it's obviously something that's important, so obviously there is going to be positive things that are going to happen in the future.
>
> (P100: TT280.6i.docx, QU: 100.70)

Despite her scepticism before the AI intervention commenced, her concluding comments about the process were positive. She said that the process made her feel delighted:

> Like I'm saying, you had to have attended the second and third session and then you...by that time you would have realised that it's very different from the other sessions, because you're involved in the session, it's not you just getting told this is what happened and this is what's going to happen, you were involved in every single session and, obviously from the first session you couldn't really get much from it, but the second session and the third session, then you saw exactly where it's going, because the picture was painted. I mean with the four sessions and everything. (P100: TT280.6i.docx, QU: 100.77)

She felt that the other participants also found the process constructive, saying:

> I think in the beginning everybody was like, "*agh*, this was another thing we have to attend. You know, we're just going to say what we say and nothing's going to happen" but as you got into it and the more sessions you went for, by the second

> or third session you realised that, "look hey, this is positive, this is working", whereas at the onset you thought, "*agh*, it's just another ticking box that I have to do". (P100: TT280.6i.docx, QU: 100.76)

Data Analysis

Pre-AI context. The pre-AI diary data indicated that Allison, a Relationship Manager in SBS, did not feel the bank was a great place to work due to the high level of stress. Her retrospective view of the bank overall as a great place to work, based on a range of factors, was that it was "fair". Allison was experiencing survival anxiety prior to the AI intervention as she disagreed with the logic behind the alignment and was stressed by the pressure from management and the constraints to being able to deliver good service to her clients. She was also experiencing learning anxiety in that she was unable to see where the combined division was heading. She was not confident of the integrity of top management in instigating the AI intervention.

Transition regarding opinion of the bank as a great place to work. At the AI workshops and at the post-AI stage Allison felt that the AI process showed that the bank cared about employee opinions and, in particular, that top management wanted to learn how to better implement change in future. This is quite significant as she entered the AI process sceptical about the integrity of top management in instigating the process. Her overall opinion of the bank as a great place to work may have become more positive through the AI intervention but she was however monitoring the situation to see if the AI process would lead to noticeable changes.

Allison has transitioned in terms of her opinion of the bank as caring about employee opinions. Her transition was in terms of new insight and she experienced increased pleasantness during the transition. The context was the AI intervention in its entirety in that it showed that top management wanted to learn about how to better implement change in future. The mechanism was process reflection. The focused configuration for her transition regarding her improved opinion of the bank as caring about staff opinions is shown in Table 5.

Table 5.

The Focused Configuration for Allison's Transition regarding her Improved Opinion of the Bank as Caring about Employee Opinions

Configuration component	Description
Outcome pattern(s)	Improved view of the bank as caring about employee opinions Increased pleasantness
Context(s)	The AI process in its entirety in that it showed that top management were interested in how change could be better managed in future
Mechanism	Process reflection

Transition regarding opinion of the alignment. Allison's opinion of the alignment did not change as a result of the AI intervention. She remained of the opinion that RRB and Retail were two different types of business which should not have been merged.

Transition regarding opinion of organisational change in general. Through the AI process Allison learnt about the importance of participation in an organisational change intervention. This represented transition in terms of new insight and she experienced increased pleasantness during the process. The context was the fact that the content of the AI process was determined by the participants and the mechanism was process reflection. The focused configuration for Allison's transition regarding her learning the importance of participation in organisational change interventions is shown in Table 6.

Table 6.

The Focused Configuration for Allison's Transition regarding her Learning the Importance of Participation in Organisational Change Interventions

Configuration component	Description
Outcome pattern(s)	Learnt about the importance of participation in an organisational change intervention Increased pleasantness
Context(s)	The fact that the content of the AI process was determined by the participants
Mechanism	Process reflection

Transition regarding realisation of own role in change. At the AI workshops Allison learnt about the importance of adopting a positive attitude. She was influenced to think more positively by both the 'envisioning a positive future' activity and the *Seeing the Positive in the World* video. The mechanism borders on critical reflection on assumptions as she said she found the differing opinions between the participants quite difficult to process and she felt slightly out of her "comfort zone".

Her positive attitude assisted her transition in terms of accepting that top management were interested in how change could be better managed in future. However, her positivity did not extend to influencing her view of the alignment which, in her opinion, remained illogical. Her statements regarding learning about constructionism appeared not to have been put into action.

Allison's transition in terms of her adoption of a positive attitude towards change 'out there' fits neither of the definitions of the two types of cognitive outcome patterns in

Table 7.

The Focused Configuration for Allison's Transition regarding her Adoption of a Positive Attitude

Configuration component	Description
Outcome pattern(s)	Learnt she could adopt a positive attitude towards aspects of a change 'out there' Slightly out of comfort zone
Context(s)	The 'envisioning a positive future' activity Watching the *Seeing the Positive in the World* video
Mechanism	Some degree of critical reflection on assumptions

unimportant to important—or vice versa—and it does not represent a change in something completely from subject to object. Her transition therefore represents a different type of cognitive outcome pattern than that represented in the deduced programme theory and will be termed *positive reinterpretation* and defined as *adoption of a positive attitude towards change 'out there'*. The focused configuration for Allison's transition regarding her learning the importance of adopting a positive attitude is shown in Table 7.

Feelings of participation and/or manipulation. It is clear from the observations that Allison participated well and was fully engaged in the AI process throughout. She was unable to attend the destiny workshop as she was on maternity leave.

Despite her scepticism about the integrity of top management before the AI intervention started, she transitioned to accepting that they wanted to learn how to better implement organisational change. This indicates that her scepticism about their motives for initiating the AI intervention was quickly forgotten once the AI intervention

commenced. She was particularly impressed by the fact that the content for the AI workshops came mainly from the participants. She did not think that the process was at all manipulative.

A Model of Allison's Transition Path in the Format of Focused Configurations

Allison is a Relationship Manager in SBS who entered the AI process with a lack of confidence in the integrity of top management in instigating the AI intervention. Her transition can be represented in a transition model showing the focused configurations. She transitioned in terms of new insight regarding her opinion of the bank as caring about staff opinions and she learnt about the importance of participation in an organisational change intervention. She also transitioned, in terms of positive reinterpretation by learning to adopt a positive attitude towards aspects of change. Her transition in terms of new insight may have helped her to transition in terms of positive reinterpretation and vice versa. For example, learning to adopt a positive attitude towards change assisted her in accepting that top management wanted to implement change in a more participative way in future.

The model representing Allison's transition in the format of focused configurations is shown in Figure 13. The model shows the relevant transition themes—'improved view of the bank as caring about employee opinions', 'learnt about the importance of participation in an organisational change intervention' and 'learnt she could adopt a positive attitude towards aspects of a change 'out there''—each under the appropriate type of cognitive outcome pattern—transition in terms of new insight and transition in terms of positive reinterpretation. The model also illustrates how these different types and themes of transition may influence each other and hence may be *interwoven*.

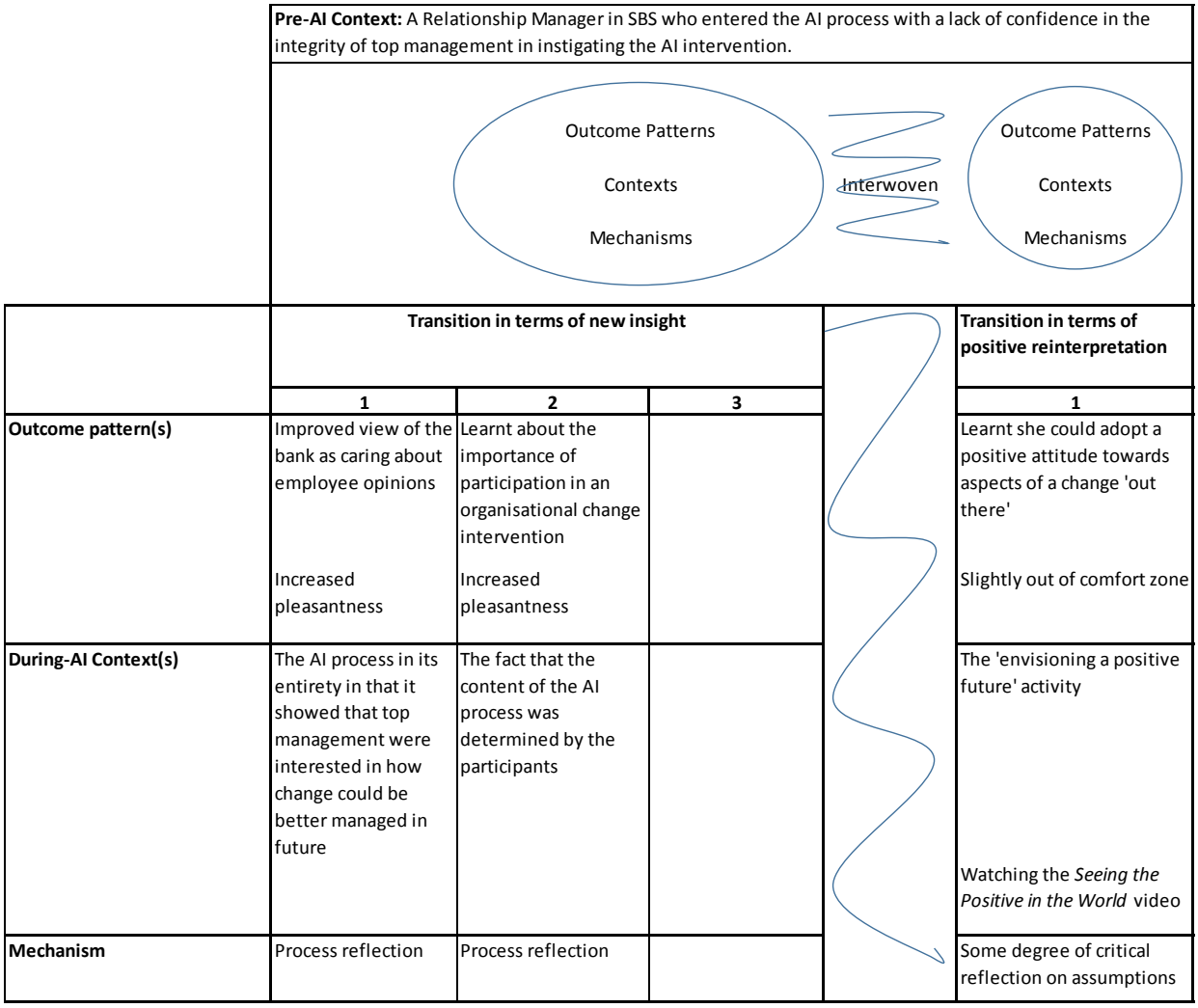


Figure 13: Allison's transition path in the format of focused configurations.

Within-case Analysis for Bernice

Data Description

Demographics. At the time of the study, Bernice, female, was in the 46-55 age category, had worked for Seibank for 31 years, and had been a Branch Manager for the past 14 years. Her home language was English. Before the alignment she was working for branch networks and as a result of the initiative she had to take on the additional management responsibility for Retail Relationship Banking (RRB) in the branch.

Diary response data collected at pre-AI stage. Her opinion at the time of the alignment (around mid-2013) was that the alignment was necessary in order to rectify the

non-performance of the RRB staff but that it was poorly implemented as there was a lack of proper communication and a lack of support. She became angry upon learning of the inequalities between branch and RRB staff in terms of salaries and targets and she suffered poor health due to the high stress caused by trying, as a branch manager, to change the behaviour of the RRB staff from relationship management to meeting sales targets. She experienced resentment from the RRB staff and did not know where to go to obtain support. She explained that:

> The staff were very resentful and did not like having to discuss their daily activities with me every day. The stress levels were extremely high on me just to get the staff to understand that I needed to "manage them". I was not there to irritate them or "police" them but their current level of performance was not good enough (it was non-existent)! Instead of only having four departments/sections to run, I now had an additional one which came with targets, attitude, non-performance. (P3: HJ400.1.docx, QU: 3.11)
>
> I personally suffered health wise with the increased stress levels & demands from the business. It was not only the RRB which added to my stress levels, the [previous] integration was also something to deal [with] as well as the personal loans integration into the branch. Felt like a chicken without a head! Did not know where to go if there was a problem with a credit application. Who was our support structure? (P3: HJ400.1.docx, QU: 3.19)

At the time of the pre-AI data collection (in November 2014), she felt that the alignment had negatively impacted the morale of the RRB staff and that this was not properly anticipated. She said that:

> RRB staff's morale was affected and not in a good way and there were a lot of "new" things they had to get used to. Don't think that the huge impact on their morale was taken into account/factored into it. . . Caused a lot of uncertainty and staff churn in the business. (P3: HJ400.1.docx, QU: 3.29)

She was concerned how the ongoing under-performance of the RRB staff was affecting her personal financial incentives. However, she saw lots of opportunities for improved sales and profitability arising from the initiative and also saw positive learnings for herself. She was working long hours in order to manage her section and had become a much stricter manager.

Although Bernice generally considered the bank to be a great place to work, she was concerned that the RRB staff was under severe pressure due to the daily

administrative demands and she felt that senior management needed a better understanding of what happened at branch level before making changes. She said:

> I love the bank and 70% of the time it is a great place to work. But sometimes what is great on paper and the plan is not practical in the branch. With the branch dynamics being as they are, not sure if the people making the decisions know what a week in the branch is like. (P3: HJ400.1.docx, QU: 3.37)

She was not confident that any changes would be made to solve the problem as targets were continually stretched and performance was never good enough. She explained that:

> 2015 is just going to bring more challenges, bigger targets, goal posts are going to be moved and we are going to just have to accept it and move on and do the best we can. Which is not always or ever enough for the business.
>
> (P3: HJ400.1.docx, QU: 3.41)

Diary response and observation data collected at discovery phase. Bernice had a very negative view of the alignment, writing in her diary that it made her feel "terrible . . . stressed and under tremendous pressure. Not enough hours in a day to deal with all the changes and demands" (P19: HJ400.2d.docx, QU: 19.11). Bernice reported that she had to think deeply during the workshop about "the impact of the integration on me personally and whether it has contributed to making me a stronger person or a more stressed person" (P19: HJ400.2d.docx, QU: 19.15).

She was also negative about the bank as a great place to work, saying "it's sad that although the bank strives to be a great place to work, they are not always getting it right. When we think of great place to work, that it refers back to a couple of years ago" (P19: HJ400.2d.docx, QU: 19.11). She added adamantly that "your opinion is definitely not taken into account" (P19: HJ400.2d.docx, QU: 19.14) and "there is a common feel that targets are not aligned to the correct markets, but we get told to deal with it" (P19: HJ400.2d.docx, QU: 19.9).

Bernice said that she intended to act differently in future in terms of looking at the bigger picture of organisational change as "the clip around the 'Colour Changing Card Trick' makes a person realise that by focusing on only one aspect of the business, you miss a lot of opportunities" (P19: HJ400.2d.docx, QU: 19.13).

During the workshop, Bernice was fully engaged, being observed to be "nodding, alert, seems to be enjoying the process" (P29: HJ400.2o.docx, QU: 29.9). However, she alluded to a possible concern about the openness of the process when she said that

"although it's said to be confidential, having AM's [Area Managers] in the room, I think it prohibits some of the comments that delegates would give. Fear of repercussions" (P19: HJ400.2d.docx, QU: 19.6). Her closing remark about how she felt about the workshop was observed to be "this is necessary" (P29: HJ400.2o.docx, QU: 29.8).

Diary response and observation data collected at dream phase. Bernice's unhappiness with the bank was self-evident from both the observation and the diary response data. When asked at the start of the workshop why she chose to be there she was observed to reply "I need some improvements" (P41: HJ400.3o.docx, QU: 41.1) and in response to the diary prompt about whether the bank was a great place to work, Bernice replied:

> Definitely not, targets are absolutely killing me and the entire team. Totally out of line and no real explanation given. Totally told constantly that you are bring the Region down and constantly told 'you are worthless' without it being put into words. If I could leave the business, would do it in a heartbeat.
>
> (P50: HJ400.3d.docx, QU: 50.16)

She says that she had to think very deeply during the workshop and in response to the question about how the workshop made her feel she replied "makes me think about where I currently am and the space I am in, where do I want to be and what I need to do to get the change or difference in my life" (P50: HJ400.3d.docx, QU: 50.13).

Despite Bernice's negative opinion of the bank as a great place to work she did espouse learning about being able to choose how to react to change in saying that "to get change, I need to be the change and visualise where I want to be" (P50: HJ400.3d.docx, QU: 50.9). She was observed to comment during the 'envisioning a positive future' activity "just having a happy branch. Happy people" (P41: HJ400.3o.docx, QU: 41.4) and she wrote in her diary that "the bank could be a great place to be, work and bank if everyone is on board and buys into the Ideal bank" (P50: HJ400.3d.docx, QU: 50.4) and "if we can engage all this energy and vision into a working format, the bank will again be a great place to work" (P50: HJ400.3d.docx, QU: 50.6). Her closing comment about the workshop was observed to be "amazing" (P41: HJ400.3o.docx, QU: 41.5).

Diary response and observation data collected at design phase. Bernice thought deeply at the workshop about the alignment and began to realise that there were some positive aspects to it. She said that "the change could have been a lot more traumatic" (P65: HJ400.4d.docx, QU: 65.3) and in response to how the workshop made her feel she said it:

> Makes me start questioning some of my views/beliefs and the assumptions I have. Get the views of other stakeholders in the business and realise there were some positive changes as well as negative. That a lot of the staff used the integration as an excuse to not perform or to justify the non-performance.
>
> (P65: HJ400.4d.docx, QU: 65.9)

She also said that she thought deeply about the impact that the individual could have on the organisation, but concluded, quite negatively, that "collectively there is a big impact but individually you do not count" (P65: HJ400.4d.docx, QU: 65.6). She continued to be negative about the bank as a great place to work, saying:

> The bank Brand is a great brand but a great place to work: NO! The consistent pressure and the additional things that constantly get added to your daily job is just too much for a person to handle. A person gets belittled if they do not achieve, although targets are totally unrealistic. (P65: HJ400.4d.docx, QU: 65.12)

Bernice wrote in her diary responses about how she had realised she could choose how to react to change, saying that "there is a constant need to be positive and motivated. That change starts with you and that we have to constantly reinforce the message. That we have a choice on how we embrace the changes" (P65: HJ400.4d.docx, QU: 65.1). However, it seemed that she still saw the change as being 'out there' and the main choice she was considering was whether or not to stay with the bank. She said that the AI process had changed her behaviour in that it "made me realise I have a choice to be here or not. And that the change needs to happen by me. I need to make the decision to go or stay" (P65: HJ400.4d.docx, QU: 65.14). She undertook to adopt a positive mind-set for the immediate future, committing to "consistently be positive until the next workshop and see if there is a different outcome" (P65: HJ400.4d.docx, QU: 65.7).

Diary response and observation data collected at destiny phase. Bernice continued to be negative about the bank as a great place to work, saying there were "frustrations experienced in the business on a daily basis. Inconsistency around how people are managed and how strategy is cascaded down. Recognition is not done consistently in the business" (P79: HJ400.5d.docx, QU: 79.1). She was particularly angry about unfair reward systems, complaining that:

> Taking into account the amount that my team contributed to the Region, and because of the "rules" in place, no bonuses are paid. You get compared with branches whose targets are less than one of your sales consultants' monthly target and you get treated/measured the same. Ridiculous.

(P79: HJ400.5d.docx, QU: 79.10)

She felt that the bank did not care about the employees as "my behaviour has always been to do my best, give my best and be a bank ambassador, only to be treated like a number" (P79: HJ400.5d.docx, QU: 79.10). She was disparaging about the attitude of management, saying "they [top management] should not just observe they should come and work" (P72: HJ400.5o.docx, QU: 72.6).

When asked in the diary prompts about what she had learnt during the workshop she made no mention whatsoever about learning that she could choose how to react to change but rather focused on her lack of confidence that anything would change as a result of the AI intervention. She said "I do not think things will change in the business. Like previous surveys, climate surveys done in the past. Nothing has changed and things continue on as business as usual. We don't get feedback on issues raised" (P79: HJ400.5d.docx, QU: 79.5). In response to the diary prompt about how deeply she had to think during the workshop, she reported thinking deeply and experiencing unpleasantness, saying "deeply as it makes a person sad to realise that things are not going to change. When you have worked for an organisation for over 30 years, you definitely know that things won't change" (P79: HJ400.5d.docx, QU: 79.7).

Bernice's lack of confidence in the integrity of management in instigating the AI process was reflected in her concluding statement that she was "going to wait and see if anything comes from the recommendations that were made in this workshop or if this was just a window dressing exercise" (P79: HJ400.5d.docx, QU: 79.8).

Interview data collected at post-AI stage. At the post-AI interview Bernice reflected on her opinion of the bank as a great place to work prior to the AI intervention saying "I didn't think it's a great place to work, which is sad, because I've been with [Seibank] for 31 years, so I thought it was a [derogatory swear word omitted] place to work" (P98: HJ400.6i.docx, QU: 98.26). She rated job security at the time as "good" and her job satisfaction as "medium" but when asked how she rated the bank at the time in terms of rewards, recognition and development she replied that there was no recognition only criticism, as this transcript from the interview showed:

> *Bernice:* So development I think is good, rewards I don't think is…comes into the equation at all and recognition I definitely don't think comes into the equation. Criticism comes into the equation.
>
> *Researcher:* In that you are criticised?
>
> *Bernice:* Oh, absolutely. (P98: HJ400.6i.docx, QU: 98.30)

Bernice said that she supported the reasons behind the alignment in terms of RRB staff needing to be better performance-managed but she complained about the financial impact on herself, saying "I just didn't know at the time of how hugely their non-performance would impact my scorecard" (P98: HJ400.6i.docx, QU: 98.90). She said the attitude of management was "it's a business decision, it's the strategic decision, it's done" (P98: HJ400.6i.docx, QU: 98.26) and she explained that "you know, it's a case of, they made the decisions around the targets, deal [with] it, and then they don't tell you the thinking behind those targets or where they got all this information" (P98: HJ400.6i.docx, QU: 98.87). She felt to a considerable extent that unless there was change she would continue to be criticised and stressed, particularly as the alignment did not take into account the human factors. She said "they don't let people know about the decisions and then they also don't take into account the people that are going to be impacted by the decisions. It's just, they made the decision, boom, it's done and dusted, deal [with] it" (P98: HJ400.6i.docx, QU: 98.10). She said that, at the time prior to the AI intervention, although she felt she knew what she should be doing and that the alignment was necessary, she did not know the intended future direction of the combined division. She was looking forward to the AI intervention, recalling that:

> I got the email to say I've been requested to partake and that I needed to do all five workshops if possible, and when I saw the first questionnaire I actually thought, "gee, somebody's actually wanting to listen to our opinion and how we were impacted". So I was quite excited about it, because I thought, "ok, now's an opportunity for them to maybe hear what the soldiers, the foot soldiers have to deal with". So maybe it was an opportunity to ... so I was quite excited to be part of it. (P98: HJ400.6i.docx, QU: 98.25)

However, despite looking forward to the process, Bernice was not optimistic that much would change at the bank as a result saying that she had no expectation that there was going to be "this remarkable transition" (P98: HJ400.6i.docx, QU: 98.56).

At the time of the post-AI interview Bernice rated the bank at "zero" in terms of the extent to which the bank cared about her opinion and in terms of rewards, recognition and development. Her rating of her job satisfaction had declined to "zero" and her opinion of the bank in terms of job security had also declined. She explained that:

> I think the expectations that they've set to the shareholders and everything else is out of scope, I think it's way too big. I think they've realised that the market is worse off than what it is. I think if we have an interest rate hike tomorrow or

> today, it's going to be even worse. So they set these wonderful targets, we're not going to make these targets, so I don't think that it's going to happen for [Seibank]. So they're going to have to make a call. So either they're going to have to maybe retrench some people or that the pressure will be so great that people will just leave because their health is in danger. (P98: HJ400.6i.docx, QU: 98.35)

Her main criticism of the bank was the disrespect for the human factor. She said "it's around output, there's no human factor involved there" (P98: HJ400.6i.docx, QU: 98.60) and she further commented that:

> It's absolutely around … and I understand that … that this is my branch, I need to make it work, I need to get it to pay for itself, type of thing, so I understand all of those concepts, but I also understand that there must be a human factor involved in this equation, and very little on your balance sheet or on your scorecard is around the human factor. (P98: HJ400.6i.docx, QU: 98.59)
>
> I just think it's wrong what they're doing, I think the pressure that they're putting on the staff is even worse. I mean I'm currently sitting with the situation where I've a staff member who's been psyched off for a month already because of the job pressures. I've got other staff who would if they could move tomorrow or leave tomorrow they would. (P98: HJ400.6i.docx, QU: 98.40)

She concluded that the bank was not a great place to work, saying "just feel that there's a total disconnection between what happens at [head office] and what happens in the branches. They have no idea" (P98: HJ400.6i.docx, QU: 98.89) and

> I know there's always this saying that you leave because of your manager, I don't always think it is that you leave because of your manager, I think you leave because of the pressures and the pressures mean that the manager is the bearer of the bad news type thing. So *ja*...so now I don't, I don't think it's a great place...the bank, to work at all. (P98: HJ400.6i.docx, QU: 98.41)

Although Bernice felt the AI intervention process was adequately participative, she was sceptical about whether there would be any positive changes as a result of the intervention. She said "the process or whatever it was, was well done, it was well run, well everything, so here's the result, this is the feedback, so what I'm sceptical about is what are they going to do with that feedback?" (P98: HJ400.6i.docx, QU: 98.81). She clearly doubted the integrity of top management in initiating the AI process and said:

> During those sessions I think I saw quite a few positive people and I saw quite a few negative people and I don't...I must be honest and say I don't think...because

> in our group we kind of all stayed around the same, and I don't know that...I don't know that there was an expectation that there was going to be huge changes afterwards. So my opinion was I don't know if they asked you to do it, to maybe let them learn from things or you needed to do it because you're working on a thesis and this is what you need to base it on? But I don't, if I look at...think of the people I dealt with and who was in our group, I don't know whether...I don't know whether there's going to be a major change in the feeling around [Seibank]...because you know, yes we've done this and I think it's…to me it's like they're wallpapering. They haven't sorted out the rot behind the wall, they've just painted it white so it looks pretty. (P98: HJ400.6i.docx, QU: 98.43)

This extract from the transcript expressed Bernice's scepticism as follows:

> *Bernice:* So we've had the Appreciative Inquiry and I think [the facilitator] did a brilliant job in getting people to voice their opinions, put down their frustrations on paper and to verbalise all their frustrations, and sometimes when you verbalise your frustrations, it makes your frustration a little less. So I think she did a great job there. I think, for me it will be, what does [Head of Branch Networks] do with this information? So it's been given to [Head of Branch Networks], so what's he going to do with it?
>
> *Researcher:* Yes. Yes …
>
> *Bernice:* My personal experience of an incident that was given to [Head of Branch Networks] to deal [with], nothing happened. So, unfortunately me going into this Appreciative Inquiry, I'm thinking, well if [Head of Branch Networks] is going to deal [with] it, probably nothing's going to happen.
>
> *Researcher:* So you're quite sceptical.
>
> *Bernice: Ja*, absolutely. And I hope to be proven wrong.
>
> *Researcher:* Yes.
>
> *Bernice:* But I'm very sceptical. I don't know that it will be any different.
>
> *Researcher:* Ok.
>
> *Bernice:* I just think there were rumblings in the business and the way [Seibank] will deal [with] it is, you know, we need to do something about it, or we need to be seen doing something about it. (P98: HJ400.6i.docx, QU: 98.47)

Despite her negativity about the likelihood of any change occurring at the bank as a result of the AI intervention, Bernice said that her behaviour had changed to take into

account the feelings of her staff and that this change started at the time of completing the pre-AI diary response form, as this extract from the transcript confirmed:

> *Bernice:* I never at any stage took into account how the staff were feeling, the RRB staff that now need to report to me, were feeling. I never thought, you know, you know, maybe they resent me. Maybe they didn't want to report to me. I never thought about that, I just thought, "*ag* its business as usual, they were in my branch anyway, they kind of did report to me because it's my branch and they needed to come and, not live by my rules but live by the branch's rules and stuff like that", and so for me there was no real change, but for them it was a huge change. . . . So it did give me thought to do things a little bit differently after the first one and just make them realise that they're part of the team and it's us, not us and them like it used to be.
>
> *Researcher:* Did that ... where did that realisation come out in the Inquiry?
>
> *Bernice:* Probably in that very first meeting when I filled in that first questionnaire, I just thought, "wow, ok, so, *ja*". So for me, it was that first time at [our offices] when I completed my first questionnaire for you and said, "well, this is the meetings going forward".
>
> *Researcher:* So it actually caused you to reflect more on what was happening.
>
> *Bernice:* Yes, yes, and not just resent them because they're now another lot of stuff for me to do. (P98: HJ400.6i.docx, QU: 98.69)

Bernice did not feel that she had a real choice of how to react to change. She emphatically said "well you don't have a choice, you do have a choice, you have two choices. You can either fit in, accept it, deal [with] it and get on with the programme or you can leave" (P98: HJ400.6i.docx, QU: 98.72). She also doubted whether adopting a positive attitude could make any difference, saying "it's ok to look at things positively and to talk positively and to feel positive and to think positive. Whether your positivity's going to rub off on the next one and actually have an impact, I don't know about that" (P98: HJ400.6i.docx, QU: 98.76).

She enjoyed networking with the other employees but this did not seem to influence her negative opinions about the bank as a great place to work or about the alignment. In response to a question about how the AI intervention made her feel, she replied:

> You know a lot of the time it was nice to sit and listen to the staff, and the other staff, and some of them were really positive and they were doing well and it was

> great. And then others were in a place where they weren't where they wanted to be, and everything they did was difficult for them because if you're not where you want to be, then it's difficult for you to do things. So it was lovely to be able to network and to connect and to listen to what people have got to say and pick up tips of best practices, because they do share those kind of things in the actual...so I enjoyed them, I enjoyed them very much, but I enjoyed them for the sake of networking with people and stuff like that, not with there's an end goal to this. (P98: HJ400.6i.docx, QU: 98.55)

The AI intervention actually made Bernice feel sad, particularly due to her perception of being disempowered. She says "*Ja*, it was...very sad, it's sad to realise how much, how different things are now. You know, it's not a case of you're not moving with change, it's just a case of, it's sad that you're a number on the balance sheet" (P98: HJ400.6i.docx, QU: 98.55).

Bernice was unable to recall any positive experiences from the alignment and even found the 'envisioning a positive future' activity stressful due to her pessimism about the future in the branches, saying "I just ... more anxiety than sadness. Because I don't know that I like where the bank's going" (P98: HJ400.6i.docx, QU: 98.63) and "I honestly can't see, economy-wise, bank-wise, I can't see a five year future of a perfect bank happening. I just think it's going to be worse, I honestly think banking is going to be worse" (P98: HJ400.6i.docx, QU: 98.50). She continued to explain how she felt during the 'envisioning a positive future' activity by saying:

> It was stressful, it was stressful in the format that what would make...what would I think is a perfect place to work? Because I don't think...I think every place has its issues, I mean it doesn't matter what job you do, you have ups and downs, I mean that's reality. But it was stressful and very difficult for me to imagine the bank in five years' time, considering how fast things change also?
>
> (P98: HJ400.6i.docx, QU: 98.53)
>
> You know, one day they are talking about a branch with 20 staff and the next minute they're talking about a branch with only eight staff, but doing the same type of work and dealing with the same customer base and getting the same results out of eight people though. You know, how does that make for a perfect bank? You know what I'm saying? Or a perfect future. I just have…I have difficulty in...Maybe my imagination's not good. I have difficulty in envisioning it. Maybe that's my problem, I don't…I can't envisage my goals.

(P98: HJ400.6i.docx, QU: 98.54)

Bernice's inability to envision a positive future for the bank made her reflect deeply upon her own future at the bank. This transcript shows her conclusion:

> *Bernice:* And you know what? I need to make a call, I need to make a decision as to where I want to be. So, it did, it made me think about where [Seibank] is now and where it's going to and do I want be still on that same journey with them?
>
> *Researcher:* Do you think there was something about the Appreciative Inquiry Process that made you start to think like that?
>
> *Bernice:* I think it definitely does that, you know I never thought of the bank in five years' time. (P98:HJ400.6i.docx, QU: 98)

Data Analysis

Pre-AI context. As a Branch Manager, Bernice acknowledged some of the potential benefits of the alignment but was highly stressed by the drop in morale and under-performance of the RRB staff and felt there was a lack of support and understanding from top management. Although her diary responses at the time indicated that, despite the unrealistic targets, she felt that the bank was generally a great place to work, her retrospective opinion at the post-AI interview was that it was a terrible place to work mainly due to all the criticism. The difference between the two data sources might be due to inaccurate memory or the phenomenon of response-shift in which the scale against which she rates her opinion has moved. Howard et al. (1979) recommend that, following the occurrence of response shift, an analysis should be made to determine "which measures (Pre or Then scores) are appropriate for the subsequent data analysis" (p. 21). In Bernice's case, irrespective of whether there is inaccurate memory or response shift, it is evident that her opinion of the bank as a great place to work prior to the AI intervention was either that it was 'generally a great place to work despite the criticism' or it was 'terrible due to all the criticism'. In both cases, it is clear that Bernice was experiencing survival anxiety prior to the AI intervention due to the criticism, stress and lack of concern for employees. She was also experiencing learning anxiety in that she felt reliant on top management to solve the issues and she was not confident that they would make any changes.

Transition regarding opinion of the bank as a great place to work. It is clear that Bernice's opinion of the bank as a great place to work did not improve through the

Table 8.

The Focused Configuration for Bernice's Transition regarding her Worsening Overall Opinion of the Bank as a Great Place to Work

Configuration component	Description
Outcome pattern(s)	Opinion of bank as a great place to work worsened Sadness, anxiety
Context(s)	The 'envisioning a positive future' activity
Mechanism	Critical reflection on assumptions

AI intervention. In fact, whereas in her pre-AI diary responses she said the bank was generally a great place to work, she emphatically said during the AI intervention and post the AI intervention that the bank was definitely not a great place to work. Hence, she transitioned to a more negative opinion.

Bernice's increasing perception that things were unlikely to improve at the bank made her feel sad. She reflected deeply on her own role at the bank and questioned some of her underlying assumptions about where she wanted to go in life. For example, at the dream workshop she reported reflecting on "where I currently am and the space I am in, where do I want to be and what I need to do to get the change or difference in my life" (P50: HJ400.3d.docx, QU: 50.13) and at the design workshop she reflected deeply on the limited impact an individual can have on an organisation. At the post-AI interview she said that she needed to decide whether or not to stay with the bank. The mechanism here is critical reflection on assumptions.

Ironically, her increased negativity was influenced by the 'envisioning a positive future' activity in which, for the first time, she considered the longer term future at the

bank, and for her that picture implied that things would get worse rather than better. This is a transition in terms of new insight. She found the process stressful.

The focused configuration for Bernice's transition regarding her worsening overall opinion of the bank as a great place to work is shown in Table 8. This transition is obviously counter to that intended in terms of the objectives of the AI intervention.

Transition regarding opinion of the alignment. At the discovery and dream workshops Bernice remained extremely negative about the alignment. At the design workshop she thought deeply about the more positive comments about the alignment from some of the other participants. However, at the destiny workshop she returned to her negative view, especially in light of her opinion that nothing would improve as a result of the AI intervention. Bernice did not transition during the AI intervention in respect of her overall view of the alignment and her increasing perception of being disempowered made her feel sad.

Bernice entered the AI process with a view that nothing would change. This view was the result of her lack of trust in the integrity of top management. She was suspicious that the AI intervention was simply window dressing and that perhaps the intention was more to assist the researcher than to help improve the situation for bank employees. Hence, the fact that top management initiated the AI process did not influence Bernice's opinion of the bank as caring about employee opinions as she doubted the intent of the initiative.

Although Bernice did not transition in regard to her overall view of the alignment, she did transition in terms of realising that she needed to adopt a more participative style of management by considering the feelings of the RRB staff which now reported to her. Surprisingly, the context for this transition was the pre-AI data collection event in which participants completed the pre-AI diary response form. The prompts in this form were non-leading and open-ended and the fact that the process influenced Bernice's thought processes is perhaps evidence of the general AI principle that 'words create worlds', albeit that the event occurred before the commencement of the formal AI activities.

Table 9.

The Focused Configuration for Bernice's Transition regarding Realising the Need to Adopt a More Participative Style of Management

Configuration component	Description
Outcome pattern(s)	Realisation of need to adopt a more participative style of management
	Affective outcome pattern is not apparent from data
Context(s)	Completing the pre-AI diary response form
Mechanism	Mechanism is not apparent from data

The mechanism for Bernice's transition in respect of realising that she needed to adopt a more participative style of management is unclear from the data and it is unclear whether she experienced increased pleasantness or unpleasantness at the time. The transition is in terms of new insight. The focused configuration for Bernice's transition regarding her realising that she needed to adopt a more participative style of management is shown in Table 9.

Transition regarding opinion of organisational change in general. Although Bernice announced at the discovery workshop that she intended to change her behaviour to look at the bigger picture of organisational change there was no evidence during the remaining workshops or at the post-AI stage of her actually following through on this intention or of her referring again to having learnt to look at the bigger picture. It is therefore assumed that Bernice did not transition in respect to her opinion about organisational change in general.

Transition regarding realisation of own role in change. Bernice espoused learning about being able to choose how to react to change at the dream workshop but at

Table 10.

The Focused Configuration for Bernice's Transition regarding her Realising She Could Choose to Leave the Bank

Configuration component	Description
Outcome pattern(s)	Realised could choose to leave the bank Sadness
Context(s)	The 'envisioning a positive future' activity
Mechanism	Critical reflection on assumptions

the same time said "if I could leave the business, would do it in a heartbeat" (P50: HJ400.3d.docx, QU: 50.16). At the design workshop it was evident that she still considered change to be 'out there' as she made comments such as "I have a choice to be here or not" (P65: HJ400.4d.docx, QU: 65.1). Similarly, at the post-AI interview she said "you can either fit in, accept it, deal [with] it and get on with the programme or you can leave" (P98: HJ400.6i.docx, QU: 98.72). Bernice still viewed the change entirely as being 'out there' and she has made little attempt to view that change positively. Her response to the change was primarily that she needed to "run away" from it and was based on her critically reflecting on her future at the bank and realising that the future at the bank was not attractive for her. This represents transition in terms of new insight. She experienced sadness during the reflection process. The 'envisioning a positive future' activity, which formed part of the dream workshop, provided the context for triggering her critical reflection on her future with the bank. The focused configuration for Bernice's transition regarding her realising she could choose to leave the bank is shown in Table 10.

Feelings of participation and/or manipulation. It was clear from the observations that Bernice participated well and was fully engaged in the AI process throughout. However, due to her lack of confidence in the integrity of top management,

she entered the process doubtful if any changes would result. Her concern that the process was perhaps "wallpapering" limited her full engagement in the process.

A Model of Bernice's Transition Path in the Format of Focused Configurations

Bernice, a Branch Manager, entered the AI process unconfident that changes would be made that would reduce the high levels of stress she was experiencing as a result of the alignment. During the AI intervention she transitioned in terms of new insight with regards to a worsening opinion of the bank as a great place to work, realising the need to consider the feelings of her reports, and realising she could choose to leave the bank. Bernice's lack of transition in terms of her way of knowing is likely to have limited her transition in terms of new insight. The model representing Bernice's transition is shown in Figure 14.

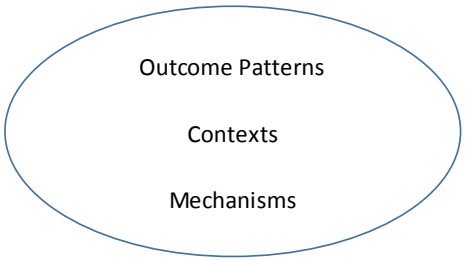
	Pre-AI Context: A Branch Manager who entered the AI process unconfident that changes would be made that would reduce the high levels of stress she was experiencing as a result of the alignment.		
			
	Transition in terms of new insight		
	1	**2**	**3**
Outcome pattern(s)	Opinion of bank as a great place to work worsened Sadness, anxiety	Realisation of need to adopt a more participative style of management Affective outcome pattern is not apparent from data	Realised could choose to leave the bank Sadness
During-AI Context(s)	The 'envisioning a positive future' activity	Completing the pre-AI diary response form	The 'envisioing a positive future' activity
Mechanism	Critical reflection on assumptions	Mechanism is not apparent from data	Critical reflection on assumptions

Figure 14: Bernice's transition path in the format of focused configurations.

Within-case Analysis for Eddie

Data Description

Demographics. At the time of the study, Eddie, male, was in the 26-35 age category and had worked for the bank for 6 years. He was fluent in English and Zulu. He had been a Personal Relationship Banker for 3 years. Due to the alignment he was being managed within the branch network structure instead of within Retail Relationship Banking.

Diary response data collected at pre-AI stage. At the time of the alignment Eddie felt that it had not been thought through properly as there was no clear vision and there was no capacity building for the changes. He felt there was no participation from staff and "as a result most people left. There was a great loss of the skills at the time" (P6: GH390.1docx, QU: 6.20). He felt that he had been disempowered and said that "the initiative made me feel very uncomfortable to the extent that I also felt it was time to move" (P6: GH390.1docx, QU: 6.21).

Prior to the AI intervention, Eddie was of the opinion that the status and dignity of his position had been lowered as a result of the alignment as mandates had been taken away and he was expected to do many things which "do not work or add value in our environment but because the branch network is doing it, we are also expected to" (P6: GH390.1docx, QU: 6.15). He appeared to be grudgingly tolerating the change, saying that:

> I have accepted the change but I think the dignity of being a private banker is no longer there. I still have a lot of questions unanswered. The behaviour now is that this is not a place to stay for too long. (P6: GH390.1docx, QU: 6.26)

He said that the bank was a great place to work but that there were many challenges. He listed 18 recommendations for change regarding issues such as recruitment, staff retention, systems, rewards and development, skills development for managers and strategic goals. He felt that these changes were unlikely to be implemented as he felt that top management's preference was for micro-managing as opposed to supporting and empowering people.

Diary response and observation data collected at discovery phase. It was clear from the observations that Eddie participated well in the discovery workshop and felt at ease throughout. He reported in his diary response that he had adequate opportunities to contribute to the discussions and that he learnt from the recommendations that were made by other participants.

He stated that management needed upskilling, saying that although the bank itself was a great place to work, "there is a difference between what the bank is and wants and what management implement. There are greater ideas and plans but these are not executed and implemented well" (P18: GH390.2d.docx, QU: 18.5). He added that "I would need to see upskilling of managers especially managers of others. They contribute a lot to staff turnover" (P18: GH390.2d.docx, QU: 18.15).

Eddie enjoyed hearing the recommendations that were made by other participants and said in his diary responses that, although he thought deeply about where the bank was going, the workshop made him feel "positive, hopeful and anxious". His observed closing comment at the end of the discovery workshop, in response to a question about how he felt, was "anxious" (P28: GH390.2o.docx, QU: 28.3). However, he wrote in his diary that he intended having a positive mind-set going forward.

Diary response and observation data collected at dream phase. Eddie continued to be critical of management during the dream phase, writing in his diary responses that "the bank itself is a great place to work but [it] is individuals from management that do not make that happen" (P49: GH390.3d.docx, QU: 49.3) and "if people in leadership roles do not execute the ethos of a great place, the sub-ordinates will not see the vision of the bank" (P49: GH390.3d.docx, QU: 49.14). Also, during the 'envisioning a positive future' activity at the dream workshop, Eddie was observed to be critical of management, saying "people are just numbers" (P40: GH390.3o.docx, QU: 40.2).

He did however appear to realise that he could choose how to react to change, saying that "a great place to work begins with ourselves as individuals" (P49: GH390.3d.docx, QU: 49.4) and announced that he intended to "change my mind set, becoming positive and having a good perception" (P49: GH390.3d.docx, QU: 49.7).

He reported experiencing positive emotions at the workshop, saying that he felt "recognised, empowered, appreciated" (P49: GH390.3d.docx, QU: 49.6). His observed closing comment at the end of the dream workshop, in response to being asked how he felt, was "great" (P40: GH390.3o.docx, QU: 40.10).

Diary response and observation data collected at design phase. At the design workshop Eddie was observed to be at ease and listening attentively to others. However, he appeared reticent to contribute much himself (P58: GH390.4o.docx, QU: 58.5).

Eddie said that he thought deeply at the workshop about how change works. He said "change begins with an individual and only then will management buy in" (P64: GH390.4d.docx, QU: 64.2). However, he went on to explain that individual change was being constrained by management, saying that his "behaviour has changed but there will be more/great change if the recommendations are taken into consideration by management" (P64: GH390.4d.docx, QU: 64.12). His attitude was summarised by his statement that he was "starting to look at things in a positive way even though the situation doesn't look positive" (P64: GH390.4d.docx, QU: 64.7).

Eddie stated that "currently it is not a great place to work" (P64: GH390.4d.docx, QU: 64.9) and that "people within the organisation make the bank an unfriendly place to work" (P64: GH390.4d.docx, QU: 64.11). Nonetheless, Eddie reported experiencing positive emotions at the workshop, using words such as "empowered, recognised, appreciated" (P64: GH390.4d.docx, QU: 64.8).

Diary response and observation data collected at destiny phase. Eddie only arrived half way through the workshop apologising that he had transport problems. He listened to the conversation at his table but was not observed contributing at any stage (P71: GH390.5o.docx, QU: 71.1).

Eddie said he thought deeply at the workshop about the difference in understanding between top management and staff. He continued to be critical of management saying "top executives do not always have first-hand information about what happens at ground level" (P78: GH390.5d.docx, QU: 78.14) and "they do not have much information about the complexities, challenges and frustrations of people at the bottom stage" (P78: GH390.5d.docx, QU: 78.9). He added that "people want to see change that makes it easier for them to do their jobs" (P78: GH390.5d.docx, QU: 78.4) and "if values are lived by, processes implemented correctly, this place can be a great place to bank" (P78: GH390.5d.docx, QU: 78.12).

However, despite his criticisms of management he did say that "my behaviour has certainly changed. Despite challenges or drawbacks I still need to focus on the right things" (P78: GH390.5d.docx, QU: 78.13). He reported experiencing positive emotions at the workshop, using words such as "honoured, recognised, appreciated" (P78: GH390.5d.docx, QU: 78.9) and his observed closing commitment was "to have a positive mind-set" (P71: GH390.5o.docx, QU: 71.2).

Interview data collected at post-AI stage. According to the post-AI interview data, Eddie was experiencing anxiety prior to the AI intervention mainly due to his concern that customers were unable to get good service due to the reduced mandates. He said:

> I felt there was great need for change because of the impact that we had on our clients and the impact that was also upon us. The main challenge is that most of the mandates that we had as standard were actually taken away ... which meant actually that it was very difficult for us to provide that client service that we should be providing for the client. (P95: GH390.6i.docx, QU: 95.10)

Eddie was further concerned about his workload, which had increased due to high staff turnover:

> One of the other things that was my biggest concern which is often overlooked is the rate of staff turnover, so that gives us a lot of work all the time. If one person's not there and you are [unclear] what they're supposed to be doing it gives you a lot of stress, it gives you a lot...we work long hours, that I can assure you.
>
> (P95: GH390.6i.docx, QU: 95.8)

Prior to the AI intervention, Eddie was unhappy at the way the alignment was implemented and did not understand where the combined division was heading. He complained that:

> If they said, this is what we are going to achieve, or this is where we want to be. It was like, we'll do step by step and we will see ... we will cross each [bridge] when we get there. So it was a bit of a mess … if I may say.
>
> (P95: GH390.6i.docx, QU: 95.17)

He felt that much of the work they were now expected to do was irrelevant. He said:

> There were now things that we were expected to do to say, on a daily basis, we want to see what you've done...just like how they managed the branch, how many accounts have you opened, what have you cost, all this and that? So those were some of the things that came into place that were not there before. So it was also something that people didn't like much, because in our space we don't push the products, you have to create a relationship, because of the kind of clients that we deal with. (P95: GH390.6i.docx, QU: 95.19)

Eddie's level of job satisfaction prior to the AI intervention was low. He said "you get this dissatisfaction to say that I'm working, and working and working, but no one really can actually come down and see what we're going through, *ja*. So I think the satisfaction was a bit low" (P95: GH390.6i.docx, QU: 95.33). He also complained that the bank did not listen to employees "when you try to say this is what's happening, no one really listens. And if they do listen, but it doesn't get anywhere" (P95: GH390.6i.docx, QU: 95.34). However, he rated the bank well in terms of job security and rewards and recognition and gave the bank an overall rating of "fair" in terms of being a great place to work.

At the time of the post-AI interview, Eddie said that the bank had improved as a great place to work in terms of the bank showing that it cared about staff opinions. He said:

> For the first time our senior management are more open, they are willing to listen, they are willing to give us the support that we need in order for us to…to commit back to them and move this organisation forward. They're quite happy in doing that, so I think it was actually a great thing. (P95: GH390.6i.docx, QU: 95.64)

He attributed his improved view of the bank as caring about staff opinions to the fact that top management instigated the AI intervention. When asked if his opinion of the bank as a great place to work had changed as a result of the AI workshops, he replied:

> I would say 100% because I would say for the first time they have come up with something to show their commitment. They would like to listen to what we say, they would like to involve us going forward in what we actually … in where the bank is going. I mean [the Head of the Division] has been saying this strategy, keep working, going for the roadshows and they are telling us that this is where we want to go and they are giving us the room to say that if there's anything that we need to say, that we should feel that it should happen, then there is an open door policy where we can actually put our suggestions and can also voice our voice *ja*. So I would say yes, the bank is actually…has changed.
>
> (P95: GH390.6i.docx, QU: 95.36)

Although Eddie acknowledged that he now had a better understanding of why the alignment was done in terms of cost saving, he remained unhappy about the alignment, saying "my own opinion still remains that there are still other things that need to be aligned well in order for that alignment to work smoothly. *Ja*. So those things are still there…" (P95: GH390.6i.docx, QU: 95.50) and "it was not very difficult to understand the reason why they needed to align it. But the way it was now done is the one that had so many questions on it. To say but why did they decide to do it this way" (P95: GH390.6i.docx, QU: 95.54). He concluded that "so I would say at the moment its working, but it's … there's a lot of pain in it…I will say that" (P95: GH390.6i.docx, QU: 95.51).

Although Eddie talked about how learning organisations were continually changing and how that meant employees must be able to readily adapt to change (P95: GH390.6i.docx, QU: 95.71) he did not really attribute a change in his thinking to the AI intervention, saying that "it's something that I've also taken from the Inquiry as well…but even before that I had that mind-set to say if there's change you're going to have to prepare yourself for that change" (P95: GH390.6i.docx, QU: 95.72). Eddie said that the AI workshops taught him to look at the positive. He explained that:

> I've also learned from the workshops, that if you want to be a successful person, you have to … you have to be positive and you have to give all your best and if you look … concentrate on the positive things, it helps you to achieve what you want to achieve. But the minute you start looking more on the negative side, then everything … the whole picture becomes negative and it becomes very difficult for you to work. But the minute you start focusing on the positives, then it helps you, it gives you that good spirit, it motivates you. So that's what I've kind of learned from the workshops, that what you need to do at all the time you have to … you don't have to lose sight of where you're going. You need to focus on the positives, and then when you focus on the positives then the good, you actually start to see much on the good side, yeah. (P95: GH390.6i.docx, QU: 95.40)

When asked what happened if he was trying to be positive but the situation was not positive, Eddie replied that:

> Even though things are not changing, the environment is still the same, the alignment is still the same as before. It's very difficult but if you just focus on the positives, I think it gives you that…you get the energy of keeping on looking for all the positive things, and then eventually you'll start looking at the negative things as well…as positive. You can try and change some of the things that are negative in the positive, *ja*. (P95: GH390.6i.docx, QU: 95.60)

He went on to explain that he did think that he could change his reality by means of his attitude. He clarified that:

> I think you can actually change your reality because I think it all rests in you as a person to say you can actually … say this … you can actually define your destiny. So I think you can actually change the reality by just being with your attitude. It might not happen during that time or as you want it to happen, but with time eventually you can actually change that. You can certainly change that.
>
> (P95: GH390.6i.docx, QU: 95.62)

Eddie attributed his learning to being more positive to the AI intervention. He said that:

> There were actually activities … that actually did manage to change my mind-set to say, we … the fact that we were not only looking at the things, at the bad things . . . . So I think things like that, they actually help to give us that positive mind-set. To say when things are not working, yes, everywhere where things are not going to work perfectly fine, that's what we expect. But we can be positive and

> we can actually try as much as possible to give our best in order for us to achieve what we want to achieve. (P95: GH390.6i.docx, QU: 95.38)

More specifically, Eddie attributed interacting with the other participants as influencing his change in attitude and also explained that the change was not a difficult one to make, as this transcript confirmed:

> *Eddie:* You need to focus on the positives, and then when you focus on the positives then the good, you actually start to see much on the good side, yeah.
>
> *Researcher:* Was that quite a difficult change to make?
>
> *Eddie:* It wasn't really a difficult change to make, but it was…it was something that I would say if you get into an environment whereby you can actually…you can actually share experiences and ideas with other people, then I think it becomes easier. But if you're on your own, that change might be a bit…very difficult for you to actually do that. (P95: GH390.6i.docx, QU: 95.69)

Eddie also attributed his learning to be more positive to the videos that were shown during the workshops. He said:

> I would say yes. I would say some of the videos that we…that we had to look at…I think in most of them they were sort of like encouraging. They were giving us scenarios which…which could actually help us with…with the change process, saying things might happen, but if you keep on…on the good side, if you're focusing on the right things, then it will certainly happen. It will certainly…I think *ja*. So I think there were lessons learned from those videos that we watched. (P95: GH390.6i.docx, QU: 95.63)

When asked at the start of the post-AI interview how he experienced the AI intervention, Eddie replied very positively, explaining that:

> For me it was actually a good thing to have such a workshop after so many attempts of us as employees to put forward some suggestions as to what we'd like to see and then I think it was actually a good measure from the bank's side that they listened to the people and they wanted to get the view of the people, what people on the ground are thinking and what they want to see going forward. So I think it was quite a good thing that we had to put our input of what we would like to see our organisation as a great place to work. So I think it was a wonderful thing actually. (P95: GH390.6i.docx, QU: 95.1)

He summarised how he felt during the workshops as a feeling of delight at being able to contribute to the process. He said:

> It made me feel delighted in the sense that I got to…I got to be involved in the process of whereby I would say my opinion and from that, I think it gave me that…it gave me that delight to say that for all these times that have passed, I couldn't actually get the message to the right people that we wanted to say. So finally being part of that group . . . that made me very, very happy, *ja*.
>
> (P95: GH390.6i.docx, QU: 95.46)

Eddie felt empowered by the workshops and he was not only impressed that the bank instigated the AI intervention but he also enjoyed interacting with the other participants in a safe environment. He said:

> I'd say that it was actually a wonderful thing working in workshop, especially given that there were people from different backgrounds in terms of what they do in their roles and from different branches and areas as well, so we could actually put forward the problems that we're experiencing from different areas together. So I think, I felt quite empowered during the...because we were actually given an opportunity to say whatever we wanted to say freely, without any fear.
>
> (P95: GH390.6i.docx, QU: 95.4)

When asked if he felt the workshops were manipulative, he emphatically replied "no, not at all … not at all. Not at all" (P95: GH390.6i.docx, QU: 95.66) and when asked why he used the word "anxious" in describing how he felt during the discovery workshop in both his diary responses and in his verbal summary during the workshop, he explained that he meant that he felt a sense of anticipation, as indicated in this extract from the transcript:

> *Researcher:* Mmmm so when you used the word anxious did you mean it as worried?
>
> *Eddie:* No, no, no as to…sort of like keen to know what would…what would happen, *ja*.
>
> *Researcher:* So it was like an anxious excitement?
>
> *Eddie:* That's correct, *ja*. (P95: GH390.6i.docx, QU: 95.48)

Data Analysis

Pre-AI context. The pre-AI diary response data and the post-AI interview data indicated that Eddie was experiencing high survival and learning anxiety prior to the start of the AI intervention. He was of the opinion that the status and dignity of his position had been lowered as a result of the alignment and that much of the work he was now

expected to perform was irrelevant. He was concerned about high staff turnover, poor client service and a high workload.

Although he stated that the bank was a great place to work, he listed 18 areas for improvement and was of the opinion that changes would not be implemented as management was inclined towards micromanaging and did not listen to staff opinions. He was of the view that he would not stay long in the division.

Transition regarding opinion of the bank as a great place to work. The data from all of the sources showed that Eddie continued to be critical of management throughout the course of the AI intervention workshops. He particularly felt that the bank's management did not listen to staff.

However, at the time of the post-AI interview, Eddie said that the bank had improved as a great place to work in terms of management showing that it cared about staff opinions. He attributed his improved view to the fact that top management instigated the AI intervention. Eddie's transition was in terms of new insight and the mechanism was process reflection. He experienced increased pleasantness, including feelings of empowerment, during the transition. The focused configuration is shown in Table 11.

Transition regarding opinion of the alignment. It would appear that Eddie's opinion of the alignment had not changed very much during the course of the AI intervention workshops. He remained negative about the change and was very critical of management. At the post-AI interview he maintained his negative view of the alignment. Eddie had therefore not transitioned in terms of his view of the alignment.

Transition regarding opinion of organisational change in general. Eddie did not clearly attribute any change in his thinking about organisational change in general to the AI intervention process.

Table 11.

The Focused Configuration for Eddie's Transition regarding View of the Bank as Caring about Employee Opinions

Configuration component	Description
Outcome pattern(s)	Improved view of the bank as caring about employee opinions Increased pleasantness
Context(s)	The fact that top management had initiated the AI process
Mechanism	Process reflection

Transition regarding realisation of own role in change. Eddie entered the AI process negative about the alignment and had a long list of recommended changes. He was of the view that it would be unwise for him to stay long in the division. These reactions to the change indicate that he felt "captive of it" and that, for him, the change was 'out there'.

Following both the discovery and dream workshops, Eddie wrote in his diary responses that he intended having a more positive mind-set going forwards. At the design workshop he wrote about how an individual could choose how to react to change but added that the degree of individual change was constrained by management. He stated that he was "starting to look at things in a positive way even though the situation doesn't look positive" (P64: GH390.4d.docx, QU: 64.7). Similarly, after the destiny workshop, he wrote "despite challenges or drawbacks I still need to focus on the right things" (P78:

Table 12.

The Focused Configuration for Eddie's Transition regarding Learning to Adopt a Positive Attitude towards Change

Configuration component	Description
Outcome pattern(s)	Learnt could adopt a positive attitude towards aspects of a change 'out there' Increased pleasantness
Context(s)	Became aware of the viewpoint of others. Watching the AI videos
Mechanism	Content reflection

GH390.5d.docx, QU: 78.13). Eddie also spoke in the post-AI interview about the advantages of focusing on the positive but also about the difficulty of focusing on the positive when the environment is not improving. Interestingly, he also talked about how one could change one's reality but that it took time. He attributed his transition regarding becoming more positive to his interactions with the other participants during the workshops and to watching the videos. He said that the change was not a difficult one to make and he experienced increased pleasantness, when interacting with the other participants. The mechanism was content reflection and the cognitive outcome pattern is positive reinterpretation as, whilst Eddie had learnt the benefits of adopting a positive attitude towards change he still seemed to see the change as being 'out there' and still viewed himself as being "captive of it" to a large extent. The focused configuration is shown in Table 12.

Feelings of participation and/or manipulation. Although Eddie did not make many contributions to the discussions during the workshops, he did listen intently throughout and remarked that the process made him feel empowered and that he felt free to say what he wanted. He did not feel that the process was manipulative.

A Model of Eddie's Transition Path in the Format of Focused Configurations

Eddie, a Personal Relationship Manager, entered the AI process feeling that changes were unlikely to be implemented as he believed that top management's preference was for micro-managing as opposed to supporting and empowering people. During the AI intervention he transitioned in terms of positive reinterpretation—in that he learnt he could choose to view change more positively—which may have influenced his transition in terms of new insight in terms of his improved opinion of the bank as caring about the opinions of employees. However, it may be that his lack of transition in terms of his way of knowing limited his transition in terms of new insight. Eddie's transition model is shown in Figure 15.

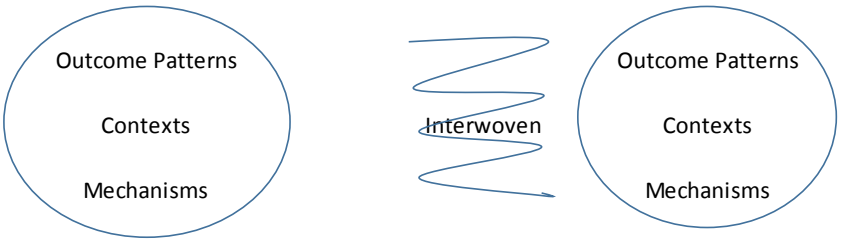
	Pre-AI Context: A Personal Relationship Manager who entered the AI process feeling that changes were unlikely to be implemented as he believed that top management's preference was for micro-managing as opposed to supporting and empowering people.		
			
	Transition in terms of new insight		**Transition in terms of positive reinterpretation**
	1		**1**
Outcome pattern(s)	Improved view of the bank as caring about employee opinions Increased pleasantness		Learnt could adopt a positive attitude towards aspects of a change 'out there' Increased pleasantness
During-AI Context(s)	The fact that top management had initiated the AI process		Became aware of the viewpoint of others Watching the AI videos
Mechanism	Process reflection		Content reflection

Figure 15: Eddie's transition path in the format of focused configurations.

Within-case Analysis for Lala

Data Description

Demographics. Lala, female, fitted into the 36—45 age category, and had worked at the bank for 20 years. Her home language was English. For 18 months prior to the alignment she had held a newly created position as an Area Manager for RRB. In mid-2013, as part of the alignment process, her position was made redundant and she had to compete for one of the combined RRB and Retail Area-Manager positions. She was subsequently appointed into a position which involved much broader responsibilities and which were different to those of her previous role.

Diary response data collected at pre-AI stage. Lala found the alignment process very stressful as she had to reapply for her job. She said she "doubted the integrity of the organisation" (P13: YY320.1docx, QU: 13.13). She recalled that:

> I felt stressed and pressurised not knowing what the outcome would be. I had only a few days to prepare for my interview and went through a nerve wracking period. After the interview, we waited five weeks for an answer. It was excruciatingly stressful not knowing whether you will have a job or not.
>
> (P13: YY320.1docx, QU: 13.13)

Once appointed, she felt insecure and questioned her own ability. Her staff also lost morale as they were confused by the situation. She said that "staff felt that the alignment did not make sense and were made to feel useless" (P13: YY320.1docx, QU: 13.16).

In November 2014, just prior to the AI intervention, Lala still felt highly stressed. She said the alignment was neither well thought through nor communicated properly. She also complained about feeling overwhelmed, saying "I don't have the capacity to manage this business well or as expected as there is too much responsibility placed on one individual" (P13: YY320.1docx, QU: 13.37).

In reply to the diary prompt about her opinion of the bank as a great place to work, she qualified her generally positive response with her concerns about the workload and the lack of communication around the alignment, replying "I do believe it is a great place to work but I think that the expectations should be in line with our capacity" (P13: YY320.1docx, QU: 13.31) and "there needs to be more involvement with the people that are affected" (P13: YY320.1docx, QU: 13.32).

She was still optimistic that things could be improved, despite the passage of time since the alignment, saying "I am confident that these changes can be made, however, we are 16 months past this. It is quite late for us to be making additional adjustment at this point" (P13: YY320.1docx, QU: 13.35).

Diary response and observation data collected at discovery phase. Lala could not recall a positive experience from the alignment. She said "I had to think deeply of an integration that worked well. I actually could not answer that" (P25: YY320.2d.docx, QU: 25.12). She learnt that other participants also felt negatively about the alignment, saying "many staff had similar views. It is evident that some staff are still uncomfortable about the integration and have not accepted it" (P25: YY320.2d.docx, QU: 25.5). However, she felt it was the alignment that people were not happy about and that they

still considered the bank to be a great place to work. She explained that "people are happy being employed by the bank, they just don't like the way transition was executed" (P25: YY320.2d.docx, QU: 25.25). She was observed to say to the group at her table that she "never took other opportunities because I love the people at this bank" (P36: YY320.2o.docx, QU: 36.4). She wrote in her diary that "it is a great place to work. There is a lot we can do to improve but the intention to create a great environment is truly evident. The bank is truly values driven" (P25: YY320.2d.docx, QU: 25.21).

When asked in the diary prompts how the workshop made her feel, she replied: "It makes me feel good as I understand that the intention is to get the voices of the people heard. I feel that the bank cares and they want to improve on future alignments" (P25: YY320.2d.docx, QU: 25.13).

Lala learnt in the workshop to be more positive, saying "we need to embrace change. We are each responsible in ensuring that the change is accepted and effective" (P25: YY320.2d.docx, QU: 25.7) and she declared her intention to "be even more positive and to show my team that the bank truly cares" (P25: YY320.2d.docx, QU: 25.24).

She felt that the workshop was participative, saying "there were definitely adequate opportunities for us to be heard. Within the group, people shared their innermost feelings. Some of this was discussed with the entire forum" (P25: YY320.2d.docx, QU: 25.15). When asked to say one word about how she felt about the workshop her reply was observed to be "interesting" (P36: YY320.2o.docx, QU: 36.11). A further observation was that, although Lala had participated extensively in the workshop, she had not been observed to speak out publicly against the alignment as per the negative views expressed privately in her diary.

Diary response and observation data collected at dream phase. Lala enjoyed the workshop, writing in her diary that "it was positive and motivational" (P56: YY320.3d.docx, QU: 56.2) and "today's session was very inspiring as we started looking at ways to turn a situation around" (P56: YY320.3d.docx, QU: 56.1). Her closing comment about the workshop was that it was "inspiring" (P47: YY320.3o.docx, QU: 47.9).

She responded positively to the diary prompt asking for her opinion about the bank as a great place to work, saying "it definitely is. I see it daily as all managers try to create a great place to work" (P47: YY320.3o.docx, QU: 47.14) but she qualified her statement by adding "it would be good for staff to be heard more often" (P56: YY320.3d.docx, QU: 56.16).

She wrote in her diary that she learnt she could choose how to react to change as "the workshop made us realise that an individual can control how situations are dealt [with]" (P56: YY320.3d.docx, QU: 56.3) and "we realised as a team that we blame the organisation and the leaders and don't take ownership for changing our own situations" (P56: YY320.3d.docx, QU: 56.6). She was also observed to say that "we, as individuals need to take ownership of change" (P47: YY320.3o.docx, QU: 47.4).

In addition to learning that she could choose how to react to change, she also learnt that she could influence how others felt about change. She said "I am responsible for handling any situation in my life. My attitude and behaviour affects all those around me" (P56: YY320.3d.docx, QU: 56.7) and "I need to make a concerted effort to change my team's view even if the organisation does not" (P56: YY320.3d.docx, QU: 56.17).

She thought deeply about how her staff members were affected by the change, guiltily asking herself "how did my staff feel? What did I do as a leader to change their attitude for the better?" (P56: YY320.3d.docx, QU: 56.18). She committed to changing her behaviour to adopt a more participative management style, saying:

> Yes, I want to carry my learnings to my team. I will try to always get my team's views around the space they are in, then try to assist. I will make every person believe that they only can change their own situation.
>
> (P56: YY320.3d.docx, QU: 56.11)

Diary response and observation data collected at design phase. Lala sent a message to say that she had been involved in a minor car accident on the way to the venue and would not be able to attend the workshop (P89: YY320.4o.docx, QU: 89.1).

Diary response and observation data collected at destiny phase. Lala was observed to openly express a range of negative opinions during the destiny workshop which was counter to the cautious manner she displayed in the first two workshops she attended. In particular she complained about the stress on her staff, saying "what happens in daily life at the branch—people don't want to come to work" (P75: YY320.5o.docx, QU: 75.4) as well as criticising top management as "leadership has not seen the repercussions of cost cutting, for example, if one person is off" (P75: YY320.5o.docx, QU: 75.7).

She went on to criticise top management's approach, saying "I have had head office visits where they go ballistic if front image not perfect, but what about the 100 other things that happen behind the scenes?" (P75: YY320.5o.docx, QU: 75.3) and "they

[top management] do not think about what is happening at the back. They are not interested in our problems. We just get nailed" (P75: YY320.5o.docx, QU: 75.5).

She was also observed to voice her concerns about the differences between the needs of Retail and RRB in that "the branch is a numbers game. When it comes to RRB it is about relationships" (P75: YY320.5o.docx, QU: 75.1) and she further highlighted that "we are managing both businesses the same. We are expecting widgets out of RRB. We understand the need for targets but we are measured daily but the outcomes are longer term" (P75: YY320.5o.docx, QU: 75.2).

Following the workshop, she continued to criticise top management, writing in her diary that "the challenges we experience daily are not seen by senior management. The lack of resources and support has a huge effect on my efficiencies" (P82: YY320.5d.docx, QU: 82.3).

Although Lala took the opportunity to voice her concerns at the workshop she actually felt positive about the experience, commenting in her diary that "it makes me feel appreciated as an employee" (P82: YY320.5d.docx, QU: 82.10). The fact that top management initiated the AI process also made her feel that the bank cared about staff opinions. She said "it makes me feel that senior management want to make a difference" (P82: YY320.5d.docx, QU: 82.12) and "it is a great place to work. Staff are listened to. Staff are cared for" (P82: YY320.5d.docx, QU: 82.13). She added "I feel that the bank does care" (P82: YY320.5d.docx, QU: 82.14).

She reflected on the fact that both problems and solutions were identified during the workshop, saying "today's happenings were very real and valid. Groups provided problems as well as solutions. The points that were highlighted seemed to be shared with all people across the teams" (P82: YY320.5d.docx, QU: 82.4) and she acknowledged the importance of her role in being positive and finding solutions, explaining that "I have learned that problems will always exist, I need to find solutions. I must be positive to see positive outcomes. Most of the change must start with me" (P82: YY320.5d.docx, QU: 82.6).

She committed to supporting her team in order to "allow my team to become more effective" (P75: YY320.5o.docx, QU: 75.8) and said that the AI intervention had changed her behaviour to being more open and assertive towards the leadership above her. She said her behaviour "has changed toward leadership. I feel that I want to share my personal opinions" (P82: YY320.5d.docx, QU: 82.15).

Interview data collected at post-AI stage. Prior to the AI intervention Lala understood the reason for the alignment but felt that it had been poorly implemented. She explained that:

> The alignment was … well it was done quite suddenly. I wouldn't say I disagreed with it however it could have been handled better, the timing could have been better, the stress that was caused it could have been alleviated, so in terms of the alignment yes, a lot of things went wrong, but I do understand the ultimate goal of the strategy. I mean where they were heading so I don't disagree with that. But the way it was done etcetera could have been handled better.
>
> (P101: YY320.6i.docx, QU: 101.22)

She recalled that, prior to the AI intervention, she felt there was a 'considerable' need for further change as she felt overwhelmed, there was a lack of support, and people did not understand the reason for the alignment. The following three excerpts express what she was feeling at the time: She said

> The responsibilities we were given, the responsibilities we were passing onto other roles in the business, it was sudden, it was too much, too complex and the results were expected immediately you see, so people, even myself, felt that…you know how the hell are we going do this? Can we actually do this? Are we going to be successful? (P101: YY320.6i.docx, QU: 101.9)
>
> I knew where they were going but I also felt that if you expect us to do all of this I can do it, but you've got to give me, you've got to help me somewhere, support me in another way, you know give me more people that can help me to get this thing done. (P101: YY320.6i.docx, QU: 101.21)
>
> Well *ja* there was a need for improvement I would say. I think people were very unsettled so there was a need for intervention and for people to start understanding the alignment, start understanding why things were done because that was the problem from the start. (P101: YY320.6i.docx, QU: 101.7)

Lala felt safe in her job and felt that her work was all relevant, but questioned her own adequacy. When questioned if she asked herself whether she was adequate she replied:

> Yes constantly because from a workload perspective I couldn't cope and then you start doubting yourself, "am I actually good enough for this?" because you're not getting this right, you're not getting this right, you're not getting this right … but you also can't manage everything together. So you start doubting yourself.

(P101: YY320.6i.docx, QU: 101.9)

She retrospectively rated the bank overall as "fair" in terms of being a great place to work. She felt that the bank listened to her opinion but admitted that "it was the levels down that would have been a problem" (P101: YY320.6i.docx, QU: 101.32).

Following the AI intervention Lala said that her current view of the bank as caring about her opinion had improved. She said "the fact that we had this and the amount of time that was put into it makes you realise that someone does care" (P101: YY320.6i.docx, QU: 101.108) and "you walked out of there feeling a lot more positive and a lot more confident about who you are and you feel a lot more valued after the Appreciative Inquiry" (P101: YY320.6i.docx, QU: 101.97). She added "so I do feel a lot more comfortable knowing that someone out there cares" (P101: YY320.6i.docx, QU: 101.64).

Lala explained that her overall opinion of the bank in terms of its culture and values had improved as a result of the holistic picture painted by the AI intervention and as a result of becoming aware of the viewpoints of the other participants. She explained that:

> When we spoke about all the different things, the values and we looked at different scenarios, and we discussed things in terms of development and skills and values, culture … I think when you put all those things up on the board you actually sort of take a step back and realise, "you know? This is what [Seibank] do, they do care about all of these things". And it comes across, because people actually know that, but they don't remember that every day. But when we were sitting and discussing things they remembered.
>
> (P101: YY320.6i.docx, QU: 101.51)

Lala further commented on how the workshop had opened her eyes:

> I think I liked the way the questions were brought in, so the different aspects that we looked at, because it didn't tie up at the beginning. In the end you could see it unfold, as to why ... ok ... you made us think about what we didn't like and what...where we would be in a few years' time so ... and because we did a lot of it in a team and as a group, you got other peoples' opinion and not just your own, and then, you were able to see, ok, wow, I didn't see it like that, you know. And yet you'd have people look at things completely differently and have a different idea, a different thought and it's surprising, and the good thing about it is that you realise for yourself that, you know, maybe I'm too...maybe I'm thinking too

> deeply about these things, about certain things, and look at the fun side of things and look at the peoples'... how innovative they are, and creative ... and not just ... I'm not talking about drawing and things, I'm talking about the thoughts.
>
> (P101: YY320.6i.docx, QU: 101.72)

She did not have to think very deeply about the bank as a great place to work, as is expressed in the following extract from the transcripts:

> *Researcher:* At any time during that process did you perhaps … while you thinking about the bank as a great place to work, did you have to think very deeply?
>
> *Lala:* Not really, not really because a lot of the things that we spoke about happens daily we just don't remember it, we don't put it together, so it does happen daily, we just have to think about it and sort of put the pieces in the puzzle…
>
> (P101: YY320.6i.docx, QU: 101.54)

Lala contended that the AI intervention established a safe environment in which she felt free to talk about her feelings. She recounted that "yes, yes, it was definitely a time where we were able to say what we wanted to say and we were definitely heard. No doubt about it" (P101: YY320.6i.docx, QU: 101.102). She further commented that:

> I was very comfortable, I felt that I could talk, I felt that I could relate, I felt that I could reflect, it was I think the atmosphere, the environment, that we were in and the people, [the facilitator] was very accommodating and allowed us to be free. (P101: YY320.6i.docx, QU: 101.55)

By talking freely about her feelings regarding the alignment, Lala obtained closure, enabling her to put the alignment into the past. She disclosed that:

> What really was … made me feel sort of satisfied in the end was because you realise ok, you know what, this thing happened, it happened, we need to really move on. You can't keep going back to those feelings, there was no use going back to those feelings you know? So I wanted to move on so this allowed me to like sort of think, feel and push things away … so from that point of view I was happy about it. (P101: YY320.6i.docx, QU: 101.61)

She did not find the closure process difficult. She said:

> No it wasn't difficult at all … as I said it takes … you had to stop and think about it so it took time to actually understand how you are feeling, but at the same time, you've got that sense of relief because you're able to express how you feel and

> how you felt so it does make you sort of … something's behind and take a step forward. (P101: YY320.6i.docx, QU: 101.3)

She described the closure process as "a psychological aspect that needs to be dealt [with], we don't realise it as we go along, but afterward you realise that, you know what, I actually did benefit from this thing [the AI intervention]. I'm actually not thinking about that [the alignment] any more" (P101: YY320.6i.docx, QU: 101.107).

Because the participants in the AI process were from many different roles and because the process gave the participants the opportunity to speak freely, Lala learnt how the alignment had impacted the feelings of her reports:

> I could see the participation in the room, I can see the feelings in the room and there were different people from different roles and there was no ... when we were in that room there was no difference. You know, nobody ... everybody, acted on the same level, spoke on the same level and gave a fair opinion of what they thought and felt. (P101: YY320.6i.docx, QU: 101.104)

Lala consequently deeply examined her assumptions about how the alignment impacted the feelings of her reports. She experienced feelings of guilt whilst realising how she had neglected their needs during the alignment. She explained that:

> This was a real eye opener in the sense that I was able to see from different roles, especially lower roles, where they were sort of thinking the same thing I was thinking and they go through the same process, the same insecurity, sometimes maybe more at their level and you think their roles are junior, they don't need to think about these things, you know, they don't need to stress about it.
>
> (P101: YY320.6i.docx, QU: 101.74)
>
> It made me realise as I was saying, that I thought I was the only one thinking that, because I was actually going through a much more ... I thought I was going through a much more difficult time because I was affected, because I had to go for the interview and I had to wait two months to get an answer for the role, that two months of insecurity. But little did I realise that those people are going through the same thing. It was only a few months ... quite a few months after the alignment that I realised that people were actually going through maybe more emotions than myself. But when I ... when the Appreciative Inquiry occurred or happened I realised that the impact could have been worse on other people than I was impacted during that time. When I was appointed, I moved on. These people

> did not move on. They were stuck in it a lot longer than I was.
>
> (P101: YY320.6i.docx, QU: 101.76)

Lala concluded that:

> So it made me realise that I was also wrong, that I had taken a new team and I did not address those things. So I also felt guilty when I started listening and I realised that I could have played a part in making this thing better for these people, you know. (P101: YY320.6i.docx, QU: 101.77)
>
> I felt disappointed as well at the beginning, because you realise the amount of time that's passed, and then you think to yourself, ok, maybe I've worked out something differently, and I could have done something differently months ago. Maybe if I had done something differently, in terms of my team, I would have had better results. (P101: YY320.6i.docx, QU: 101.83)

Lala's deep reflection about how the alignment impacted her reports made her realise that they also needed closure. She learnt through the AI process that she could help her staff to obtain closure by helping them to understand the reasons behind the alignment. She revealed that:

> We were pushing them to perform and were wondering "why are they not performing?" Because we had changed teams, we had done so much of change. Yes we understand the change, but I didn't realise ... "ok, guys we need to move on. You need to find closures". But it's easier said than done. How does a person find closure, and well, during this process I realised that some people just need to understand simple things, like, where are we heading?
>
> (P101: YY320.6i.docx, QU: 101.80)

Lala also learnt through the AI process to look at the bigger picture of organisational change. She stated:

> It made me look deeper into the entire thing, because sometimes our feelings are very shallow. We look at things at face value, so we look at the alignment and think, *ag*, people were so cruel, but we don't think, ok, why, how, did they actually think about this, did they actually care? So the Appreciative Inquiry makes you realise that there's more to it than face value and at the end of the day, there's a purpose, there's a need and of course a lot happens in that process which we don't see. We just see what's on the top. So, *ja*, it made me think about the iceberg, for example, you look on the top and you think there's an obstacle but you don't realise that underneath what goes...what happens to build that iceberg, how did

> that iceberg come about? So *ja*, it made me realise that sometimes we, we need to stop thinking only about things in front, our own feelings, and try to look a bit deeper into things. (P101: YY320.6i.docx, QU: 101.80)

Although Lala learnt to view change positively, she still referred to change as being 'out there'. She said "you also have to be realistic in terms of what is happening, and trying to, try to see the good about it" (P101: YY320.6i.docx, QU: 101.96). She explained:

> So we've got to be very positive in terms of change, if we want to make anything. A lot of it becomes out of our control. So if you want to make it work, you've got to be adaptable, be able to adapt and be positive, find something positive about the change. ... That's the only way you actually move forward, because you are not necessarily going to have change that's going to be in your favour.
>
> (P101: YY320.6i.docx, QU: 101.94)

Data Analysis

Pre-AI context. As an Area Manager, Lala understood the reasons behind the alignment but, prior to the AI intervention, considered it to have been poorly implemented and was stressed by the heavy and complex workload. She rated the bank as "fair" in terms of being a great place to work as, although she felt overwhelmed, she did feel that the bank listened to her opinions.

Prior to the AI intervention she was experiencing survival anxiety as she felt unable to cope and she was also experiencing learning anxiety in that she questioned her own capabilities. However, she was optimistic that the situation could be improved.

Transition regarding opinion of the bank as a great place to work. Lala transitioned to the view that the bank cared about the opinions of employees at all levels. This represents transition in terms of new insight. The context was the AI process in its entirety and the mechanism was process reflection. She experienced increased pleasantness during the transition. The focused configuration for Lala's transition regarding her improved view of the bank as caring about the opinions of employees at all levels is shown in Table 13.

Table 13.

The Focused Configuration for Lala's Transition regarding her Improved View of the Bank as Caring about the Opinions of Employees at all Levels

Configuration component	Description
Outcome pattern(s)	Improved opinion of bank as caring about the opinion of employees at all levels Increased pleasantness
Context(s)	The fact that top management initiated the AI process
Mechanism	Process reflection

Lala's overall opinion of the bank as a great place to work also improved through the course of the AI intervention. The context for her transition was the holistic nature of the AI workshops and her becoming aware of the viewpoints of the other participants. She experienced increased pleasantness during the transition, which was in terms of new insight. The mechanism was content reflection. The focused configuration for Lala's transition regarding her overall opinion of the bank as a great place to work is shown in Table 14.

Table 14.

The Focused Configuration for Lala's Transition regarding her Improved Overall Opinion of the Bank as a Great Place to Work

Configuration component	Description
Outcome pattern(s)	Opinion of the bank as a great place to work improved
	Increased pleasantness
Context(s)	The holistic nature of the AI intervention
	Becoming aware of the viewpoints of others
Mechanism	Content reflection

Transition regarding opinion of the alignment. At the discovery workshop Lala was unable to recall a positive experience from the alignment. In the dream workshop she started to deeply question her assumptions that her reports were not affected by the alignment. Whilst she did not openly criticise the alignment at either of these first two workshops, at the next workshop she attended she was observed to be outspoken in her criticism. Following the workshop she wrote in her diary that she intended to be more assertive towards the leadership above her.

Reflecting on the AI process during the post-AI interview, Lala concluded that it created a safe environment in which she felt free to talk about her feelings. This is particularly significant because Lala was one of the two most senior managers in the room and hence she was mainly interacting with other participants at lower management levels than herself. By talking freely about her emotions, Lala obtained closure regarding her negative feelings about the alignment. This represents a transition in terms of her way of knowing as the alignment moved from subject to object in her way of knowing. She experienced increased pleasantness during the process and the mechanism was content reflection. The focused configuration for Lala's transition in respect to being able to put the alignment behind her is shown in Table 15.

Table 15.

The Focused Configuration for Lala's Transition regarding Being Able to put the Alignment Behind her

Configuration component	Description
Outcome pattern(s)	Being able to put the alignment behind her Increased pleasantness
Context(s)	An environment in which she felt free to talk openly, even as a senior manager
Mechanism	Content reflection

Lala's realisation that her reports also had strong feelings about the alignment caused her to reflect critically on her assumptions and she experienced feelings of guilt. The process led her to realise that she needed to adopt a more participative management style. This is transition is in terms of new insight as something which was previously not important to her became important. The context was the involvement of multiple levels of staff in the AI process and the environment which enabled everyone to talk freely. The focused configuration for Lala's transition in terms of realising she needed to adopt a more participative style of management is shown in Table 16.

Lala also learnt that she needed to be more assertive towards leadership above her. This transition occurred through the same thought process that led her to conclude that she needed to adopt a more participative management style. The context was the safe environment and the process was critical reflection on assumptions. However, the transition is in terms of the way of knowing as, in her mind, leadership above her had moved from subject to object. The focused configuration for Lala's transition regarding realising she needed to be more assertive towards leadership above her is shown in Table 17.

Table 16.

The Focused Configuration for Lala's Transition regarding Realising the Need to Adopt a More Participative Style of Management

Configuration component	Description
Outcome pattern(s)	Realisation of need to adopt a more participative style of management Feelings of guilt
Context(s)	An environment in which participants at multiple levels felt free to talk openly
Mechanism	Critical reflection on assumptions

Table 17.

The Focused Configuration for Lala's Transition regarding Realising the Need to be More Assertive towards Leadership Above her

Configuration component	Description
Outcome pattern(s)	Realisation of need to be more assertive towards leadership above her Feelings of guilt
Context(s)	An environment in which participants at multiple levels felt free to talk openly
Mechanism	Critical reflection on assumptions

Table 18.

The Focused Configuration for Lala's Transition in Terms of Realising the Need to look at the Bigger Picture of an Organisational Change

Configuration component	Description
Outcome pattern(s)	Learnt to look at bigger picture of an organisational change Increased pleasantness
Context(s)	The holistic content of the AI process
Mechanism	Content reflection

Transition regarding opinion of organisational change in general. The holistic approach taken in the AI intervention in which individual, leadership, and organisational factors were considered as important led Lala to realise she needed to look at the bigger picture of an organisational change. This represents transition in terms of new insight and there was no change in subject-object balance. The mechanism was content reflection. She experienced increased pleasantness during the process. The focused configuration for Lala's transition in terms of realising the need to look at the bigger picture of an organisational change is shown in Table 18.

Transition regarding realisation of own role in change. Lala wrote in her diary about learning that an individual can choose how to react to change in terms of adopting a more positive attitude. However, she still appeared to view change as being 'out there'. For example, she said "I have learned that problems will always exist, I need to find solutions. I must be positive to see positive outcomes" (P82: YY320.5d.docx, QU: 82.6) and "you also have to be realistic in terms of what is happening, and trying to, try to see the good about it" (P101: YY320.6i.docx, QU: 101.96). This represents a transition in terms of positive reinterpretation. Whereas she realised the need to view change positively, she still largely felt subject to the change. She experienced increased pleasantness during the transition. The mechanism was content reflection. An influential context in her transition appeared to be the discussion of problems and solutions during

Table 19.

The Focused Configuration for Lala's Transition regarding Adopting a Positive Attitude towards Organisational Change

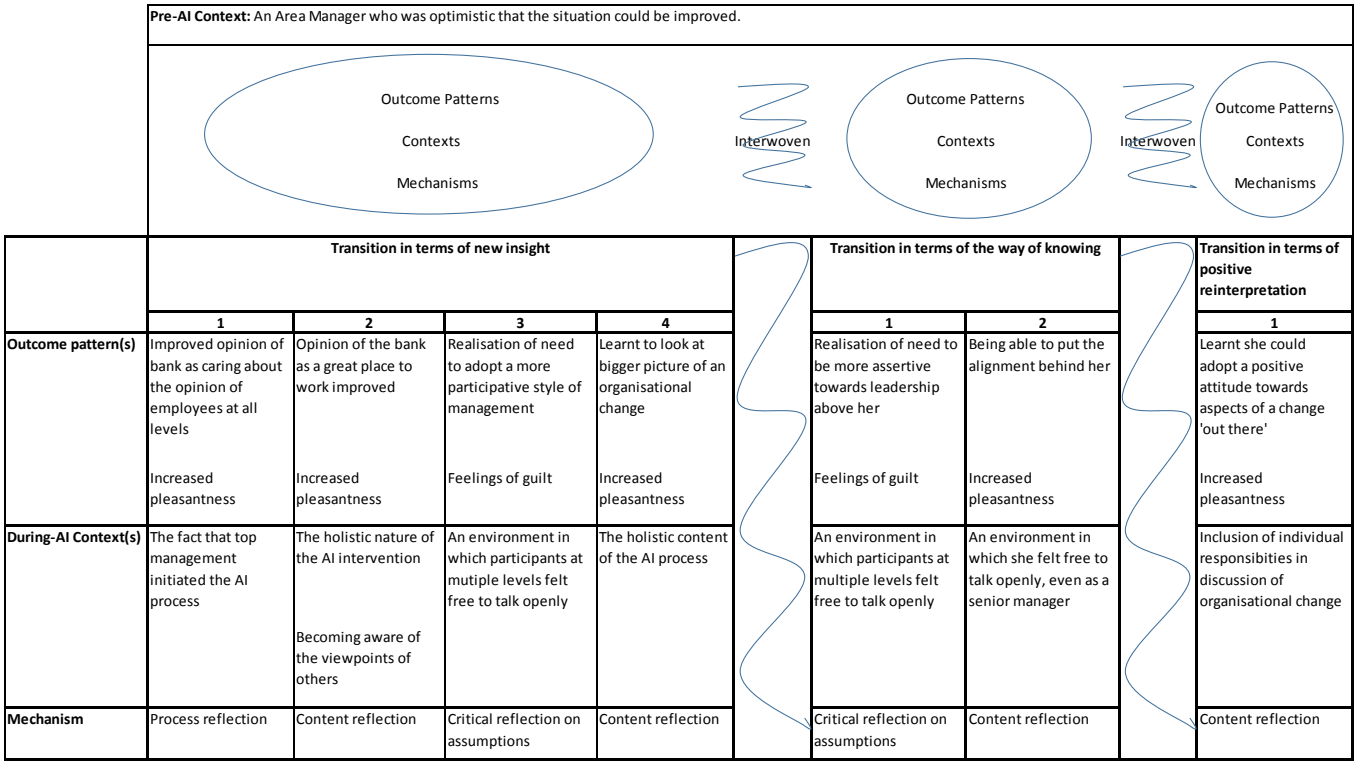
Configuration component	Description
Outcome pattern(s)	Learnt she could adopt a positive attitude towards aspects of a change 'out there'
	Increased pleasantness
Context(s)	Inclusion of individual responsibilities in discussion of organisational change
Mechanism	Content reflection

the destiny workshop which included responsibilities for individuals as well as for leadership and the organisation. The focused configuration for Lala's transition regarding adopting a positive attitude towards organisational change is shown in Table 19.

Feelings of participation and/or manipulation. It is clear from the observations that Lala participated well in the three workshops which she was able to attend. Her willingness, during the destiny workshop, as a senior manager, to be outspoken in terms of her personal feelings about the alignment showed a significant commitment to the AI process.

A Model of Lala's Transition Path in the Format of Focused Configurations

Lala, an Area Manager, entered the AI process optimistic that the situation could be improved. She transitioned well during the AI process and it is clear that some of her numerous transitions were interwoven with each other. For example, her transitions in respect of realising the need to adopt a more participative management style and realising the need to be more assertive towards leadership above her were very much related to each other. Lala's transition path in the format of focused configurations is shown in Figure 16.



	Transition in terms of new insight					Transition in terms of the way of knowing		Transition in terms of positive reinterpretation
	1	2	3	4		1	2	1
Outcome pattern(s)	Improved opinion of bank as caring about the opinion of employees at all levels Increased pleasantness	Opinion of the bank as a great place to work improved Increased pleasantness	Realisation of need to adopt a more participative style of management Feelings of guilt	Learnt to look at bigger picture of an organisational change Increased pleasantness		Realisation of need to be more assertive towards leadership above her Feelings of guilt	Being able to put the alignment behind her Increased pleasantness	Learnt she could adopt a positive attitude towards aspects of a change 'out there' Increased pleasantness
During-AI Context(s)	The fact that top management initiated the AI process	The holistic nature of the AI intervention Becoming aware of the viewpoints of others	An environment in which participants at mutiple levels felt free to talk openly	The holistic content of the AI process		An environment in which participants at multiple levels felt free to talk openly	An environment in which she felt free to talk openly, even as a senior manager	Inclusion of individual responsibities in discussion of organisational change
Mechanism	Process reflection	Content reflection	Critical reflection on assumptions	Content reflection		Critical reflection on assumptions	Content reflection	Content reflection

Figure 16: Lala's transition path in the format of focused configurations.

Within-case Analysis for Maria

Data Description

Demographics. Maria, female, fitted in the 46—55 age category, and had 28 years' experience at Seibank. She had been a Personal Relationship Banker for the past 13 years. Her home language was Afrikaans but she reported that her spoken and written English was good. As a result of the alignment of RRB and branch networks in mid-2103, the administrative requirements for her role changed substantially and she had to move from a private office to a large open plan office.

Diary response data collected at pre-AI stage. Maria understood the logic of the alignment at the time it was implemented. She was of the opinion that "getting back to basics with all divisions based under one roof is always a good decision" (P15: UW510.1docx, QU: 15.12) but in response to the question about how she felt at the time

she replied “Not good at all. Change consistently of systems and documents required affect job satisfaction and staff not well educated also affect the whole branch” (P15: UW510.1docx, QU: 15.10).

In November 2014, just prior to the AI intervention, Maria’s view of the alignment was that it had caused both staff and clients to be unhappy, resulting in high staff turnover and low morale. She said that “the bank is losing their knowledgeable and hardworking staff and appointing the wrong staff for the wrong positions” (P15: UW510.1docx, QU: 15.31).

Maria said that the bank was not really a great place to work as “staff appointed not capable for the job, wrong staff got appointed. Not enough staff to do the job” (P15: UW510.1docx, QU: 15.25). She said she felt “totally drained” (P15: UW510.1docx, QU: 15.19). Nonetheless, she was confident that improvements could be made, but emphasised that the correct appointments needed to be made.

Diary response and observation data collected at discovery phase. Maria was observed as being rather tense in the workshop, although she was fully engaged, expressing her opinions and listening carefully to others. She explained in her diary responses that she participated well in the workshop by “gathering info—getting an idea of how my colleagues see the bank” (P23: UW510.2d.docx, QU: 23.2) and that “listening to my colleagues put clarity in my mind re different aspects” (P23: UW510.2d.docx, QU: 23.10). She added that she learnt about the importance of collaboration and open and honest conversation.

She also reported in her diary responses that it was important to “adapt and accept changes —make it work” (P23: UW510.2d.docx, QU: 23.4) and she reported that she intended “looking for opportunities to give business to my colleagues” (P23: UW510.2d.docx, QU: 23.16).

However, despite her learnings and her announced intention to change her behaviour, she said that the conversations were not new to her and that she only obtained “50% value to the day” (P23: UW510.2d.docx, QU: 23.9). She also continued to complain about the wrong people being appointed into positions.

Overall, Maria reported feeling “more positive, change thought through well will be—or turn into—assets for the bank” (P23: UW510.2d.docx, QU: 23.8).

Diary response and observation data collected at dream phase. In her diary responses at the dream workshop, Maria continued to express her concern about her heavy workload and the bank losing good staff. In the workshop Maria was observed

talking about the need for all elements of an organisation to be in alignment, saying "if leadership and organisational factors are up to scratch then individuals would be OK. The change is making us negative because systems are not working and we need to explain to our clients why the service is poor" (P45: UW510.3o.docx, QU: 45.4). She continued to complain about the heavy workload, saying "too many bosses and too little [few] Indians" (P55: UW510.3d.docx, QU: 55.13).

Maria reported in her diary responses that she thought deeply about "my role in change and making the bank a great place to work" (P55: UW510.3d.docx, QU: 55.6). During the workshop she was observed enthusiastically participating in the 'envisioning a positive future' activity and she emphasised the need for change, saying "stop being like a robot. That's what we are now" (P45: UW510.3o.docx, QU: 45.7) and asked "have you got a hot air balloon, going higher and higher. We need to make a difference. All heading in the same direction" (P45: UW510.3o.docx, QU: 45.9). She wrote in her diary responses: "Focus on the positive rather than the negative" (P55: UW510.3d.docx, QU: 55.8) and she reported feeling "motivated, energetic. Ready for the next step in making a difference" (P55:UW510.3d.docx, QU: 55.7). At the end of the workshop she was observed saying that she felt "inspired" (P45: UW510.3o.docx, QU: 45.10).

Diary response and observation data collected at design phase. At the design workshops Maria appeared to be at ease and was often observed smiling. In her diary response to the question about how the AI intervention made her feel, she wrote: "It's an honour being part of the team in making the bank a great place to work" (P68:UW510.4d.docx, QU: 68.16). She also commented on the "openness, honesty of all staff. Bright ideas" (P68: UW510.4d.docx, QU: 68.3), concluding that "we care for the bank" (P68: UW510.4d.docx, QU: 68.1). She added that "if each individual plays their valuable role, the bank will be the place to work" (P68: UW510.4d.docx, QU: 68.2).

At the workshop she learnt that other staff also believed, like her, that management needed to change their ways although she also learnt that people had their own perceptions of the bank as a great place to work. She was observed to complain that the "biggest problem in branch is that management not willing to listen so we tend to be negative with a colleague" (P62: UW510.4o.docx, QU: 62.7).

In response to the diary prompt about whether she had to think deeply, she replied "it was quite clear for me, I needed to reconsider my own role in the bank as a valuable employee. How can I make a difference?" (P68: UW510.4d.docx, QU: 68.24). Regarding her own role in change, Maria wrote that "a great place to work is also what

you as an individual make of it" (P68: UW510.4d.docx, QU: 68.19) and "positive attitudes can and will move mountains. Look for something to be grateful for and not unhappy for" (P68: UW510.4d.docx, QU: 68.9). During the workshop, she was observed to comment that "everything starts with you" (P62: UW510.4o.docx, QU: 62.4) and in her diary responses she wrote about changing her behaviour, saying that she intended to "focus harder on staying positive and leading by example" (P68: UW510.4d.docx, QU: 68.23).

Diary response and observation data collected at destiny phase. As in the previous workshop, Maria appeared to be at ease and was often observed smiling during the workshop.

She wrote in her diary responses about being highly impressed about the other participants, saying "brilliant ideas from all staff, committed staff in making the bank the best place to work, all staff valuable input. Sitting with committed staff with a clear vision—brilliant ideas came forward" (P81: UW510.5d.docx, QU: 81.2) and "ideas from colleagues were helpful" (P81: UW510.5d.docx, QU: 81.5). She said "although I have a lot on my desk to cope with, I really feel the bank is looking after their staff" (P81: UW510.5d.docx, QU: 81.12) and reported that she is "more clear about our goal in mind" (P81: UW510.5d.docx, QU: 81.17). She further emphasised the importance of collaboration.

Maria reported thinking deeply about how to get management to accept the recommendations from the workshop and was observed recommending more administrative support for the Personal Relationship Bankers as it would enable them to achieve more sales. She was also observed to recommend "treat the business as your own, then client service will pick up" (P74:UW510.5o.docx, QU: 74.2) and at the end of the workshop she committed to "get my team more appreciative of what the bank offers" (P74: UW510.5o.docx, QU: 74.7). She wrote in her diary responses that she would "discourage staff in their negative thinking" (P81: UW510.5d.docx, QU: 81.9) and concluded by saying "leaving this session filled with energy—ready to make a difference" (P81: UW510.5d.docx, QU: 81.11).

Interview data collected at post-AI stage. According to the post-AI interview data, Maria was experiencing anxiety prior to the AI intervention mainly due to her concern that customers would not get good service. She said that her clients were unhappy with her move back into a branch as "not seeing us in our own offices was a change for them as well" (P97: UW510.6i.doc, QU: 97.26). She commented that "the only thing that

I'm scared of is that our service to the client would cause that clients leaving [Seibank]" (P97: UW510.6i.doc, QU: 97.10). She did not feel that change was required for her own learning, advising to only "change what needs to make a difference in the life of a client" (P97: UW510.6i.doc, QU: 97.13).

Although Maria did feel safe and adequate prior to the AI intervention and said she had a moderately good understanding of the direction the combined division was headed, she felt, to a "considerable" extent, that she did not have the time to spend on the extra administrative work saying:

> Based on my job in sales there's no time for giving consistent … for attending to admin, to paperwork. I feel like it's … like you need to attend to the needs of a client and not to the need of [Seibank] employees requesting surveys or for replying back on how many clients you've contacted and all that stuff. . . . So all the reports that need to be, that you need to report on this and you need to report on that on a daily basis, that I feel is a burden. (P97: UW510.6i.doc, QU: 97.15)

She said that, prior to the AI intervention, she rated the bank highly in terms of job security, job satisfaction and rewards, recognition, and development. She rated the bank as "fair" in terms of as caring about her opinion, commenting that "to your direct supervisors you need to keep your opinion to yourself, that [to] the more senior people you can raise your opinion" (P97: UW510.6i.doc, QU: 97.31). In terms of systems, Maria rated the bank as "poor" complaining that "comparing to our competitors we lag far behind. So I would rate us there a 2 [poor]" (P97: UW510.6i.doc, QU: 97.28). Overall, Maria summarised her view of the bank prior to the AI intervention fairly positively except for the poor systems and heavy workload which she found quite "threatening". She said:

> Looking at job security, recognition, learning and development, that was brilliant. Looking at the systems, the expectations, what's being expected from you from a…on a day to day basis, there I felt threatened. It was a burden to get through your day to day job, pleasing your client and [Seibank]. I felt that they expect too much from you as a human being although when you managed to get done what was expected from you, they are grateful for you, and you get the recognition for that. So overall I must say it was a great place to work.
>
> (P97: UW510.6i.doc, QU: 97.34)

At the time of the post-AI interview, Maria said that she rated the bank highly in terms of job security, job satisfaction and rewards, recognition, and development. She

remained critical of the systems, saying that "there is still a place for [Seibank] to increase our systems to make it better, decrease the paperwork and make our systems faster" (P97: UW510.6i.docx, QU: 97.45). However, Maria did refer to improvements in her opinion of the bank as a great place to work as a result of becoming aware of the viewpoints of others with the following two statements:

> Just hearing other opinions, you can see that the stream is not that filthy, filled with all these rocks than what you think it was, and *ja*...that was quite an eye opener for me. (P97: UW510.6i.docx, QU: 97.64)
>
> When you sit with your ... sit on your own on a day to day basis you stagnate with the way you think and you don't always see the bright light at the end of the tunnel. (P97: UW510.6i.docx, QU: 97.56)

With regard to the bank as caring about her opinion, Maria's rating improved from "fair" before the AI intervention, to "good to outstanding" following the AI intervention, as depicted in this extract from the transcript:

> *Researcher:* So how would you rate the bank now, as we sit here, in terms of its culture, in particular and in terms of caring about your opinion?
>
> *Maria:* I would rate them as good, good at this point in time, moving towards outstanding…
>
> *Researcher:* Okay 4.5 [Good to outstanding]?
>
> *Maria: Ja*, I would say.
>
> *Researcher:* So that, previously you said six months ago you probably would have rated it as a three [fair]?
>
> *Maria: Ja*, fair. (P97: UW510.6i.doc, QU: 97.92)

Maria elaborated further that:

> It's not like in the past, you got your bosses and you got your clerks at the bottom, that we more moving equally and they're giving us the opportunity to assist in making [Seibank] the place to be. (P97: UW510.6i.doc, QU: 97.93)

Maria's opinion of the bank as caring about staff opinions improved mainly as a result of the presentation of the recommendations from the AI intervention to top management. She said:

> *Ja*, I mean like the other day we had an appointment with [the head of the division] and to see the appreciation he got for what we as staff are doing for [Seibank] and giving us the go ahead to be open and honest and to come forward and speak our

> mind, that's telling me that [Seibank] is moving in the right direction.
>
> (P97: UW510.6i.docx, QU: 97.37)

She did not have to think deeply about the bank being a great place to work. She said "while I was discussing [Seibank] being a great place to work ... it was like ... the ideas were just coming, you just ... the whole time, everything was like ... just like a stream, it's just flowing" (P97: UW510.6i.docx, QU: 97.63).

Maria did question her own assumptions when long service awards for five years' service were being discussed, as she disagreed with the concept. However, this reflection on her assumptions did not lead to a transition as she did not change her opinion.

In the post-AI interview, Maria said she felt positive about the alignment. She said "at the end of the day, the alignment was a good thing, it was a really worthwhile in the eyes of making the life of the clients' better, to ease their life" (P97: UW510.6i.docx, QU: 97.79). Maria's opinion of the alignment improved through the AI intervention within the context of becoming aware of the viewpoints of others. When asked if the AI intervention led to her view that the alignment had been good for clients, she replied:

> The Appreciative Inquiry made it in that way better too...because where you were, where I was slightly negative concerning some aspects like the hours being, *umm*, not being available to the clients and then...and listen to other colleagues working in more different situations but having it much more difficult.
>
> (P97: UW510.6i.docx, QU: 97.80)

Maria learnt to look at the bigger picture of an organisational change, saying about the AI intervention that "you can't really be the difference or make the difference if you don't understand the bigger picture" (P97: UW510.6i.docx, QU: 97.55). She learnt to look at the bigger picture by listening to the views of the other participants. She said that "every session was worthwhile in this way, that you share the views of all the certain aspects and how to get the best out of those views to work the best for [Seibank] and not for you as an individual" (P97: UW510.6i.docx, QU: 97.65). Similarly she said:

> Hearing some colleagues, other colleagues' opinion about the same situation you're in, it's giving you a broader experience, its letting you look more broader to a situation. Sometimes you only have the narrow sight of it and you believe that, what you believe is the correct belief, but when you hear the colleagues speaking then you think, *ja* you've got something to change from your own view of an opinion. (P97: UW510.6i.docx, QU: 97.51)

Prior to the AI intervention Maria appeared to have viewed the change as something to which she was "subject". This can be determined from her statements such as "you need to report on this and you need to report on that on a daily basis, that I feel it's a burden" (P97: UW510.6i.doc, QU: 97.15) and:

> Looking at the systems, the expectations, what's being expected from you from a…on a day to day basis, there I felt threatened. It was a burden to get through your day to day job, pleasing your client and [Seibank]. I felt that they expect too much from you as a human being. (P97: UW510.6i.doc, QU: 97.34)

Moving more towards viewing change as "object", at the design phase Maria said that "a great place to work is also what you as an individual make of it" (P68: UW510.4d.docx, QU: 68.19) and in the post-AI interview Maria commented that "an obstacle is not always an obstacle, it's the way you see it" (P97: UW510.6i.docx, QU: 97.62). She described how her positive attitude had led to

> a change in my way of thinking what I need to do on a day to day basis, assisting colleagues with lesser experience in the way they think to stay positive and not to see the...only just the darkness and to be more positive, because by being positive, your output in work, your daily output is much, much higher, and the stress levels will be lower. (P97: UW510.6i.docx, QU: 97.58)

In particular, the 'envisioning a positive future' activity at the dream workshop appeared to influence Maria into thinking more positively about the bank as a great place to work:

> *Ja*, I think it was the day or decision where we submitted our view of what [Seibank] should be in the future and everybody drew their little picture, and say but this is how I see [Seibank]. It was quite an eye-opener seeing the broad thinking of the groups and how they…it's not really a change of [Seibank] it's only to enlighten some aspects in their bank and make it work for the staff just by a slight change. So that day [envisioning a positive future] was quite good for me. (P97: UW510.6i.docx, QU: 97.52)

However, although she recognised the benefits of viewing a change positively, she appeared to have somewhat maintained the view that change was something 'out there' to which she had to adapt. For example, she said:

> Normally the changes are made already, you're not getting involved in the process to decide on the extent, *ag*, to decide on the change. Once the change is in place, then you hear, this is the new change, this is the way it's going to operate.

(P97: UW510.6i.docx, QU: 97.83)

> The attitude is within yourself so I think that the quicker you can adapt to the changes and you can attack the change with the correct attitude, the better it will be for yourself, because change is normally well thought through and it's on us as [Seibank] staff to make the organisation that the changes, or to fulfil the changes in the organisation to the better. (P97: UW510.6i.docx, QU: 97.81)

Maria appeared to have learnt that she could choose to some degree how to react to an organisational change. When asked about whether she felt she could choose how to respond to change she replied "I would say you can choose to some extent" (P97: UW510.6i.docx, QU: 97.82).

Maria reported that she was at ease to a "considerable" extent throughout the AI intervention process and that "it was a very, very pleasant experience" (P97: UW510.6i.docx, QU: 97.76). She explained that:

> It makes me feel a very important link in [Seibank], having the opportunity to be one of the staff sitting there, making a difference. Sometimes it was not that easy in coming up with the correct ideas that will suit everybody and not thinking of your own situation making it better for yourself, but making it better for the organisation, it was a bit difficult to, but...*ja*, overall I'm very, very happy to be part of making [Seibank] a better place to work and like I said, *ja*, it makes me feel important that [Seibank] decided to have me on, as part of the... .

(P97: UW510.6i.docx, QU: 97.71)

When asked if she felt that the AI process was manipulative, she replied "we felt free to speak your mind, to give your own ideas, it wasn't manipulative" (P97: UW510.6i.docx, QU: 97.91).

Data Analysis

Pre-AI context. The diary response data and the interview data both showed that, just prior to the AI intervention, Maria generally understood the reason for the alignment but was experiencing high stress due to the administrative workload which was making it difficult for her to give her desired level of service to her clients. Hence, Maria entered the AI intervention feeling survival anxiety in that she wanted to give better service to her clients but also feeling learning anxiety in that it was difficult to give good service due to all the extra administrative work.

Her diary responses prior to the AI intervention indicated that she rated the bank as a poor place to work because incorrect staff appointments and staff shortages increased

her own workload to an uncomfortable level. In contrast, her retrospective perspective in the post-AI interview was that despite the poor systems and heavy workload, she still rated the bank overall as a great place to work at the time. The difference between the two data sets in terms of her overall opinion of the bank as a great place to work can perhaps be best explained by faulty memory following a transition as it is more likely that the real time data, collected prior to the AI intervention, in which Maria said that the bank was not really a great place to work, better reflected her opinion at that time. Both sets of data converged on the issue of her experiencing high stress at the time due to a heavy workload and poor systems.

Transition regarding opinion of the bank as a great place to work. The data indicated that during the first two workshops, Maria continued to complain about the heavy workload, the poor systems and the wrong staff appointments. However, she did report feeling generally more positive at the discovery workshop and more motivated and energetic at the dream workshop. She also started to refer to her own role in change and the importance of adopting a positive mind-set during the dream workshop. At the design workshop she referred to the honour of being part of the team which was making the bank a great place to work and at the destiny workshop she reported feeling "filled with energy" and enthused about the contribution and ability of her fellow participants. She concluded that the bank was a great place to work despite the heavy workload and poor systems. An influential context for this transition was her becoming aware of the viewpoints of other participants.

Maria's transition in terms of her improved overall opinion of the bank as a great place to work occurred in the context of her becoming aware of the viewpoints of others and the mechanism was content reflection. The transition was in terms of new insight and during the transition she experienced increased pleasantness. However, despite her improved overall opinion of the bank as a great place to work, Maria did not transition in terms of her view of the heavy workload and poor systems. The focused configuration for Maria's transition regarding her overall opinion of the bank as a great place to work is shown in Table 20.

Table 20.

The Focused Configuration for Maria's Transition regarding her Overall Opinion of the Bank as a Great Place to Work

Configuration component	Description
Outcome pattern(s)	Improved overall opinion of the bank as a great place to work (except for workload and systems)
	Increased pleasantness
Context(s)	Became aware of the viewpoints of others
Mechanism	Content reflection

The interview data showed that Maria's view of the bank as caring about the opinions of staff improved through the AI intervention. This transition was in terms of new insight. An influential context for this outcome pattern was top management's interest in the presentation of the recommendations that resulted from the intervention. The mechanism for her transition was process reflection. The focused configuration for Maria's transition regarding her view of the bank as caring about the opinions of staff is shown in Table 21.

Table 21.

The Focused Configuration for Maria's Transition regarding her View of the Bank as Caring about the Opinions of Staff

Configuration component	Description
Outcome pattern(s)	Improved view of the bank as caring about employee opinions Increased pleasantness
Context(s)	The interest shown by top management in the recommendations from the AI process
Mechanism	Process reflection

Transition regarding opinion of the alignment. Prior to the AI intervention Maria was of the opinion that the alignment had made both staff and clients unhappy.

The diary data implied that Maria's understanding of the reasons for the alignment improved through the AI intervention although she retained her view that management needed to change the way they were operating. The observation data implied that, during the various workshops, she remained critical of the poor systems. However, in the post-AI interview Maria concluded that the alignment was a good thing and in particular that it was better for the banks' clients. This was a transition in terms of new insight. Maria's opinion of the alignment improved through the AI intervention in the context of becoming aware of the viewpoints of others and the mechanism appeared to be one of content reflection. Maria experienced increased pleasantness during the transition. Maria did not transition in terms of her poor opinions of management and of the bank's systems. The focused configuration for Maria's transition regarding her view of the benefits of the alignment for the banks' clients is shown in Table 22.

Table 22.

The Focused Configuration for Maria's Transition regarding her View of the Benefits of the Alignment for the Bank's Clients

Configuration component	Description
Outcome pattern(s)	Improved opinion of the alignment in light of the benefit for clients (but not in light of the systems or the need for management to change)
	Increased pleasantness
Context(s)	Became aware of the viewpoints of others
Mechanism	Content reflection

Transition regarding opinion of organisational change in general. During the workshops, Maria appears to have learnt, by becoming aware of the viewpoints of others, about the importance of seeing the bigger picture of an organisational change. This represented a transition in terms of new insight. The mechanism was content reflection. The focused configuration is shown in Table 23.

Table 23.

The Focused Configuration for Maria's Transition regarding Learning to see the Bigger Picture of an Organisational Change

Configuration component	Description
Outcome pattern(s)	Learnt to look at bigger picture of an organisational change Increased pleasantness
Context(s)	Became aware of the viewpoints of others
Mechanism	Content reflection

Transition regarding realisation of own role in change. Prior to the AI intervention Maria appeared to view herself as being "subject" to the change, feeling threatened and burdened. During the AI intervention she transitioned somewhat towards seeing the change as "object" or something with which she could be in a relationship. For example, she remarked that "an obstacle is not always an obstacle, it's the way you see it" (P97: UW510.6i.docx, QU: 97.62). However, at the post-AI stage, she still referred to certain aspects of the change, such as the heavy workload and the poor systems, as being 'out there'. This implied that she still viewed certain elements of the change as being 'out there' and as something she was "captive of". Hence, Maria's transition was in terms of positive reinterpretation. An influential context for the transition was the 'envisioning a positive future' activity. Maria enjoyed the activity and it is likely that the mechanism was content reflection. The focused configuration is shown in Table 24.

Table 24.

The Focused Configuration for Maria's Transition regarding Learning to Adopt a Positive Attitude towards Change

Configuration component	Description
Outcome pattern(s)	Learnt she could adopt a positive attitude towards aspects of a change 'out there' Increased pleasantness
Context(s)	The 'envisioning a positive future' activity
Mechanism	Content reflection

Feelings of participation and/or manipulation. Maria participated well throughout the AI intervention workshops and did not feel that the process was manipulative.

A Model of Maria's Transition Path in the Format of Focused Configurations

Prior to the AI intervention, Maria, a Personal Relationship Banker, was confident that improvements could be made, but emphasised that the correct appointments needed to be made. As a result of the AI intervention, it is likely that Maria's transition in terms of positive reinterpretation may have influenced her transition in terms of new insight regarding her view of the bank as a great place to work, the bank as caring about the opinions of staff and her view of the alignment.

The fact that Maria did not transition in terms of her way of knowing and hence was not able to redefine the problems she was facing, may help to explain why she did not transition in terms of her view of the heavy workload, poor systems and the need for management to change.

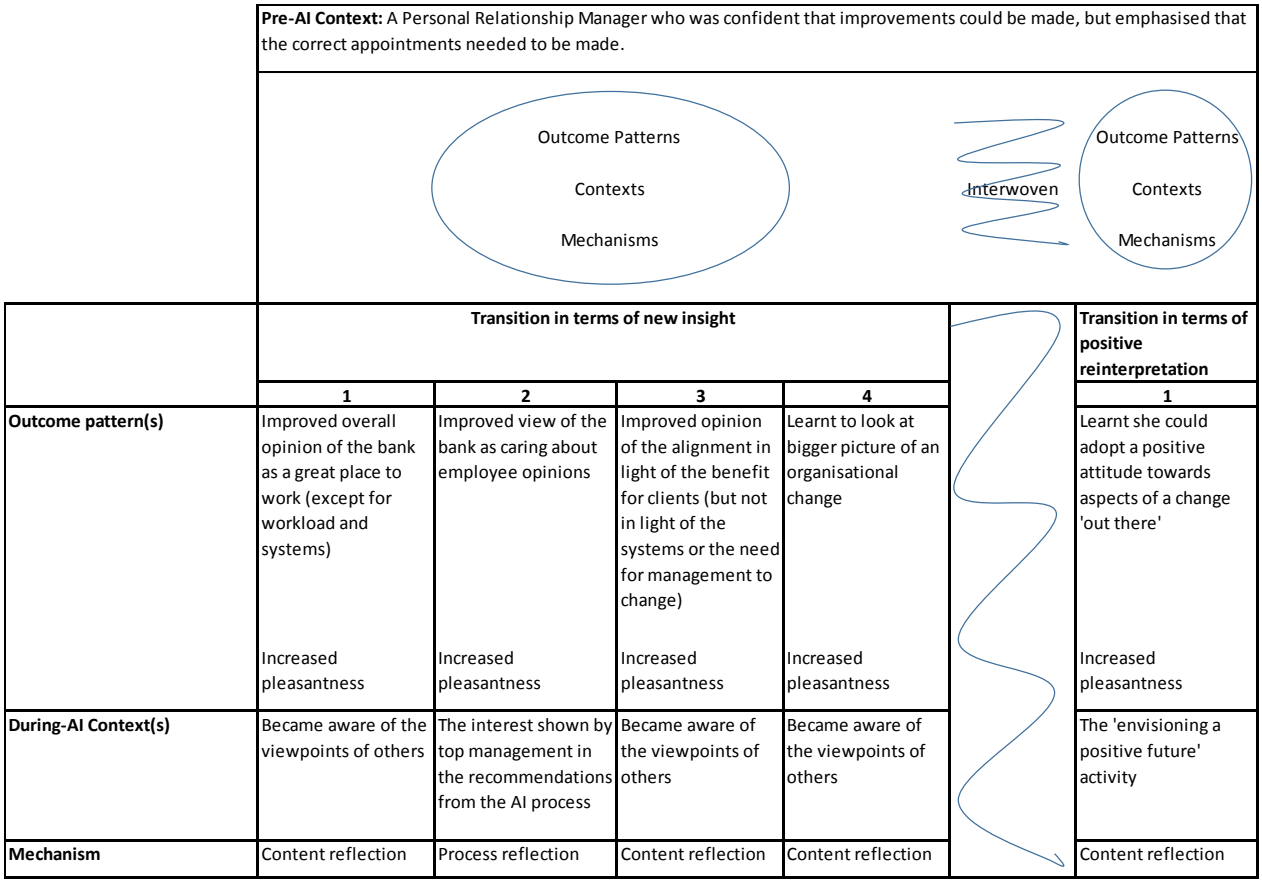


Figure 17: Maria's transition path in the format of focused configurations.

Maria's transition can be represented in a transition model showing the focused configurations. The model is shown in Figure 17. It shows the four parallel transitions in terms of new insight interweaving with her transition in terms of positive reinterpretation.

Within-case Analysis for Susan

Data Description

Demographics. At the time of the study, Susan was in her forties with 24 years' experience at Seibank. She had been a Personal Relationship Banker for the past 12 years. Her home language was Afrikaans but she reported that her spoken and written English was good. As a Personal Relationship Banker, her role and position was highly impacted by the alignment in mid-2103. She was given a new manager, who she felt did not have adequate experience or knowledge, the physical location of her office changed to a new

branch, and she felt the branch did not understand relationships with clients which had been built up over many years.

Diary response data collected at pre-AI stage. At the time of the alignment Susan recalled having the opinion that she did not have the support she was used to and that neither she nor the bank's clients could benefit from the change. She was not in favour of the initiative and was "angry that the bank changed our roles and portfolio structures numerous times in the past few months" (P12: PP240.1docx, QU: 12.18) and she said that "I was unhappy with the decision. I was very concerned that I will be losing a strong team, and that I will not have the same sort of support in my new team" (P12: PP240.1docx, QU: 12.44).

At the time of data collection prior to the AI intervention, Susan still had a very negative view of the alignment. She complained that "the only change that I think could possibly be positive is the cost saving" (P12: PP240.1docx, QU: 12.23) and that she was "frustrated with the branch and all the rulings" (P12: PP240.1docx, QU: 12.28). Her opinion was that "the change has not helped me in any way to perform differently or better" (P12: PP240.1docx, QU: 12.22).

She said that her opinion of the bank as a great place to work had declined since the alignment as she felt that the bank was expecting too much from each employee and the support from management was not what it had been. She recommended that she be given more autonomy and support and that portfolio sizes be reduced. She was confident the changes can be made if "we all understand the other banker's role" (P12: PP240.1docx, QU: 12.34).

Diary response and observation data collected at discovery phase. During the discovery workshop, Susan was observed to talk nostalgically about the positive support and teamwork prior to the alignment. She was unable to recall a positive experience from the alignment and said "it is difficult for me to say what is positive, nothing worked for my clients" (P30: PP240.2o.docx, QU: 30.3). She was also observed displaying negative body language, by turning her body away and looking cross with down-turned pursed lips, when a colleague spoke positively about the alignment. She wrote in her diary responses that "it was difficult for me to think of one positive or what has worked well with the alignment from Relationship Banking to Retail. Unfortunately nothing positive came to mind" (P20: PP240.2d.docx, QU: 20.6).

In reply to a diary prompt about how she felt about the alignment, Susan expressed her strong negative feelings, saying "disappointed and angry as the initiative did not

benefit me or my clients in any way. I am now situated in a branch, they do not understand our role or our clients' needs" (P20: PP240.2d.docx, QU: 20.7). She added that this "is the first workshop regarding the alignment that I had an opportunity to give an opinion" (P20: PP240.2d.docx, QU: 20.9). Susan reported that she had adequate opportunities to contribute during the workshop.

Susan wrote in her diary that she learnt during the workshop to look at the bigger picture of an organisational change and she attributed this to watching the video entitled 'Seeing the Positive in the World'. She said "yes, as the video showed I am going to try and look at the full pictures" (P20: PP240.2d.docx, QU: 20.10).

Diary response and observation data collected at dream phase. During the 'envisioning a positive future' activity, Susan was observed helping to construct the possibilities poster with a broad smile on her face. She reflected positively on the workshop in her diary responses, saying "it was great sharing my ideas about what would be a great place to work. An environment that staff feel happy, comfortable, they can take accountability, systems that work" (P51: PP240.3d.docx, QU: 51.1) and "it was amazing to see the energy in our group session that indicates we have great people working for the bank" (P51: PP240.3d.docx, QU: 51.3). She obviously felt empowered by the workshop, saying "I think it is great that we have the opportunity to discuss issues in the organisation" (P51: PP240.3d.docx, QU: 51.10).

She was complimentary about job security at the bank but criticised the fact that loyal staff did not get adequately rewarded in comparison to employees who left and then returned to the bank. Regarding her learning about her own role in change, she wrote that she learnt to "concentrate on positive ideas, positive mind set" (P51: PP240.3d.docx, QU: 51.4).

Diary response and observation data collected at design phase. Susan wrote positively about the workshop, saying "I am happy to see and be part of this group" (P66: PP240.4d.docx, QU: 66.8). Her diary entries reflected her positive view of the bank as caring about employee opinions, with comments such as "it is great that they invest in focus groups like this one to get the staff input" (P66: PP240.4d.docx, QU: 66.12) and "it is clear that they care about the staff" (P66: PP240.4d.docx, QU: 66.10).

During the workshop Susan learnt she could choose how to react to change, saying "yes change starts with you. Try and focus on the positives. Share good stories, positive feedback with the team" (P66: PP240.4d.docx, QU: 66.7).

She was observed to recall that in the past "poor decisions are made at the top without input from staff. This workshop should have been held before the change" (P60: PP240.4o.docx, QU: 60.11) and she emphasised the need for good communication from leadership. She was again observed to react negatively when a colleague talked positively about the alignment. However, at the end of the workshop she said "yes, I feel more positive, I believe with the staff input—transparency from management we can make a difference" " (P66: PP240.4d.docx, QU: 60.13).

Diary response and observation data collected at destiny phase. Susan wrote positively about the bank as a great place to work. She said "it is a great place to work, leadership care and want to make a difference for staff and clients" (P80: PP240.5d.docx, QU: 80.8) and that she was "positive that our leadership team cares what we think and what they can do to make it better" (P80: PP240.5d.docx, QU: 80.7).

She was also positive about the alignment strategy, commenting that "the new strategy can work because in some areas it is working well and they are performing at great levels" (P80: PP240.5d.docx, QU: 80.3). She added that "we could find solutions for all issues that we discussed" (P80: PP240.5d.docx, QU: 80.2).

She also learnt to look at the positives in a change situation, saying she intended to "work hard, build good relationships, embrace changes and not always look at the negatives but focus on the positives" (P80: PP240.5d.docx, QU: 80.6) and she was observed to commit to "be a team player and help where I can" (P73: PP240.5o.docx, QU: 73.6).

Interview data collected at post-AI stage. At the post-AI interview, Susan recalled that, prior to the AI intervention, she felt that unless things changed she would definitely continue to be considerably stressed. Her motivation for wanting change was not related to a desire for personal learning but rather to a desire to prevent ongoing criticism and to reduce the likelihood that competitors may get ahead of the bank.

Prior to the AI intervention she was of the opinion that much of her work was not relevant. She said "you know a lot of things, when we moved and with alignment, to me it wasn't relevant to my job, if I can say that?" (P94: PP240.6i.docx, QU: 94.19). She also felt that management did not understand what was happening, saying "it was pushed in our direction but I don't know if they completely understood the change" (P94: PP240.6i.docx, QU: 94.23). She felt at a loss as to where the process was going and said that there were no clear guidelines. She complained that "I truly did not understand the concept behind it. . . . It was like degrading our clients" (P94: PP240.6i.docx, QU: 94.32)

and that the alignment made her feel "very frustrated with the whole process . . . . Very, very frustrated" (P94: PP240.6i.docx, QU: 94.33).

Susan particularly despised having to work in a branch. She explained that:

> I've worked in branch many years ago for many years. And then you move out. Then to come back after 10 years, it's not...I hate working in a branch I hate it. I hate working ... coming in ... dual control, small little things that I absolutely hate. So, you know when you just hear one day you going to move back to the branch, it's not a nice feeling. It's horrible, I don't want to be in the branch, I left the branch 10 years ago. (P94: PP240.6i.docx, QU: 94.111)

In terms of her view prior to the AI intervention of the bank as a great place to work, Susan rated the bank as "outstanding" in terms of job security and "fair" with regard to rewards, recognition and development, support, and job satisfaction. She rated the bank as "poor" in terms of caring about employee opinions. Overall she rated the bank as "fair" with regard to being a great place to work.

Prior to the AI intervention, Susan was pleased that top management had instigated the process and she felt optimistic and hopeful about the intervention, particularly due to the involvement of participants from different job roles. She explained:

> I was hoping that it would help and also I…what I enjoyed was when I looked at the names of the people that were going to be part of this group I was happy to see there was a mixture of area managers, team managers, normal branch staff, branch managers…so *ja* I felt quite positive because I knew there was going to be opinion of all levels, not just area or team managers. You know it's also a problem when you probably only have bankers…because then we always go back and moan about the same thing and so that was quite nice. I was hoping that it was going to make difference and I also knew there was quite a few strong leaders there, so yes it was…I thought it was going to work, I hoped it was and also to me, you know if the bank takes the time and the money that they spend on the thing it also gives you the impression that they want to change, that they want to understand what went wrong. (P94: PP240.6i.docx, QU: 94.35)

Following the AI intervention, Susan still rated the bank as "outstanding" in terms of job security and as "fair" with regard to rewards, recognition, and development. However, her rating of the bank in terms of support and job satisfaction increased from "fair" before the intervention to "good" following the intervention and her rating of the extent to which the bank cared about employee opinions improved from "poor" to "fair".

Her overall rating of the bank as a great place to work improved from "fair" to "good" over the course of the AI intervention.

She attributed her improved overall opinion of the bank as a great place to work to becoming aware of the viewpoints of other participants, saying that "it was also great to hear that there's people that have got great things to say about the bank, great things to their future in the bank, so it made me realise that you know … it is great" (P94: PP240.6i.docx, QU: 94.80). Susan felt increased pleasantness during this process, reporting that "it was nice to just be with people, or a bigger percentage of people that sees things differently and more positively" (P94: PP240.6i.docx, QU: 94.119).

She also described her transition in terms of her view of the bank as a great place to work as not being difficult, as shown in the following extract from the transcript:

> *Researcher:* So there was a change in your views about the bank as a great place to work?
>
> *Susan:* Yes.
>
> *Researcher:* And would you say that change through that appreciative inquiry process was a difficult process or an easy process?
>
> *Susan:* No it wasn't difficult: No I didn't find it difficult at all.
>
> (P94: PP240.6i.docx, QU: 94.86)

Susan attributed her improved opinion of the extent to which the bank cared about employee opinions to the fact that top management had initiated the AI process. She said that:

> It's just firstly that for them to actually … how can I say it … there must be, they care about us otherwise they wouldn't have done that so and they care enough to get the results to see how they can do it differently or what must be looked at, what's really serious issues, burning issues so that's quite positive to think that the team up there, they're interested and they want to know what went wrong and how we can fix it. So I mean it's not just "let's carry on", it's "what do we do to improve it?", so that was great. (P94: PP240.6i.docx, QU: 94.64)
>
> *Researcher:* Was there a particular event or activities during the appreciative inquiry, which had an influence on the way you saw the bank as a great place to work?
>
> *Susan:* No not a specific, no … no I think it was just the whole process.
>
> *Researcher:* The fact that there was a process?
>
> *Susan:* Ja. (P94: PP240.6i.docx, QU: 94.67)

Susan's improved opinion of top management was reinforced at the final process in the AI intervention in which the recommendations were presented to top management. She recalled that:

> It was a good feeling when we walked out there, and it was a good feeling to see top management asking questions and making notes and so I knew, it wasn't just another presentation where *ag* "let's move on". I think they've learnt out of it hopefully … they've noted what's the issues and I think they've already realised some of the issues, so maybe that last session just confirmed things that they were worried about, there are things that need attention and I think it came out in the last session. (P94: PP240.6i.docx, QU: 94.96)

Despite feeling increased pleasantness overall, Susan felt hesitant about the first few workshops. She frankly admitted that:

> In the beginning I must honestly say … drawing pictures and still being a bit negative about this whole process and it's like a day out of your … and you can see people saying "I live even further", you know to get there … the first session when I left there and I thought how is this going to benefit … I just could not see the fuller picture at that stage I thought *ag* ... you know to a point actually where … "do I have to go back?". But never in that first session did I realise we could get to the results by obviously following the steps. So that was … after all it was a good feeling. (P94: PP240.6i.docx, QU: 94.92)

Susan did report feeling irritated with one of the other participants as she felt that the process was being held up:

> I can't take it when somebody goes on and on and on about the same things, so *ja* you get irritated. But that wasn't with the process that was with individuals. You know sometimes you can discuss a subject so much and then we can't keep on going back to the same thing. (P94: PP240.6i.docx, QU: 94.91)

Following the AI intervention, Susan also felt more positive about the alignment and she mainly attributed the change in her opinion to becoming aware of the viewpoints of other participants. She said:

> There's things … positive … that seems that's actually doing quite well, then there's guys there that said something like, "You know what? I could go to this person or that person and they guided me and helped me and explained the process" … so it was small things. Small things that you listened to in the group and heard in the group that make you think "You know what? It's not that bad".

(P94: PP240.6i.docx, QU: 94.69)

It is important to note that Susan also attributed some of her improved view of the alignment to the passage of time which had allowed things to "settle in".

She reported seeing the positives about being positioned in a branch saying "you know when we're here and we're visible to our clients and to the branch staff … I can help them now or they can help me" (P94: PP240.6i.docx, QU: 94.106). When asked if she saw this as being important before the AI intervention she stated that she didn't want to see it, as is shown in the following extract:

> *Researcher:* So the … you said that you being here physically, there's some advantages to it?
>
> *Susan:* There's definitely some advantages, *ja.*
>
> *Researcher:* So would you say you now see that as being quite important?
>
> *Susan:* Oh *ja*, very important *ja*.
>
> *Researcher:* And do you think you saw it as important before?
>
> *Susan:* No, I didn't want to see it. (P94: PP240.6i.docx, QU: 94.110)

Although Susan continued to complain that the branch staff did not understand the alignment, she had adapted her behaviour in a positive way "to communicate more with the branch staff so they understand why we're here, what sort of leads we need, what we can do" (P94: PP240.6i.docx, QU: 94.104).

Susan did not find the thought process difficult regarding her transition towards an improved view of the alignment. She recounted:

> No it wasn't too difficult. I must honestly tell you when in our very, very first one, I think when we [drew] our little pictures, I never thought that we're going to come out at the results that we did by the end of the four sessions. But then when we went through the process of what's an ideal world or working environment to be in, then it makes you think. It comes easier then *ja*. ... No it wasn't difficult, no I didn't find it difficult at all. (P94: PP240.6i.docx, QU: 94.83)

Susan realised that she could choose how to react to change. She insightfully described this as being able to be creative with how she could take information.

> *Researcher:* A change happened, let's take the alignment ... Do you think, if you take a positive attitude, you see that change differently?
>
> *Susan:* Definitely, yes.
>
> *Researcher:* But it's the same change, the same thing has physically happened.
>
> *Susan:* No, it's just depending how you see it in your mind.

Researcher: Ok. So you can create your own reality, would you say?

Susan: I don't think I can create my own reality, but I think I can definitely be creative with how I'm going to take that information.

(P94: PP240.6i.docx, QU: 94.127)

She recognised the importance of being able to choose to react positively to change, saying "I think the one that stood out the most for me is just sometimes trying to reflect on the better things at work and things that's working and … *ja* don't always harp on the negatives" (P94: PP240.6i.docx, QU: 94.84). She commented that it would be unfair if she did not try to be more positive given that top management had gone to the effort of initiating the AI intervention in order to try to change things.

It was also through the interaction with the other participants that she learnt to adopt a positive attitude. When asked if the videos influenced her to become more positive she replied: "I think it was more ... it was definitely more the crowd, the people" (P94: PP240.6i.docx, QU: 94.130). She explained that:

> You know, you're normally with the same crowd and maybe with some moaning crowd and *ja* so it was actually nice to see that people enjoy working for the bank and they voice their opinion about it and *ja* so it was nice. So it also just makes you realise, well "don't always look for the negatives".
>
> (P94: PP240.6i.docx, QU: 94.71)

Susan also remarked that the facilitator had influenced her to be more positive, saying that:

> [Annie's] a beautiful person, she's very positive and also I enjoyed the way that she, when somebody became a bit negative or harped on the same thing, she would stop her and then they would move on, so I think she played quite a big role as well. (P94: PP240.6i.docx, QU: 94.131)

Susan says she had adequate opportunities to participate in each session and that she had not been forced or manipulated into changing. She was of the opinion that, like her, the other participants also enjoyed the process. She explained:

> A lot of the faces was the same faces every week, ... and we were talking about area managers, senior managers, everybody's busy, but they were there and they participated and in the end it was ... you know, even in that very last session, everybody wanted to make sure, like [Nellie] did our presentation and everybody in the group just wanted to make sure that we all understood the points correctly and we didn't want ... because we had the same message and we didn't want that

> message to be carried over incorrectly or ... so I think everybody's so happy that somebody's taking notice of our problems and our issues that I'm sure they feel happy and positive with this whole... (P94: PP240.6i.docx, QU: 94.138)

Data Analysis

Pre-AI context. Prior to the AI intervention, Susan was highly negative about the alignment and critical of the bank as not caring about the opinions of employees. She rated the bank overall as "fair" in terms of being a great place to work. In the interview she particularly emphasised how much she hated working in a branch and how she was unable to understand the reasons behind the alignment. It is clear that prior to the AI intervention she was experiencing high survival anxiety and high learning anxiety.

She was pleased that top management was initiating the AI process and she was optimistic about the process because of the involvement of people from a mixture of job roles.

Transition regarding opinion of the bank as a great place to work. Susan transitioned well in respect of her opinion of the bank as a great place to work. At the dream workshop, she reported being pleased to have the opportunity to participate in discussions about issues in the organisation and at the design workshop she was complimentary about the bank as caring about the opinions of employees as evidenced by the fact that top management had initiated the AI process. At the destiny workshop Susan said that the bank was a great place to work. The transition was in terms of new insight and the context was her becoming aware of the viewpoints of other participants. She experienced increased pleasantness during the transition and the mechanism was content reflection. The focused configuration for Susan's transition regarding her overall opinion of the bank as a great place to work is shown in Table 25.

Table 25.

The Focused Configuration for Susan's Transition regarding her Overall Opinion of the Bank as a Great Place to Work

Configuration component	Description
Outcome pattern(s)	Opinion of the bank as a great place to work improved Increased pleasantness
Context(s)	Became aware of the viewpoints of others
Mechanism	Content reflection

Through the AI process, Susan transitioned in terms of new insight regarding her opinion of the bank as caring about employee opinions. The context for this transition was the fact that top management had initiated the AI process and the mechanism was process reflection. She experienced increased pleasantness during the transition. The focused configuration for Susan's transition regarding her view of the bank as caring about the opinions of staff is shown in Table 26.

Table 26.

The Focused Configuration for Susan's Transition regarding her View of the Bank as Caring about the Opinions of Staff

Configuration component	Description
Outcome pattern(s)	Improved view of the bank as caring about employee opinions Increased pleasantness
Context(s)	The fact that top management had initiated the AI process
Mechanism	Process reflection

Transition regarding opinion of the alignment. Susan's opinion of the alignment improved through the AI intervention period. The diary responses at the destiny stage indicated that she was of the opinion that the alignment could work as she had heard from other participants about it working in other areas of the bank. The interview data showed that, following the AI intervention, she had a better understanding of the reasons behind the alignment and, in particular, could now see the advantages of being based in a branch. When asked why she had not seen the benefits of working in a branch before the AI intervention, she said that she had not wanted to see it. The data indicated that the context for Susan's transition regarding her improved opinion of the alignment—and in particular being located in a branch—was becoming aware of the viewpoints of other participants. She experienced increased pleasantness during the transition. The transition was in terms of new insight as she now saw that being located in a branch was important, whereas before the AI intervention she had not considered this as being important. She reported that the transition process was not difficult and hence it is evident that the mechanism was content reflection. An additional context for Susan's

Table 27.

The Focused Configuration for Susan's Transition regarding Learning to Appreciate the Benefits of Being Located in a Branch

Configuration component	Description
Outcome pattern(s)	Learnt to appreciate the benefits of being located in a branch
	Increased pleasantness
Context(s)	Became aware of the viewpoints of others
	The passage of time
Mechanism	Content reflection

transition regarding her opinion of the alignment was the passage of time. This is obviously independent of the AI intervention process. The focused configuration for Susan's transition regarding her learning to appreciate the benefits of being located in a branch is shown in Table 27.

Transition regarding opinion of organisational change in general. Susan learnt to look at the bigger picture of an organisational change whilst watching a video during the dream workshop entitled *Seeing the Positive in the World*. This learning represents transition in terms of new insight as issues which she did not previously consider as being important were now important to her. The mechanism was content reflection as it is likely that she used her beliefs to make an interpretation as opposed to attending to the grounds or justification for her beliefs. Susan experienced increased pleasantness during the transition. The focused configuration is shown in Table 28.

Table 28.

The Focused Configuration for Susan's Transition regarding Learning to see the Bigger Picture of an Organisational Change

Configuration component	Description
Outcome pattern(s)	Learnt to look at bigger picture of an organisational change Increased pleasantness
Context(s)	Watching the *Seeing the Positive in the World* video
Mechanism	Content reflection

Transition regarding realisation of own role in change. During the dream, design, and destiny workshops, Susan learnt that she could choose how to react to change. Instead of seeing herself "captive of" the change she saw herself as "having it" and being in a relationship with it. Her statement that "I don't think I can create my own reality, but I think I can definitely be creative with how I'm going to take that information" (P94: PP240.6i.docx, QU: 94.127) represented her own unique way of describing what such an epistemological transition meant and it is clear that she no longer viewed the change as being 'out there'. This is in contrast to her comments prior to the AI intervention, which included comments about being frustrated by all the rulings, which implied that she felt subject to the change. This represents transition in terms of the way of knowing.

Susan attributed learning that she could choose how to react to change to becoming aware of the viewpoints of other participants and to the influence of the facilitator. She also commented that it would be unfair if she did not try to be more positive given that top management had gone to such an effort in initiating the AI intervention in order to try to change things. She experienced increased pleasantness

Table 29.

The Focused Configuration for Susan's Transition regarding Learning to Choose How to React to Change

Configuration component	Description
Outcome pattern(s)	Learnt can choose how to react to change
	Increased pleasantness
Context(s)	Became aware of the viewpoints of others
	The fact that top management had initiated the AI process
	The positive attitude of the facilitator
Mechanism	Content reflection

throughout the AI intervention and the mechanism is assumed to be content reflection. The focused configuration is shown in Table 29.

Feelings of participation and/or manipulation. It is clear from the data that Susan participated well and was fully engaged in the AI process through-out and that she did not consider the process to be manipulative.

A Model of Susan's Transition Path in the Format of Focused Configurations

Prior to the AI intervention, Susan, a Personal Relationship Banker, was confident changes could be made but emphasised the need for the Retail Bankers to understand the role of the Personal Relationship Bankers. She was optimistic about the AI process because of the involvement of people from a mixture of job roles. As a result of the AI intervention she transitioned in terms of her way of knowing which also assisted her to

transition in terms of new insights. For example, her epistemological transition enabled her to see benefits of being located in a branch which previously "I didn't want to see" (P94: PP240.6i.docx, QU: 94.110). Susan's epistemological transition may have allowed her to redefine her situation, for example, she no longer saw being in a branch as a problem which required solving.

Her transition can be represented in a transition model showing the focused configurations. She transitioned in terms of new insight regarding her overall view of the bank as a great place to work, the bank as caring about staff opinions, the benefits of being located in a branch and learning to look at the bigger picture of an organisational change. She also transitioned in terms of the way of knowing regarding learning that she could choose how to react to change. These two types of transition, in terms of new insight and in terms of the way of knowing are likely to have influenced each other. For example, if change was previously considered subject but was now considered object then previous problems associated with the change had simply "gone away". The model representing Susan's transition in the format of focused configurations is shown in Figure 18.

Pre-AI Context: A Personal Relationship Banker who was confident changes could be made but emphasised the need for the Retail Bankers to understand the role of the Personal Relationship Bankers. She was optimistic about the AI process because of the involvement of people from a mixture of job roles.

	Transition in terms of new insight				Transition in terms of the way of knowing
	1	2	3	4	
Outcome pattern(s)	Improved view of the bank as caring about employee opinions Increased pleasantness	Opinion of the bank as a great place to work improved Increased pleasantness	Learnt to appreciate the benefit of being located in a branch Increased pleasantness	Learnt to look at bigger picture of an organisational change Increased pleasantness	Learnt can choose how to react to change Increased pleasantness
During-AI Context(s)	The fact that top management had initiated the AI process	Became aware of the viewpoints of others	Became aware of the viewpoints of others The passage of time	Watching the *Seeing the Positive in the World* video	Became aware of the viewpoints of others The fact that top management had initiated the AI process The positive attitude of the facilitator
Mechanism	Process reflection	Content reflection	Content reflection	Content reflection	Content reflection

Figure 18: Susan's transition path in the format of focused configurations.

Summary of Within-case Analyses

The six cases are summarised by means of a partially ordered meta-matrix which Miles and Huberman (1994) describe as a useful initial step in the analysis of multiple cases in order to provide an exploratory overview of the general territory. The partially ordered meta-matrix for the six cases is shown in Table 30. The transitions for each individual are shown in terms of new insight, the way of knowing, or positive reinterpretation. Each transition is shown in the format of a focused configuration consisting of contexts, mechanisms, and outcomes.

Transition in Terms of New Insight

Drawing on Bushe and Marshak (2005) and on Kegan (2000), transition in terms of new insight is where something becomes more—or less—important and that

something is still a single, fixed, external reality. It therefore means that the perceiver has to adjust to that single external reality. There is a change in what is known, but in this case there is no change in the way of knowing—there is no change in the subject-object balance.

As a result of the AI intervention, five of the six individuals transitioned to an improved view of the bank as caring about the opinions of employees. These five experienced increased pleasantness during the transition and the context was mainly the fact that top management had implemented the AI process. The mechanism for all five transitioning individuals was process reflection. Three of these also transitioned to a better opinion of the bank as a great place to work. The main context was becoming aware of the viewpoints of others.

The only person who did not transition to an improved view of the bank as caring about employee opinions—Bernice—transitioned to a worsened opinion of the bank as a great place to work over the period of the AI intervention. The context for this worsening view was the 'envisioning a positive future' activity and she experienced sadness and increased anxiety during the transition process. The mechanism was critical reflection on assumptions.

The only two individuals who were in management positions, Lala and Bernice, both transitioned regarding realising the need to listen to their reports. Lala experienced feelings of guilt during the transition process which occurred in the context of an environment in which participants at multiple levels felt free to talk openly. The mechanism was critical reflection on assumptions. It was not clear what emotions Bernice experienced during her transition but interestingly the context was the pre-AI diary response data collection event. This event was not part of the formal AI intervention process but the transition bears testimony to the AI adage that change commences the moment the first question is asked.

Two participants, Maria and Susan, formed a better opinion of the earlier alignment as a result of the AI intervention. The context in both cases was becoming aware of the viewpoints of others and the mechanism was content reflection. The same two participants also learnt to see the bigger picture of an organisational change: one in the context of seeing the video entitled *Seeing the Positive in the World*; and the other in the context of becoming aware of the viewpoints of others.

One participant, Allison, learnt about the importance of participation in an organisational change intervention. The context was the self-emerging content of the AI process and the mechanism was process reflection.

Transition in Terms of the Way of Knowing

Drawing on Kegan (2000), transition in terms of the way of knowing is where there is a change in the subject-object balance for the perceiver. When a perceiver realises that they can choose how to react to an experience and furthermore they realise that the external reality is not fixed but can actually be largely determined by them then they are no longer controlled by that experience, they "have it", or in other words, they are in a relationship with it—the experience is "object" for them.

As can be seen in table 30, one person, Lala, transitioned in terms of her way of knowing by realising the need to be more assertive with management above her and by learning to put the alignment behind her. Another person, Susan, transitioned regarding learning that she could choose how to react to change. Susan went beyond realising that she could adopt a positive attitude to change 'out there' to realising that, by choosing how to react to change, she could construct her own reality. She said "I can definitely be creative with how I'm going to take that information" (P94: PP240.6i.docx, QU: 94.127). There was no longer a single fixed reality—for her, the change was now "object"—she could choose how to react to it and in doing so she could change her external reality.

Transition in Terms of Positive Reinterpretation

Four of the six individuals transitioned in terms of positive reinterpretation towards aspects of a change 'out there'. The perceiver strives to see something positively but still sees a single external reality. The change has become less "subject" as the perceiver is no longer entirely controlled by it, but it has not become fully "object" in that it is still a fixed reality 'out there' which still largely controls them. Their choosing to view it positively is not accompanied with a view that the reality itself 'out there' has changed—they choose to view a fixed reality 'out there' more positively.

Table 30.

Summary of Transitions for Each Case

	Transition in terms of:									
	New Insight						The way of knowing			Positive reinterpretation
	Bank as caring about employee opinions	**Bank as a great place to work**	**The importance of participation in an organisational change**	**A participative management style**	**Opinion of the alignment**	**Learnt to look at bigger picture of org. change**	**Assertive towards those above**	**Putting the alignment behind him/her**	**Learnt can choose how to react to change**	**Positive attitude to change 'out there'**
Case: Allison										
1. During-AI Context(s)	The AI process in its entirety in that it showed that top management were interested in how change could be better managed in future		The fact that the content of the AI process was determined by the participants							The 'envisioning a positive future' activity Watching the *Seeing the positive in the World* video
2. Mechanism	Process reflection		Process reflection							Some degree of critical reflection on assumptions
3. Outcome pattern(s)	Improved view of the bank as caring about employee opinions		Learnt about the importance of participation in an organisational change intervention							Learnt she could adopt a positive attitude towards aspects of a change 'out there'
	Increased pleasantness		Increased pleasantness							Slightly out of comfort zone
Case: Bernice										
1. During-AI Context(s)		The 'envisioning a positive future' activity		Completing the pre-AI diary response form	The 'envisioning a positive future' activity					
2. Mechanism		Critical reflection on assumptions		Mechanism is not apparent from data	Critical reflection on assumptions					
3. Outcome pattern(s)		Opinion of bank as a great place to work worsened		Realisation of need to adopt a more participative style of management	Realised could choose to leave the bank					
		Sadness, anxiety		Affective output pattern is not apparent from data	Sadness					

Table 30. (Contd.)

Summary of Transitions for Each Case

	Transition in terms of:									
	New Insight						The way of knowing			Positive reinterpretation
	Bank as caring about employee opinions	**Bank as a great place to work**	**The importance of participation in an organisational change**	**A participative management style**	**Opinion of the alignment**	**Learnt to look at bigger picture of org. change**	**Assertive towards those above**	**Putting the alignment behind him/her**	**Learnt can choose how to react to change**	**Positive attitude to change 'out there'**
Case: Eddie										
1. During-AI Context(s)	The fact that top management had initiated the AI process									Became aware of the viewpoint of others.
										Watching the AI videos
2. Mechanism	Process reflection									Content reflection
3. Outcome pattern(s)	Improved view of the bank as caring about employee opinions									Learnt could adopt a positive attitude towards aspects of a change 'out there'
	Increased pleasantness									Increased pleasantness
Case: Lala										
1. During-AI Context(s)	The fact that top management initiated the AI process	The holistic nature of the AI intervention		An environment in which participants at multiple levels felt free to talk openly		The holistic content of the AI process	An environment in which participants at multiple levels felt free to talk openly	An environment in which she felt free to talk openly, even as a senior manager		Inclusion of individual responsibities in discussion of organisational change
		Becoming aware of the viewpoints of others								
2. Mechanism	Process reflection	Content reflection		Critical reflection on assumptions		Content reflection	Critical reflection on assumptions	Content reflection		Content reflection
3. Outcome pattern(s)	Improved opinion of bank as caring about the opinion of employees at all levels	Opinion of the bank as a great place to work improved		Realisation of need to adopt a more participative style of management		Learnt to look at bigger picture of an organisational change	Realisation of need to be more assertive towards leadership above her	Being able to put the alignment behind her		Learnt she could adopt a positive attitude towards aspects of a change 'out there'
	Increased pleasantness	Increased pleasantness		Feelings of guilt		Increased pleasantness	Feelings of guilt	Increased pleasantness		Increased pleasantness

Table 30. (Contd.)

Summary of Transitions for Each Case

	Transition in terms of:									
	New Insight						The the way of knowing			Positive reinterpretation
	Bank as caring about employee opinions	**Bank as a great place to work**	**The importance of participation in an organisational change**	**A participative management style**	**Opinion of the alignment**	**Learnt to look at bigger picture of org. change**	**Assertive towards those above**	**Putting the alignment behind him/her**	**Learnt can choose how to react to change**	**Positive attitude to change 'out there'**
Case: Maria										
1. During-AI Context(s)	The interest shown by top management in the recommendations from the AI process	Became aware of the viewpoints of others			Became aware of the viewpoints of others	Became aware of the viewpoints of others				The 'envisioning a positive future' activity
2. Mechanism	Process reflection	Content reflection			Content reflection	Content reflection				Content reflection
3. Outcome pattern(s)	Improved view of the bank as caring about employee opinions	Improved overall opinion of the bank as a great place to work (except for workload and systems)			Improved opinion of the alignment in light of the benefit for clients (but not in light of the systems or the need for management to change)	Learnt to look at bigger picture of an organisational change				Learnt she could adopt a positive attitude towards aspects of a change 'out there'
	Increased pleasantness	Increased pleasantness			Increased pleasantness	Increased pleasantness				Increased pleasantness
Case: Susan										
1. During-AI Context(s)	The fact that top management had initiated the AI process	Became aware of the viewpoints of others			Became aware of the viewpoints of others	Watching the *Seeing the Positive in the World* video			Became aware of the viewpoints of others	
					The passage of time				The fact that top management had initiated the AI process	
									The positive attitude of the facilitator	
2. Mechanism	Process reflection	Content reflection			Content reflection	Content reflection			Content reflection	
3. Outcome pattern(s)	Improved view of the bank caring about employee opinions	Opinion of the bank as a great place to work improved			Learnt to appreciate the benefits of being located in a branch	Learnt to look at bigger picture of an organisational change			Learnt can choose how to react to change	
	Increased pleasantness	Increased pleasantness			Increased pleasantness	Increased pleasantness			Increased pleasantness	

CHAPTER FIVE: CROSS-CASE ANALYSIS

Miles and Huberman (1994) say that in addition to increasing generalisability, the aim of studying multiple cases is "to see processes and outcomes across many cases, to understand how they are qualified by local conditions" (p. 172). Similarly, Pawson and Tilley (1997) explain that external validity can be addressed in a Realist Evaluation as "with proper attention to the contextual features of every case, evaluation research can be more than the sum of individual cases" (p. 28). They propose that "the best way to get at the crucial causal harmonies is to hypothesize and test within-program variation in the success rates of different subgroups of subjects" (p. 43). Pawson and Tilley (2004) explain that "the explanatory theory is investigated by devising and testing out multiple comparisons identifying winners and losers amongst subjects" (p. 11). Eisenhardt (1989) talks of the cross-case "search for patterns" (p. 540) and says that "the idea behind these cross-case searching tactics is to force investigators to go beyond initial impressions, especially through the use of structured and diverse lenses on the data" (p. 541).

In this study, the cross-case analysis starts with consideration of the six individuals in order of degree of transition, followed by an analysis of the individuals split between the management and the staff sub-groups. The next section considers each of the transition themes—the subject matter of the transitions. The pre-AI and during-AI contexts are then analysed, followed by the mechanisms and feelings of increased pleasantness. The final three sections cover feelings of participation and manipulation; time-ordered events; and across-category clustering. Findings, in the realist evaluation format of outcome regularities, are recorded throughout the chapter as they first arise. Support for an earlier outcome regularity is subsequently noted.

Case Ordered Display by Degree of Transition

Miles and Huberman (1994) recommend that cross-case analysis should include the ordering of cases according to a variable of interest so that the differences among cases can more easily be seen. They emphasise that the method for deciding on the ordering of cases should be systematic. Coincidently, they give an example where degrees of individual change are ranked according to a rough conceptual order from minimal or short-term to substantial (pp. 193–194).

The cases in this study are ranked by degree of transition in terms of the number of transition themes—or transition subject matters—in which they transitioned in line with the planned objective of the AI intervention. The planned objective of the AI

intervention was to improve the views of the participants in terms of the bank as a great place to work and in terms of the earlier alignment.

Lala and Susan are classified as high transition cases as Lala transitioned in line with the planned objectives in respect of seven transition themes while Susan transitioned in respect of five themes. Maria and Allison are classified as medium transition cases as Maria transitioned in respect of four themes and partially in respect of her opinion of the bank as a great place to work—she continued to criticise the workload and the systems—and Allison transitioned regarding three themes. Eddie and Bernice are classified as low transition cases as Eddie only transitioned regarding two themes and Bernice only transitioned in respect of one theme and transitioned negatively in respect of two other themes.

High Transition Cases

Over the course of the AI intervention Lala transitioned regarding an improved opinion of the bank as caring about employee opinions and of the bank as a great place to work. In addition, she learnt to listen to her reports and she learnt to be more assertive towards higher management. She was able to put the alignment behind her.

It is evident that, as a senior manager, Lala became aware during the AI workshops of the viewpoints of staff at lower levels and eventually also felt free to talk openly with them. The safe environment created by the AI intervention appeared to have greatly assisted with her transition as it led to her, particularly in her role as a senior manager, encountering a number of disorientating dilemmas. This led to her being one of the few individuals who critically reflected on assumptions during the AI workshops and she experienced feelings of guilt during some of the transition processes.

> *Outcome Regularity No. 1:* Managers participating in an AI intervention may transition towards adopting a more participative management style and may also transition to becoming more assertive towards higher management.
>
> *Outcome Regularity No. 2:* Managers participating in an AI intervention may transition due to their presence in an environment in which more junior staff members feel safe to voice their honest opinions. The experience can cause a disorientating dilemma for managers leading them to critically reflect on their assumptions.

Susan was experiencing high survival and learning anxiety prior to the AI intervention. She particularly emphasised how much she hated working in a branch and how she was unable to understand the reasons behind the alignment. She was pleased that

top management was initiating the AI process and she was optimistic about the process because of the involvement of people from a range of job roles and levels. During the AI intervention Susan transitioned in terms of an improved opinion of the bank as caring about employee opinions, of the bank as a great place to work, and of the alignment. She learnt to see the bigger picture of organisational change.

Susan also transitioned in terms of her way of knowing as she realised she could choose how to react to change and that it was no longer 'out there' if she was creative in her own mind. This is a considerable transition from her being frustrated prior to the AI intervention by feeling subject to all of the branch rules. It would appear that Susan's transition in terms of her way of knowing helped to facilitate her transition regarding her opinion of the bank and of the alignment, particularly in light of her becoming willing to recognise the benefits of working in a branch which she admits to being unwilling to do prior to the AI intervention. She attributed her transition in terms of her way of knowing to the contexts of becoming aware of the viewpoints of others, the fact that top management had initiated the AI process and the positive attitude of the AI facilitator. Her positive expectations of the AI intervention due to the range of job roles involved may also have enabled her high level of transition.

Outcome Regularity No. 3: Transition in terms of the way of knowing can result in the participant's opinion of what is considered important being redefined and hence leading to effectively a transition in terms of new insight.

Outcome Regularity No. 4: Transition in terms of the participant learning he or she is able to choose how to react to change may require multiple during-AI contexts, for example contexts involving top management, the AI facilitator and the other participants.

Outcome Regularity No. 5: Optimism prior to the AI intervention about the AI process can lead to a higher degree of transition.

Medium Transition Cases

Maria entered the AI intervention experiencing survival anxiety in that she wanted to give better service to her clients. She was also feeling learning anxiety in that she felt it was difficult to give good service due to all the extra administrative work. She expressed some confidence that improvements could be made. During the AI intervention she transitioned in terms of new insight regarding the bank as caring about employee

opinions and regarding some aspects of the bank as a great place to work and of the alignment. She also learnt to see the bigger picture of organisational change. The during-AI contexts for these transitions in terms of new insight were becoming aware of the viewpoints of others and the interest shown by top management in the recommendations which emerged from the AI process. She experienced increased pleasantness throughout the transition processes.

Maria also learnt that she was able to adopt a positive attitude to change 'out there'. The context was the 'envisioning a positive future' activity where she learnt that small changes in attitude could make a large difference in adapting to an imposed organisational change. She was highly complimentary about the inputs from other participants and appeared very open to learn from them.

Outcome Regularity No. 6: Openness to experience—perhaps a trait independent from the AI process itself—may lead to a higher degree of transition.

Prior to the AI intervention, Allison was experiencing survival anxiety as she did not agree with the logic of the alignment and was stressed by the pressure from management and the constraints to being able to deliver good service to her clients. She was also experiencing learning anxiety in that she was unable to see where the combined division was heading. She was not confident of the integrity of top management in instigating the AI intervention. During the AI intervention she transitioned in terms of new insight regarding her opinion of the bank as caring about employee opinions and she learnt about the importance of participation in an organisational change intervention.

Allison also learnt that she was able to adopt a positive attitude to change 'out there'. The context was the 'envisioning a positive future' activity during which she experienced some discomfort in hearing the differing views of the other participants.

Allison was unable to attend the final—destiny—workshop as she was on maternity leave and consequently it is not possible to judge whether she would have transitioned more had she attended the workshop.

Low Transition Cases

Eddie was experiencing survival anxiety in that he was of the opinion that the status and dignity of his position had been lowered as a result of the alignment. He was also experiencing learning anxiety as he was of the opinion that changes would not be implemented as management was inclined towards micromanaging and did not listen to staff opinions. During the AI intervention he transitioned in terms of new insight only

regarding his opinion of the bank as caring about employee opinions. In general he remained highly critical of management and of the alignment throughout the AI process.

Eddie learnt that he was able to adopt a positive attitude to change 'out there' saying that he was "starting to look at things in a positive way even if the situation doesn't look positive" (P64: GH390.4d.docx, QU: 64.7) and commenting that it is difficult to focus on the positive when the environment is not improving. It was clear that Eddie still viewed himself very much as being captive of organisational change.

The least transitioning individual was Bernice. She entered the AI process feeling survival anxiety due to ongoing criticism from management and their lack of concern for employees. She was also experiencing learning anxiety in that she felt reliant on top management to solve the issues and she was not confident that they would make any changes. Whilst completing the pre-AI diary responses she realised, as a Branch Manager, the need to consider the feelings of her reports. However, during the AI intervention, her opinion of the bank as a great place to work actually worsened and she realised she could choose to leave the bank. When asked at the post-AI interview if she could choose how to react to change she sardonically replied "You can either fit in, accept it, deal [with] it and get on with the programme or you can leave" (P98: HJ400.6i.docx, QU: 98.72). Her view of the bank worsened as a result of the 'envisioning a positive future' activity during which she realised that the future would not be positive mainly due to her expectation that the number of staff members employed in the branches would continue to decrease.

Outcome Regularity No. 7: Despite its appreciative nature, an AI intervention can lead to increased negativity.

Bernice's transition with regard to her worsening opinion of the bank as a great place to work and her realisation that she could choose to leave the bank both occurred through the mechanism of critical reflection on assumptions. It is interesting that the only other individual to fully critically reflect on assumptions was Lala who, in distinct contrast to Bernice, was one of the most transitioning individuals. This might imply that the most extreme transition, be it positive or negative, occurs during an AI intervention when the participants experience a disorientating dilemma which causes them to critically reflect on their assumptions.

Ironically, the AI intervention made Bernice realise that the future was not looking positive and that she could choose to leave the bank. She entered the AI process

mistrusting the integrity of management and it is likely that her pivotal position as a Branch Manager made her particularly sensitive to the implications of thinking into the longer term future and realising that there would continually be pressure to further reduce staff numbers in the branches.

> *Outcome Regularity No. 8:* Critical reflection on assumptions can occur during an AI intervention and may lead to the most extreme transitions, positive or negative.

Transition by Management and Staff Sub-groups

Management Sub-group

Lala and Bernice were the only two individuals in management positions. Lala was an Area Manager overseeing a large number of branches and Bernice was a Branch Manager in a branch comprising of retail staff, Personal Relationship Bankers and Relationship Managers (Small Business Banking). Both Lala and Bernice were considerably impacted by the alignment which occurred in mid-2013. During the AI intervention process, Lala was one of the most transitioning individuals and Bernice was the only individual to transition negatively in terms of the intervention objectives.

Both Lala and Bernice transitioned in terms of realising the need to listen to their reports. This supported the earlier finding that management participating in an AI intervention may transition to learning to be a more participative manager, which was previously induced from Lala's data alone. For Lala, the context of this transition was the AI environment in which participants at multiple levels felt free to talk openly and for Bernice, the context was the completion of the pre-AI diary responses. Lala felt guilt during the transition and the mechanism was critical reflection on assumptions following the disorientating dilemma of realising that she had not previously considered the feelings of her reports. The affective response and mechanism for Bernice's transition in terms of realising the need to listen to reports was not apparent from the data.

In addition to learning to better listen to her reports, Lala also realised that she needed to be more assertive towards management above her and she also transitioned positively in respect of being able to put the alignment behind her. She also learnt to adopt a more positive attitude and her view of the bank as caring about employee opinions improved as did her overall view of the bank as a great place to work. Findings with respect to Lala's transition were discussed earlier under the high transition cases section.

In contrast to Lala's positive transition in regard to the bank as a great place to work, Bernice's opinion of the bank as a great place to work worsened and she experienced sadness when realising that her view of the future was not positive. She critically reflected on her future as an employee at the bank and realised she could choose to leave the bank.

Although the two individuals holding management positions were the only two to fully experience critical reflection on assumptions during the AI process, the circumstances appeared quite different for each. The safe environment of the AI workshops set the context for Lala to critically reflect on her role as a manager and Bernice's negative view of the future led her to critically reflect on her future as an employee at the bank.

Staff Sub-group

Susan, Maria, and Eddie were Personal Relationship Bankers (PRBs) and Allison was a Relationship Banker (Small Business Services). Both roles were impacted similarly by the mid-2013 alignment in that they had to report into the branch network management structure as opposed to their independent functional management structures. In the post-AI interview, Allison was of the opinion that the skills level of her role was generally higher than that of the Personal Relationship Banker role and hence she felt that her job was relatively secure at the bank.

Of the three PRBs, Susan was one of the overall most transitioning individuals, Maria represented an overall medium transitioning case and Eddie was overall low transitioning. It would therefore appear, at first sight, that there was no direct link between the role of PRBs and the degree of transition. Allison, as a Relationship Banker (Small Business Banking) represented an overall medium transitioning case.

Outcome Regularity No. 9: The degree of transition for participants, including for those in the same job role, may vary considerably.

Transition Themes

Each transition theme—or subject matter of a transition—will now be considered in more detail from a cross-case perspective.

The Bank as Caring

Five of the six individuals in this case study transitioned in terms of an improved view of the bank as caring about employee opinions. The focused configurations for transition regarding view of the bank as caring about employee opinions are shown in

Table 31.

Focused Configurations for Transition regarding View of the Bank as Caring about Employee Opinions

	Case					
Configuration component	**Lala**	**Bernice**	**Eddie**	**Maria**	**Susan**	**Allison**
Output pattern(s)	Improved opinion of bank as caring about the opinion of employees at all levels		Improved view of the bank as caring about employee opinions	Improved view of the bank as caring about employee opinions	Improved view of the bank as caring about employee opinions	Improved view of the bank as caring about employee opinions
	Increased pleasantness		Increased pleasantness	Increased pleasantness	Increased pleasantness	Increased pleasantness
Context(s)	The fact that top management had initiated the AI process		The fact that top management had initiated the AI process	The interest shown by top management in the recommendations from the AI process	The fact that top management had initiated the AI process	The AI process in its entirety in that it showed that top management were interested in how change could be better managed in future
Mechanism	Process reflection		Process reflection	Process reflection	Process reflection	Process reflection

Table 31. The context for all of the transitions was the fact that top management initiated the AI process or the interest shown by top management in the recommendations which emerged from the AI process. All five individuals experienced increased pleasantness during the transition and the mechanism for all five was process reflection in that they reflected on the AI process itself.

> *Outcome Regularity No. 10:* By initiating an AI intervention, top management can improve the perceptions of participants towards the organisation as one that cares about employee opinions. The mechanism for the transition is process reflection.

The only individual who did not transition in terms of an improved view of the bank as caring about employee opinions was Bernice. At the post-AI interview she expressed her concerns about the integrity of top management in instigating the AI process, feeling that it was a "wallpapering" exercise. This sceptical view, at the post-AI stage, of top management's intent regarding holding the AI process was not shared in any of the other cases.

Outcome Regularity No. 11: By initiating an AI intervention, top management can improve the perceptions of participants—other than those who mistrust top management's integrity in initiating the intervention—towards the organisation as one that cares about employee opinions.

The Bank as a Great Place to Work

In three of the six cases, the individuals transitioned towards an improved opinion of the bank as a great place to work. All three experienced increased pleasantness during the transition process and the mechanism for all three was content reflection. The context for their transition was becoming aware of the viewpoints of the other participants. One of the transitioning individuals, Lala, stated that an additional context for her transition was the holistic nature of the AI intervention in that it considered all aspects of the bank such as skills, values, and culture.

Outcome Regularity No. 12: Becoming aware of the viewpoints of others is an influential context for transition in terms of new insight.

Neither Eddie nor Allison transitioned towards an improved opinion of the bank as a great place to work despite their improved view of the bank as caring about employee opinions. It is unclear as to why Eddie did not transition but Allison said at the post-AI interview that she was not highly influenced by the viewpoints of the other participants as she could be quite dogmatic in her opinions. Allison's self-report of being dogmatic represents a pre-AI context as it is a pre-existing individual difference in a person variable.

Outcome Regularity No. 13: Behaving dogmatically—perhaps a trait independent from the AI process itself—can lead to individuals being less influenced by the viewpoints of others and thereby constraining their transition during an AI intervention.

One individual, Bernice, transitioned to a worsened view of the bank as a great place to work. The context for this unintended transition from the intervention was the 'envisioning a positive future' activity during the dream workshop when she was unable to imagine a positive future, particularly due to her expectation that branch staff numbers would continue to be reduced. She said that it was the first time she had tried to think of

Table 32.

Focused Configurations for Transition regarding Opinion of the Bank as a Great Place to Work

	Case					
Configuration component	**Lala**	**Bernice**	**Eddie**	**Maria**	**Susan**	**Allison**
Output pattern(s)	Opinion of the bank as a great place to work improved	Opinion of bank as a great place to work worsened		Improved overall opinion of the bank as a great place to work (except for workload and systems)	Opinion of the bank as a great place to work improved	
	Increased pleasantness	Sadness, anxiety		Increased pleasantness	Increased pleasantness	
Context(s)	Became aware of the viewpoints of others	The 'envisioning a positive future' activity		Became aware of the viewpoints of others	Became aware of the viewpoints of others	
	The holistic nature of the AI intervention					
Mechanism	Content reflection	Critical reflection on assumptions		Content reflection	Content reflection	

what might transpire at the bank so far into the future and she obviously did not like the image which came to her mind. The focused configurations for transition regarding opinion of the bank as a great place to work are shown in Table 32.

Outcome Regularity No. 14: The 'envisioning a positive future' activity may lead to a worsened view of the future if the future is perceived as threatening.

The Need to Adopt a More Participative Style of Management

Only two of the individuals, Lala and Bernice, were in management positions and hence had people reporting to them. The focused configurations for their transition regarding realising the need to adopt a more participative style of management are shown in Table 33. Both realised the need to adopt a more participative management style as a result of the AI intervention. The context for Lala's transition was the safe environment created by the AI intervention which enabled participants at multiple levels to speak openly. Lala felt guilty that she had not previously considered the feelings of her reports regarding the alignment and the mechanism was critical reflection on assumptions.

Table 33.

Focused Configurations for Transition regarding Realising the Need to Adopt a More Participative Style of Management

	Case					
Configuration component	**Lala**	**Bernice**	**Eddie**	**Maria**	**Susan**	**Allison**
Output pattern(s)	Realisation of need to adopt a more participative style of management	Realisation of need to adopt a more participative style of management				
	Feelings of guilt	Affective outcome pattern is not apparent from data				
Context(s)	An environment in which participants at multiple levels felt free to talk openly	Completing the pre-AI diary response form				
Mechanism	Critical reflection on assumptions	Mechanism is not apparent from data				

Interestingly, the context for Bernice's transition was the completion of the pre-AI diary responses which formed part of the research study process as distinct from the formal AI intervention process. Bernice's affective reaction to the transition and the transition mechanism were not clear from the data. Findings regarding transition in respect of the need to listen to reports were discussed earlier in the high transition cases section.

Opinion of the Alignment

Only Maria and Susan transitioned towards an improved opinion of the alignment as a result of the AI intervention. Maria acknowledged the benefits for the bank's clients and Susan acknowledged the benefits of being located in a branch. The context for both was becoming aware of the viewpoints of others and for Susan, the passage of time since the alignment was also an important context. Both individuals experienced increased pleasantness during the transition and the mechanism for both was content reflection.

Although Lala's opinion of the alignment did not improve as a result of the AI intervention, she did transition in terms of being able to put the alignment behind her. Allison and Eddie remained convinced throughout the AI intervention that the two businesses did not belong together. Rather than transition towards an improved opinion of the alignment, Bernice transitioned to realising that she could leave the bank. The

Table 34.

Focused Configurations for Transition regarding Opinion of the Alignment

	Case					
Configuration component	**Lala**	**Bernice**	**Eddie**	**Maria**	**Susan**	**Allison**
Output pattern(s)		Realised could choose to leave the bank		Improved opinion of the alignment re the benefit for clients (but not re the systems or the need for management to change)	Learnt to appreciate the benefits of being located in a branch	
		Sadness		Increased pleasantness	Increased pleasantness	
Context(s)		The 'envisioning a positive future' activity		Became aware of the viewpoints of others	Became aware of the viewpoints of others	
					The passage of time	
Mechanism		Critical reflection on assumptions		Content reflection	Content reflection	

focused configurations for transition regarding opinion of the alignment are shown in Table 34.

Learning to Look at Bigger Picture of Organisational Change

The planned objective of the AI intervention was to improve the views of the participants in terms of the bank as a great place to work and in terms of the earlier alignment. The only three individuals who either transitioned to an improved view of the bank as a great place to work or to an improved view of the alignment—Lala, Maria, and Susan—were also the only individuals who claimed to have learnt to look at the bigger picture of an organisational change. The during-AI context for Lala's transition regarding learning to look at the bigger picture of an organisational change, was the holistic content of the AI process, for Maria the during-AI context was becoming aware of the viewpoints of others, and for Susan the during-AI context was watching the video about seeing the positive in the world. All three individuals experienced increased pleasantness during the transition and the mechanism was content reflection. The focused configurations for transition regarding learning to look at the bigger picture of an organisational change are shown in Table 35.

> *Outcome Regularity No. 15:* Learning during an AI intervention to look at the bigger picture of an organisational change may lead to transition in respect of a specific objective of the intervention.

Table 35.

Focused Configurations for Transition regarding Learning to Look at the Bigger Picture of an Organisational Change

	Case					
Configuration component	**Lala**	**Bernice**	**Eddie**	**Maria**	**Susan**	**Allison**
Output pattern(s)	Learnt to look at bigger picture of an organisational change			Learnt to look at bigger picture of an organisational change	Learnt to look at bigger picture of an organisational change	
	Increased pleasantness			Increased pleasantness	Increased pleasantness	
Context(s)	The holistic content of the AI process			Became aware of the viewpoints of others	Watching the 'Seeing the Positive in the World' video	
Mechanism	Content reflection			Content reflection	Content reflection	

Learning about the Need for Participation in Organisational Change

Allison was the only individual who stated that she learnt the importance of employee participation in organisational change. The context for her transition was the fact that the content of the AI intervention was determined by the participants. She experienced increased pleasantness during the transition and the mechanism was process reflection. Allison's focused configuration for transition regarding realising the need for participation during an organisational change is shown in Table 36.

> *Outcome Regularity No. 16:* Learning during an AI intervention about the importance of employee participation in organisational change can occur through the mechanism of process reflection triggered by the during-AI context of the fact that the content of the AI intervention was determined by the participants.

Table 36.

Focused Configuration for Transition regarding Realising the Need for Participation during an Organisational Change

	Case					
Configuration component	**Lala**	**Bernice**	**Eddie**	**Maria**	**Susan**	**Allison**
Output pattern(s)						Learnt about the importance of participation in an organisational change intervention Increased pleasantness
Context(s)						The fact that the content of the AI process was determined by the participants
Mechanism						Process reflection

Learning Regarding the Ability to Choose how to React to Change

A transition in respect of learning that one can choose how to react to organisational change means that the change has moved from subject to object and is therefore a transition in terms of the way of knowing. The only individual who transitioned in terms of no longer seeing the organisational change as being 'out there' was Susan. Her statement prior to the AI intervention that she was frustrated by all the rulings was in contrast to her general comments about the change after the intervention such as: "I think I can definitely be creative with how I'm going to take that information" (P94: PP240.6i.docx, QU: 94.127). This illustrates how the change itself moved in her way of knowing from subject to object.

Susan attributed her transition to becoming aware of the viewpoints of other participants and to the influence of the facilitator. She also commented that it would be unfair if she did not try to be more positive given that top management had gone to such efforts to initiate the AI intervention in order to try to change things. It is interesting that she gave multiple contexts which relate to the other participants, the facilitator, and top

Table 37.

Focused Configuration for Transition regarding Learning about the Ability to Choose how to React to Change

	Case					
Configuration component	**Lala**	**Bernice**	**Eddie**	**Maria**	**Susan**	**Allison**
Output pattern(s)					Learnt could choose how to react to change	
					Increased pleasantness	
Context(s)					Became aware of the viewpoints of others	
					The fact that top management had initiated the AI process	
					The positive attitude of the facilitator	
Mechanism					Content reflection	

management as influencing this considerable transition. The finding that multiple contexts may be necessary to trigger transition in terms of the way of knowing was discussed in the earlier high transition cases section of this chapter in the thesis. Susan experienced increased pleasantness throughout the transition and the mechanism was content reflection. The focused configuration for Susan's transition regarding learning can choose how to react to change is shown in Table 37.

Four of the other five individuals did transition in terms of positive reinterpretation by learning to adopt a more positive attitude to change but all still viewed the change as being 'out there'. Bernice did not transition at all in terms of learning she could choose how to react to change or in terms of learning to adopt a more positive attitude to change 'out there'. Bernice's lack of transition was perhaps due to her mistrust in the integrity of top management in initiating the AI process as discussed in the earlier low transition cases section.

Table 38.

Focused Configuration for Transition regarding Realising the Need to be More Assertive towards Those Above

	Case					
Configuration component	**Lala**	**Bernice**	**Eddie**	**Maria**	**Susan**	**Allison**
Output pattern(s)	Realisation of need to be more assertive towards leadership above her Feelings of guilt					
Context(s)	An environment in which participants at multiple levels felt free to talk openly					
Mechanism	Critical reflection on assumptions					

Assertiveness Towards Those More Senior in the Management Hierarchy

A transition to intending to be more assertive towards those more senior in the management hierarchy is a movement to a new way of looking at the world in terms of change in the way of knowing as the claims of senior management have changed from subject to object. The only individual to transition in respect of realising the need to become more assertive towards leadership above her was Lala. The context was the safe environment created at the AI workshops in which the participants at multiple levels felt free to talk openly. As a senior manager, Lala realised the need to listen to the opinions of her reports and consequently also realised that she needed to adequately represent their opinions and her own opinions to top management. She felt guilty for not standing up to top management in the past and the mechanism was critical reflection on assumptions. The focused configuration for Lala's transition regarding realising the need to be more assertive towards those above is shown in Table 38.

Putting the Alignment in the Past

A transition to putting the alignment in the past is a movement to a new way of looking at the world in terms of the way of knowing as the alignment has changed from subject to object in the participant's way of knowing. The only individual to transition

Table 39.

Focused Configuration for Transition regarding Putting the Alignment in the Past

	Case					
Configuration component	**Lala**	**Bernice**	**Eddie**	**Maria**	**Susan**	**Allison**
Output pattern(s)	Being able to put the alignment behind her Increased pleasantness					
Context(s)	An environment in which she felt free to talk openly, even as a senior manager					
Mechanism	Content reflection					

regarding putting the alignment behind her was Lala. The context was an environment in which she felt free to talk openly. Although her diary responses showed that she had a negative opinion of the alignment at the first workshops, she was not observed voicing her negative opinion until the fourth workshop. As one of the most senior participants in the workshops her initial reluctance to voice opinions counter to those expected of senior management was understandable. Her eventual voicing of her opinions enabled her to obtain closure over the vexing matter of the alignment. She experienced increased pleasantness and the mechanism was content reflection. Table 39 contains the focused configuration for Lala's transition regarding putting the alignment in the past.

> *Outcome Regularity No. 17:* Management participating in an AI intervention may transition considerably due to the safe environment in which to voice their honest opinions. This may enable them to obtain closure on a previously vexing issue. However, it may take a number of workshops for them to feel safe to disclose negative opinions in front of more junior staff.

Positive Attitude towards Change 'Out There'

Four of the six individuals transitioned in terms of adopting a positive attitude towards change 'out there' which represents a transition in terms of positive

reinterpretation, where the perceiver strives to see something positively but still sees a single external reality.

> *Outcome Regularity No. 18:* Transition regarding adoption of a positive attitude towards change 'out there', can, and is quite likely to, occur during an AI intervention. This has been termed transition in terms of positive reinterpretation.

Maria transitioned in terms of positive reinterpretation in the context of the 'envisioning a positive future' activity; Allison transitioned in the context of the 'envisioning a positive future' activity and watching the *Seeing the Positive in the World* video; Eddie transitioned in the context of becoming aware of the viewpoints of others and watching the AI videos; and Lala transitioned in the context of the inclusion of individual responsibilities in the discussion of organisational change. It is interesting and perhaps not surprising, that the positivity-orientated activities such as 'envisioning a positive future' and *Seeing the Positive in the World* video were particularly influential contexts for transition in terms of positive reinterpretation.

> *Outcome Regularity No. 19:* Positivity-orientated activities such as the 'envisioning a positive future' activity or watching the *Seeing the Positive in the World* video may be influential contexts for transition in terms of positive reinterpretation.

All of the individuals transitioning in terms of positive reinterpretation—except Allison—experienced increased pleasantness and all except Allison undertook content reflection. Allison felt slightly uncomfortable during the 'envisioning a positive future' activity when other participants had differing viewpoints to her own.

Bernice did not transition at all in terms of learning to adopt a more positive attitude towards change 'out there'. Bernice's lack of transition was perhaps due to her mistrust in the integrity of top management in initiating the AI process. Susan transitioned in terms of realising she could choose how to react to change in that she no longer saw the change as being 'out there'.

Table 40 contains the focused configurations for transition regarding learning to adopt a positive attitude to change 'out there'.

Table 40.

Focused Configurations for Transition regarding Learning to Adopt a Positive Attitude to Change 'Out There'

	Case					
Configuration component	**Lala**	**Bernice**	**Eddie**	**Maria**	**Susan**	**Allison**
Output pattern(s)	Learnt she could adopt a positive attitude towards aspects of a change 'out there'		Learnt he could adopt a positive attitude towards aspects of a change 'out there'	Learnt she could adopt a positive attitude towards aspects of a change 'out there'		Learnt she could adopt a positive attitude towards aspects of a change 'out there'
	Increased pleasantness		Increased pleasantness	Increased pleasantness		Slightly out of 'comfort zone'
Context(s)	Inclusion of individual responsibities in discussion of organisational change		Became aware of the viewpoints of others	The 'envisioning a positive future' activity		The 'envisioning a positive future' activity
			Watching the AI videos			Watching the 'Seeing the Positive in the World' video
Mechanism	Content reflection		Content reflection	Content reflection		Some degree of critical reflection on assumptions

Pre-AI Contexts

All of the cases were selected on the basis that the individuals were experiencing high survival anxiety and high learning anxiety prior to the commencement of the AI intervention.

It is noteworthy that, despite the case selection criteria being the experiencing of high survival and high learning anxiety, two of the selected individuals, Lala and Bernice, held senior or middle level management positions.

> *Outcome Regularity No. 20:* Senior and middle managers may experience survival and learning anxiety regarding an organisational change.

Allison, Bernice and Eddie entered the AI process lacking confidence that top management would implement any recommended changes arising from the AI intervention. As discussed earlier in the high transition cases section, Susan entered the

process with optimism about the process because of the involvement of people from a mixture of job roles.

Outcome Regularity No. 21: Optimism about an AI intervention can be generated by including participants from a range of job roles.

During-AI Contexts

This section of the cross-case analysis considers which during-AI contexts triggered which mechanisms leading to which outcome patterns.

The Fact that Top Management Initiated the AI Process and/or Showed Interest in the Recommendations

The five individuals who transitioned in terms of their view of the bank as caring about the opinions of employees all stated that the context for their transition was either the fact that top management initiated the AI process or that top management listened to the recommendations from the AI process. As discussed earlier under the bank as caring section of this chapter in the thesis, this is meaningful as it implies that simply by initiating an AI process, top management can positively influence the opinions of employees towards the company.

Became Aware of the Viewpoint of Others

Of the total of 25 instances of transition amongst the six individuals, the during-AI context of 'becoming aware of the viewpoints of others' was given as the context in eight instances. This is the highest frequency amongst all of the during-AI contexts.

'Becoming aware of the viewpoints of others' was given as the context for transition six times where the transition was in terms of new insight and in four of these six instances it was the sole context given. It was given as the context for transition by one of the two individuals who transitioned in terms of the way of knowing and it was not the sole context given.

This context was given by all three of the individuals who transitioned towards an improved opinion of the bank as a great place to work and all three of these individuals embarked on content reflection during their transition. The context was also given by both of the individuals who transitioned to an improved opinion of the alignment and in both of these cases the mechanism was content reflection.

One of the three individuals who transitioned by learning to look at the bigger picture of an organisational change gave 'becoming aware of the viewpoints of others' as the context. The other individuals who transitioned under this category gave either

watching the video entitled *Seeing the Positive in the World* or 'the holistic nature of the AI intervention' as the context.

It would appear that 'becoming aware of the viewpoints of others' is an influential context for transition in terms of new insight as it led to transition regarding an improved opinion of the bank as a great place to work, an improved opinion of the alignment, and learning to look at the bigger picture of organisational change. It is interesting that 'becoming aware of the viewpoints of others' was only given by one of the four individuals who transitioned to learning to adopt a more positive attitude towards change 'out there' and even then was not the sole context given.

An Environment in which Participants at Multiple Levels Felt Free to Talk Openly

Only Lala gave 'an environment in which participants at multiple levels felt free to speak freely' or 'an environment in which she herself felt free to talk openly, even as a senior manager' as a context for her transition. This context triggered her transition in terms of new insight regarding realising the need to listen to reports and enabled her to transition in terms of the way of knowing regarding realising the need to be more assertive towards higher management and in being able to put the alignment behind her. An environment in which participants at multiple levels feel free to talk openly may lead to 'becoming aware of the viewpoints of others' being an influential context for transition. Neither 'an environment in which participants at multiple levels feel free to talk openly' nor 'becoming aware of the viewpoints of others' led to transition in terms of positive reinterpretation.

> *Outcome Regularity No. 22:* A safe environment in which participants at multiple levels feel free to talk openly may lead to 'becoming aware of the viewpoints of others' being an influential context for transition in terms of new insight or in terms of the way of knowing. However, a safe environment may not be sufficient on its own for transition in terms of positive reinterpretation.

The Fact that the Content of the AI Process was Determined by the Participants

Allison learnt about the importance of participation in an organisational change intervention in the context of the fact that the content of the AI process was determined by the participants and was based on their true and innermost feelings. It is perhaps the format of the AI process, in which the content comes almost entirely from the participants—as opposed to more of a lecture-type format—that contributes to enabling participants to feel free to talk openly.

Outcome Regularity No. 23: The perception of a safe environment in an AI intervention, which enables participants to talk freely, may be assisted by the fact that the content is largely determined by the participants.

'Envisioning the Positive Future' Activity

The 'envisioning a positive future' activity was given four times as a context for transition. Two of the four individuals who transitioned in terms of positive reinterpretation regarding realising they could adopt a positive attitude to change 'out there' gave it as a context for the transition. However, Bernice's opinion of the bank and the alignment actually worsened during this activity when, for the first time, she looked into the more distant future and realised the negative impact her expected reduction in branch numbers would have on her role as a Branch Manager.

Outcome Regularity No. 24: The 'envisioning a positive future' activity may lead to a worsened view of the future if the future is perceived as threatening. The perception of a threatening future can create a disorientating dilemma leading to critical reflection on assumptions.

Inclusion of Individual Responsibilities in Discussion of Organisational Change and the Holistic Nature of the Inquiry

The fact that there was a discussion around individual responsibilities regarding organisational change was given as a context for transition in only one instance and that was as the sole context for Lala in her transition in terms of positive reinterpretation regarding realising she could adopt a positive attitude to change 'out there'. Lala was also the only individual to give 'the holistic nature of the inquiry' as a context for a transition and this was as one of the contexts for her transition regarding moving towards an improved opinion of the bank. Perhaps, as a senior manager, Lala found these contexts more meaningful than did the other more junior individuals, but this may be a rather tenuous proposition.

Exposure to Seeing the Videos

Two videos were shown to the participants during the AI workshops. The first—shown at the discovery workshop and entitled *The Colour Changing Card Trick*—demonstrated that we see what we expect to see. The second—shown at the design workshop—was entitled *Seeing the Positive in the World* and demonstrated that we can see the positive if we want to.

Susan learnt to see the bigger picture of an organisational change and Alison learnt to adopt a positive attitude towards change by watching the *Seeing the Positive in the World* video. Eddie learnt to adopt a positive attitude towards change by watching both the AI videos. It is perhaps surprising that more individuals did not cite the videos as contexts for their transitions.

The Positive Attitude of the Facilitator

Susan identified 'the positive attitude of the facilitator' as one of the three contexts for her transitioning in terms of the way of knowing in terms of realising she could choose how to react to change. This was discussed in the high transition cases section.

Completing the Pre-AI Diary Response Form

Bernice was the only individual to have identified the completion of the pre-AI diary responses as a context for a transition. The activity, which was obviously not part of the formal AI intervention process, caused her to appreciate the need to consider the feelings of her reports. This realisation probably occurred whilst answering the diary prompt about her opinion of the alignment to which she responded with comments about the drop in morale of her staff and also whilst answering the question about examples of how the alignment caused her behaviour to change which she answered by listing the extensive daily demands on her staff. Bernice's unique role amongst the individuals as a Branch Manager may have contributed to the high impact that answering the pre-AI diary prompts had on her and although the mechanism was not apparent in the data, it is quite possible that her transition was accompanied by feelings of guilt and she underwent critical reflection on her assumptions.

> *Outcome Regularity No. 25:* A pre-AI diary response process can lead to transition.

Interestingly, Bernice was the only individual to suggest that perhaps the AI intervention was initiated by top management more to satisfy the research requirements of the researcher than by any desire of top management to improve the work situation. She may therefore have been more open to being influenced by the research-based questionnaire than by the AI process itself, as she doubted the integrity of the AI process.

The only other individual to transition in regard to realising the need to be a more participative manager was Lala, who was the only other manager. The context for Lala's transition was the environment in which participants at multiple levels felt free to talk openly. It would therefore appear that Bernice transitioned in regard to realising the need

to be a more participative manager simply by being asked to answer some written questions whereas Lala transitioned upon hearing the honest viewpoints of others.

The Passage of Time

Susan commented that the passage of time since the alignment had helped her to appreciate the benefits of being located in a branch. This context was obviously independent of the AI intervention. The other context for Susan for this transition was 'becoming aware of the viewpoints of others'. This transition was quite notable as, prior to the AI intervention, she adamantly stated that she hated working in a branch.

Outcome Regularity No. 26: Transition may occur during an AI intervention due to the passage of time, a context independent of the AI activities.

Mechanisms

Process Reflection

The mechanism for all five individuals who transitioned in terms of an improved opinion of the bank as caring about employee opinions was process reflection where they mainly reflected on the fact that top management had initiated the AI process. As discussed earlier in the bank as caring section, this shows that by instigating an AI process, top management can positively influence the morale of participating employees. Allison also embarked on process reflection when she transitioned in terms of learning about the importance of participation in an organisational change intervention. She reflected on the fact that the content of the AI process was largely determined by the participants.

The mechanism of process reflection was only apparent in the transitions in terms of new insight and was not utilised for any of the transitions in terms of the way of knowing or positive reinterpretation.

It is important to note that process reflection is interpreted here to include reflection on the change intervention process itself, whereas Kreber and Castleden (2009) defined process reflection more narrowly as questioning the effectiveness of one's own problem solving.

Outcome Regularity No. 27: Process reflection may not lead to transition in terms of the way of knowing or in terms of positive reinterpretation.

Content Reflection

Content reflection was a common mechanism for transition appearing in 13 of the 25 instances of transition. It was apparent in eight out of 18 instances of transition in terms of new insight, in two out of three instances of transition in terms of the way of knowing, and in three out of four instances of transition in terms of positive reinterpretation. In all 13 occurrences it was accompanied by increased pleasantness.

It is particularly interesting that content reflection, where the validity of one's beliefs or conceptions is not questioned (Mezirow, 1991; Kreber & Castleden, 2009), was quite frequently the mechanism for transition in terms of the way of knowing.

Outcome Regularity No. 28: Transition in terms of the way of knowing can occur through the mechanism of content reflection.

Critical Reflection on Assumptions

The two managers were the only two individuals to fully partake in critical reflection on assumptions during the AI process. Lala encountered a disorientating dilemma and experienced feelings of guilt in respect of her previous lack of concern about the opinions of her reports which also led her to realise that she needed to be more assertive towards management above her. Bernice experienced sadness when realising that the future would not be positive and critically reflected on her future as an employee at the bank. As discussed in the sections of this chapter on the degree of transition, these two cases were also the two most extreme in terms of the overall degree of transition. This is perhaps the expected result from the mechanism of critical reflection on assumptions.

Allison embarked on a degree of critical reflection when encountering viewpoints different to her own during the 'envisioning a positive future' activity. She felt slightly out of her comfort zone and acknowledged being fairly dogmatic in her own opinions.

Outcome Regularity No. 29: The most extreme degree of transition may occur for participants encountering a disorientating dilemma and embarking on critical reflection on assumptions during an AI intervention. This transition may be in the expected positive direction or in an unintended negative direction.

Feelings of Increased Pleasantness

Of the 25 instances of transition, 19 occurred with feelings of increased pleasantness, five occurred with feelings of guilt, sadness or slight discomfort, and in one instance, the affective response was not determined.

Outcome Regularity No. 30: Transition generally occurs with feelings of increased pleasantness during an AI intervention.

Lala encountered a disorientating dilemma and experienced feelings of guilt in respect of her previous lack of concern about the opinions of her reports and Bernice experienced sadness when realising that the future would not be positive. As discussed in the sections on the degree of transition—the extent to which the individuals transitioned in line with the planned objective of the AI intervention—these two cases were also the two most extreme in terms of the overall degree of transition.

Outcome Regularity No. 31: Participants who transition extremely during an AI intervention may experience increased discomfort during the process.

Of the 18 instances of transition in terms of new insight, 14 occurred with feelings of increased pleasantness. Of the three instances of transition in terms of the way of knowing, two occurred with feelings of increased pleasantness. Of the four instances of transition in terms of positive reinterpretation, three occurred with feelings of increased pleasantness. It is particularly interesting that transition in terms the way of knowing often occurs with feelings of increased pleasantness.

Outcome Regularity No. 32: Transition in terms of the way of knowing can occur, and generally does occur, with feelings of increased pleasantness during an AI intervention.

Allison embarked on a degree of critical reflection when encountering viewpoints different to her own during the ‘envisioning a positive future’ activity. She felt slightly out of her ‘comfort zone’ and acknowledged being fairly dogmatic in her own opinions. Her comments imply that her dogmatism is a trait independent from the AI process itself—rather than a state reached due to the influence of the AI intervention.

Outcome Regularity No. 33: Participants in an AI intervention who are dogmatic—perhaps a trait independent from the AI process itself—may

experience slight discomfort whilst encountering viewpoints different to their own.

Feelings of Participation

The feelings of participation are considered here for each individual, presented in order of their degree of transition, starting with the most transitioning individuals, Lala and Susan, and ending with the least transitioning individual, Bernice.

Lala found the AI process very participative, saying she and the other participants were able to say what they felt and were definitely heard. In the destiny workshop, even as one of the most senior managers present, she was openly critical of management above her and she transitioned through the AI process to learning to be more assertive towards top management. Lala attributed her transition to the safe environment created by the AI process.

Susan attributed her dramatic transition over the course of the AI process in respect of seeing the positive of working in a branch to becoming aware of the viewpoints of other participants. She was highly complimentary about the quality of inputs from the other participants. She said that the AI process was highly participative and that this was evidenced by the great care participants took at the destiny workshop to ensure that the recommendations to be presented to top management properly represented their views. Maria was also highly complimentary about the inputs from the other participants throughout the AI process and she said she learnt from the open and honest conversations. At the post-AI interview she said that she felt free to speak her mind and that the process was not at all manipulative.

Prior to the AI process Allison was not confident that changes would be made as she said that post the earlier alignment, requests had been escalated and nothing had happened. At the design phase she commented that she was pleased she was finally being heard and that her opinion did matter. At the post-AI interview she said that things had improved and she doubted that top management would make the same mistakes again regarding future implementation of organisational change. She explained that the AI process was different from previous discussion forums as the content was determined by the participants as opposed to following a lecture type format.

Outcome Regularity No. 34: The fact that the content of an AI intervention is largely determined by the participants can overcome the mistrust participants may feel towards top management's integrity in initiating an AI process.

Eddie listed 18 recommendations for change at the pre-AI stage and said that he was not confident any would be implemented as the management preference at the bank was for micro-managing as opposed to supporting and empowering people. Eddie did not make many contributions in the AI workshops and he remained somewhat critical of management in his diary responses and at the post-AI interview. However, his opinion of the bank as caring about employee opinions did improve and he stated that the AI process made him feel empowered and that it was not at all manipulative. At the pre-AI stage Bernice was also not confident that any changes would be made to solve her problems as she expected targets to be continually stretched. At the post-AI interview she rated the bank as "zero" in terms of it caring about employee opinions and said "to me it's like they're wallpapering. They haven't sorted out the rot behind the wall, they've just painted it white so it looks pretty" (P98: HJ400.6i.docx, QU: 98.43).

> *Outcome Regularity No. 35:* Mistrust in the integrity of management in initiating an AI process may act as a barrier to transition in general as it may inhibit participation and open-mindedness during the AI process.

Time-ordered Display

Miles and Huberman (1994) say that "it makes a lot of sense to create cross-case displays that take into account temporal sequences" (p. 200).

Most of the contexts identified by the individuals were not attributable to specific points in time during the AI process. Contexts such as 'becoming aware of the viewpoints of others', 'an environment in which participants at multiple levels felt free to talk openly', and the fact that the contents were determined by the participants, are during-AI contexts which are not attributable to a specific point in time.

The only during-AI contexts which were directly attributable to a point in time were the contexts which involved: (a) completing the pre-AI diary response form; (b) the inclusion of individual responsibilities in discussion of organisational change; (c) the 'envisioning a positive future' activity; and (d) exposure to the *Seeing the Positive in the World* video. The transitions associated with each of these contexts are shown in Table 41.

It is perhaps surprising that the individuals did not attribute more of their transitions to specific activities in the AI process and that some traditionally key AI activities were not identified as contexts for transition in any of the cases. For example, a key AI activity such as 'recalling positive experiences' was not mentioned in any of the

Table 41.

Transitions Associated with Contexts Attributable to Specific Points in Time

Time	Context	Case	Transition
Pre-AI	Completing the pre-AI diary response form	Bernice	Realisation of the need to adopt a more participative management style
Discovery workshop	Inclusion of individual responsibilities in discussion of organisational change	Lala	Realised she could adopt a positive attitude towards change 'out there'
Dream workshop	The 'envisioning a positive future' activity	Bernice	Opinion of bank as a great place to work worsened
		Maria	Realised she could adopt a positive attitude towards change 'out there'
		Allison	Realised she could adopt a positive attitude towards change 'out there'
Design workshop	Exposure to 'Seeing the Positive in the World' video	Susan	Learnt to see the bigger picture of an organisational change

cases as being a context for transition. The implication is perhaps that the general climate created by an AI intervention—which enables participants to become aware of the honest viewpoints of others due to the safe environment—are more influential than individual AI activities in isolation.

> *Outcome Regularity No. 36:* The general safe environment of an AI intervention can be a more influential context for transition than individual AI activities, such as, for example, recalling positive experiences.

Across-category Clustering

Miles and Huberman (1994) refer to looking for patterns between categories as "across-category clustering" (p. 181). It is of particular interest in this research to analyse whether the three types of cognitive outcome patterns characterising individual transitions —new insight, the way of knowing, and positive reinterpretation—bear any pattern of relationship with each other.

Susan's transition in terms of the way of knowing regarding learning she could choose how to react to change enabled her to redefine some of the situations she faced resulting from the alignment. For example, prior to the AI intervention she hated working in a branch and admitted that she had refused to see any of the potential benefits. However, once she had transitioned in terms of the way of knowing she was open to seeing the benefits of working in a branch. Transition in terms of the way of knowing which leads to the redefinition of perceived problems may explain why corresponding transitions in terms of new insight can occur without increased anxiety. If a perceived

problem, such as working in a branch, is no longer seen to be a problem because of a realisation that an alternative view can be chosen then the concepts of survival anxiety and learning anxiety in respect to a fixed reality 'out there' are no longer relevant.

> *Outcome Regularity No. 37*: Transition in terms of new insight may occur without increased anxiety if the transition occurs due to the participant's situation being redefined following his or her transition in terms of the way of knowing.

Lala's transition in terms of the way of knowing regarding becoming more assertive towards senior management was linked to her transition in terms of new insight regarding realising the need to be more participative as a manager. In order to support her reports she realised she needed to make senior management object instead of subject.

Although Allison, Eddie, and Maria transitioned in terms of positive reinterpretation regarding learning they could adopt a positive attitude towards change 'out there' they did not transition in terms of the way of knowing. Their degree of transition in terms of new insight varied quite considerably: Maria transitioned in four new insight transition themes; Allison transitioned in two new insight transition themes; and Eddie transitioned in one new insight transition theme. This demonstrates that transition in terms of positive reinterpretation regarding learning to adopt a positive attitude towards change 'out there' is not a sufficient condition for more than limited transition in terms of new insight.

> *Outcome Regularity No. 38:* Transition in terms of positive reinterpretation regarding adoption of a positive attitude to change 'out there' may not be a sufficient condition for more than limited transition in terms of new insight.

The only individual who did not transition in terms of the way of knowing or in terms of positive reinterpretation was Bernice and she was the only individual whose view of the bank as a great place to work worsened during the AI intervention. She was also the only individual who transitioned to realising she could choose to leave the bank. This may imply that without transition in terms of the way of knowing or in terms of positive reinterpretation, transition in terms of new insight during an AI intervention may be limited or even negative.

> *Outcome Regularity No. 39:* Transition in terms of new insight during an AI intervention may be limited or even negative if the participant has not transitioned in terms of the way of knowing or in terms of positive reinterpretation.

CHAPTER SIX: DISCUSSION

The purpose of the research was to build on the theory underlying AI as a form of dialogic OD aimed at transformational organisational change. The focus is on individual employees as participants in an AI intervention. The research utilises a form of theory-driven evaluation known as realist evaluation. Pawson and Tilley (2004) explain that a realist evaluation, rather than asking whether or not an entire programme works, asks instead "What works for whom in what circumstances and in what respects, and how?" (p. 2). The research aim was to build theory by using a deduced programme theory as a framework. The empirical stage of the research was broadly guided by the deduced programme theory. In line with the realist evaluation process for theory-building focused configurations were developed from the within-case analyses and outcome regularities were developed from the cross-case analysis.

This chapter considers the outcome regularities identified in the previous chapter in the light of the extant literature, as studied in Chapter Two of this thesis and as used to develop the deduced programme theory. Pawson and Tilley (1997) explain that "in order to understand the regularity, we must turn to theory. Most of the key areas in evaluation research have appropriate bodies of general theory to call upon" (p. 138). Using the structure of the deduced programme theory as a guide, the outcome regularities identified in this research are formed into groupings. The groupings are then compared with the body of available theoretical knowledge, to form abstract configurations.

The outcome regularities are formed into groupings based on whether they mainly pertain to: (a) types of cognitive outcome patterns; (b) during-AI contexts; (c) degree of transition—or the extent to which the individuals transitioned in line with the planned objective of the AI intervention; (d) pre-AI contexts; (e) mechanisms; or (f) affective outcome patterns. For each grouping of outcome regularities, the extent to which findings are supported by the extant literature, or extant literature is extended, or refuted, is considered. Based on this integrative appraisal of the findings in relation to the relevant literature, abstract configurations are developed. Pawson and Tilley (1997) refer to abstract configurations as representing "*middle-range* theory, of a kind abstract enough to underpin the development of a range of program types" (p. 116). They also describe abstract configurations as "a conduit between abstract concepts and real-world actions" (p. 124). Abstract configurations are therefore more broadly based and more theoretically meaningful configurations of contexts, mechanisms, and outcome patterns than those

contained in the outcome regularities which are the "raw material" of this chapter. The process results in three sets of middle-range theories being developed.

The first set of middle-range theories is developed from the outcome regularity groupings pertaining to the 'types of cognitive outcome patterns' and 'during-AI contexts'. The during-AI grouping is further sub-divided into 'generativity' and 'positivity-orientated activities'. These groupings and sub-groupings are developed—in two stages—into a set of middle-range theories regarding types of cognitive outcome patterns and the role of during-AI contexts. The theories are presented in the format of Bushe's (2013b) 'facets of generativity' model.

The second set of middle-range theories is developed from the outcome regularities which are associated with the 'degree of transition' and 'pre-AI contexts'. The pre-AI grouping is divided into three sub-groupings relating to: (a) the influence of participant personality traits on the degree of transition; (b) the influence of participant pre-AI attitude on the degree of transition; and (c) the transition paths for managers and the possible dissolving effect on power imbalances. The process results in a set of middle-range theories relating to the role of pre-AI contexts on the degree of transition under an AI intervention.

Similarly, the outcome regularities which mainly concern the 'mechanisms' and 'affective outcome patterns' lead to the emergence of three sub-groupings relating to: (a) transition without critical reflection on assumptions and with feelings of increased pleasantness; (b) the occurrence of critical reflection on assumptions with feelings of unpleasantness; and (c) the effect of initiating an AI intervention. These sub-groupings lead to the development of a third set of middle-range theories which relate to the affective outcome patterns and the role of reflective mechanisms on transition during an AI intervention.

The next higher level of abstraction covered in this study is at the level of an analytic framework which is described by Pawson and Tilley (1997) as a "way of seeing" or as a framework that "a researcher develops in order to aid the examination of a specific 'class of phenomenon'" (p. 122). The class of phenomenon of interest here is how employees experience and make sense of their transition throughout an AI intervention aimed at transformational organisational change. The general structure of the deduced programme theory—with the contexts split into pre-AI and during-AI contexts; the mechanisms as types of reflection, and the outcomes shown as cognitive, behavioural, and affective themes—represents an initial analytic framework. Following the

development of the abstract configurations, the deduced programme theory will be reviewed with the aim of producing a more appropriate and more comprehensive "way of seeing" AI interventions. The structure of the resulting revised programme theory can be considered as the main methodological contribution of this research.

Subsequent to the elaboration of the revised programme theory, some generative propositions are developed. The generative propositions are at the highest level of abstraction in this study and lie outside of the boundary of the analytic framework which focuses on AI types of OD interventions. Pawson and Tilley (1997) describe the generative proposition level of abstraction as "the power of the 'mechanism, context, outcome' framework to present *any program*" (p. 122). However, in this study, the generative propositions will be confined to programs relating to the general field of OD—as distinct from any social program. The generative propositions provide opportunities for further research.

This chapter also includes a discussion of the trustworthiness of the study.

Types of Cognitive Outcome Patterns and the Role of During-AI Contexts

The outcome regularity groupings relating mainly to the types of cognitive outcome patterns and the during-AI contexts are developed here into a set of middle-range theories.

Types of Cognitive Outcome Patterns

The first grouping of outcome regularities relates to the three identified types of cognitive outcome patterns characterising individual transitions. The types are conceptually independent and have been termed: transition in terms of new insight, transition in terms of the way of knowing, and transition in terms of positive reinterpretation. The relevant outcome regularities are shown in Table 42.

The classification of cognitive outcome patterns into three types builds on the deduced programme theory which contained the 'transition in terms of new insight' and 'transition in terms of the way of knowing' types by adding a third type which has been termed transition in terms of positive reinterpretation. The three types of cognitive outcome patterns represent a *classification scheme* of cognitive outcome patterns for employee transition under AI. Doty and Glick (1994) define classification schemes as "systems that categorize phenomena into mutually exclusive and exhaustive sets with a series of discrete decision rules" (p. 232).

Transition in terms of new insight is defined as where new insight is brought into the existing way of knowing resulting in a realisation that something not previously

Table 42.

The Outcome Regularities Relating to Types of Cognitive Outcome Patterns

Outcome Regularities relating to types of cognitive outcome patterns	
Number	Description
18	Transition regarding adoption of a positive attittude towards change 'out there', can, and is quite likely to, occur during an AI intervention. This has been termed transition in terms of positive reinterpretation.
3	Transition in terms of the way of knowing can result in the participant's opinion of what is considered important being redefined and hence leading to effectively a transition in terms of new insight.
39	Transition in terms of new insight during an AI intervention may be limited or even negative if the participant has not transitioned in terms of the way of knowing or in terms of positive reinterpretation.
38	Transition in terms of positive reinterpretation regarding adoption of a positive attitude to change 'out there' may not be a sufficient condition for more than limited transition in terms of new insight.
4	Transition in terms of the participant learning he or she is able to choose how to react to change may require multiple during-AI contexts, for example contexts involving top management, the AI facilitator and the other participants.

considered important is now important, or vice versa. The definition is drawn from Bushe and Kassam (2005).

Transition in terms of the way of knowing is defined as where what was subject now becomes object—where previously the individual was "had by it" (captive of it) to a place where the individual "has it" and can be in a relationship to it. The definition is drawn from Kegan's (2000) perspective of transformative learning.

An example of transition in terms of new insight is Lala saying that she feels better "knowing that someone out there cares" (P101: YY320.6i.docx, QU: 101.64). This is an insight which she did not have before but there is no change in her subject-object balance. Similarly, her learning to be more participative as a manager also represents transition in terms of new insight as she learnt about the feelings of the people who reported to her. She said that "I realised that the impact could have been worse on other people than I was impacted during that time" (P101: YY320.6i.docx, QU: 101.76).

An example of transition in terms of the way of knowing is Lala's realisation of the need to be more assertive towards management above her. She said that her behaviour "has changed toward leadership. I feel that I want to share my personal opinions" (P82:

YY320.5d.docx, QU: 82.15). In her mind, senior management changed from subject to object. Whereas before the AI intervention she was "had by" senior management, following the AI intervention she has realised that she can determine her relationship to them.

The identification in the study of instances where a participant strives to view something 'out there' more positively does not fit simply into the definitions of transition in terms of new insight or the way of knowing. In the field of transformational learning, Kegan (2000) differentiates between informational learning—in which *what* we know is changed—and transformative learning, in which *how* we know is changed. In an earlier work, Kegan (1994) describes coping as "directing one's energies to live better in the world as one constructs it, rather than directing one's energies to reconstructing it" (p. 256). It is not apparent that he classifies coping as an alternative type of learning to either informational learning or transformational learning. However, it is postulated here that an important and mutually exclusive type of cognitive outcome pattern, especially in relation to an appreciative inquiry, is 'adoption of a positive attitude towards change 'out there'' which, in Kegan's terminology, can be seen as a form of coping. Amiot, Terry, Jimmieson and Callan (2006) say that "coping has been defined as the person's behavioral and cognitive efforts to manage the internal and external demands of a troubled person-environment transaction (Folkman, 1984)" (p. 555).

Carver, Scheier, and Weintraub (1989) explain that there are two general types of coping:

> The first, termed *problem-focused coping*, is aimed at problem solving or doing something to alter the source of the stress. The second, termed *emotion-focused coping*, is aimed at reducing or managing the emotional distress that is associated with (or cued by) the situation. Although most stressors elicit both types of coping, problem-focused coping tends to predominate when people feel that something constructive can be done, whereas emotion-focused coping tends to predominate when people feel that the stressor is something that must be endured (Folkman & Lazarus, 1980). (p. 267)

The authors say that *positive reinterpretation*—or *positive reappraisal*—is a form of emotion-focused coping and that it is "aimed at managing distress emotions rather than dealing with the stressor per se" (p. 269). Hence, the adoption of a positive attitude towards change 'out there' can be seen as a form of positive reinterpretation and *positive*

reinterpretation is therefore a type of cognitive outcome pattern for employees under an AI intervention.

An example of transition in terms of positive reinterpretation is Lala saying "so we've got to be very positive in terms of change . . . . you are not necessarily going to have change that's going to be in your favour" (P101: YY320.6i.docx, QU: 101.94). Whilst Lala has learnt to be more positive about change she has not transitioned to the extent that change is now fully "object" for her. This can be contrasted with Susan's transition regarding change which involved a comprehensive movement in her subject-object balance and which therefore was in terms of a change in the way of knowing. Susan's transition is reflected in the following dialogue:

> *Researcher:* A change happened, let's take the alignment ... Do you think, if you take a positive attitude, you see that change differently?
>
> *Susan:* Definitely, yes.
>
> *Researcher:* But it's the same change, the same thing has physically happened.
>
> *Susan:* No, it's just depending how you see it in your mind.
>
> *Researcher:* Ok. So you can create your own reality, would you say?
>
> *Susan:* I don't think I can create my own reality, but I think I can definitely be creative with how I'm going to take that information.
>
> (P94: PP240.6i.docx, QU: 94.127)

In the field of AI, Bushe (2013b) talks of a generative process as producing both generative outcomes and generative capacity. He describes generative outcomes as the number of resulting new decisions and actions; and generative capacity as the extent to which individuals are primed to produce generative outcomes (p. 93). It is not clear, but it would appear that his level of analysis is the group of participants as distinct from individual participants. Nonetheless, there are similarities between generative outcomes and 'transition in terms of new insight' in that transition in terms of new insight occurs when something changes in its level of importance, which is similar to producing new decisions and actions. There are also similarities between generative capacity and transition in terms of the way of knowing in that the latter represents a change in the subject-object balance for a participant which can—as it has been shown—prime participants to redefine their situation.

It has been identified that transition in terms of new insight is likely to be limited if transition has not occurred in terms of either change in the way of knowing or positive reinterpretation. It has also been identified that transition in terms of positive

reinterpretation may not be a sufficient condition for more than limited transition in terms of new insight. The implication of these findings is that transition in terms of the way of knowing is a more influential form of generative capacity than transition in terms of positive reinterpretation. The importance of transition in terms of the way of knowing—which is very similar to gamma change—is also emphasised by Golembiewski et al. (1976) in saying:

> OD interventions are centrally involved with seeking change in the concepts of the quality of organizational life that should and can exist, and far less concerned with raising the level of relatively stable parameters or dimensions. Thus gamma changes—not alpha—are the prime intended effects of such interventions.
>
> (p. 143)

The findings in relation to types of cognitive outcome patterns can be summarised in the format of abstract configurations as follows:

> *Abstract Configuration No. 1:* Transition to a new way of looking at the world under an AI intervention can occur in terms of new insight, the way of knowing, or positive reinterpretation. The different types of transition for an individual may be inter-related.
>
> > *Abstract Configuration No. 1.1:* Transition in terms of new insight may be limited, or even negative, unless there is either transition in terms of the way of knowing or in terms of positive reinterpretation.
> >
> > *Abstract Configuration No. 1.2:* Transition in terms of the way of knowing can result in what is considered important being redefined, leading effectively to a transition in terms of new insight.
> >
> > *Abstract Configuration No. 1.3:* Transition in terms of positive reinterpretation may not be a sufficient condition for more than limited transition in terms of new insight.

These abstract configurations can be demonstrated in the style of Bushe's (2013b) facets of generativity model, to show that a generative AI process can result in: (a) limited transition in terms of new insight unless there is either transition in terms of the way of knowing or in terms of positive reinterpretation; (b) transition in terms of the way of knowing which in turn can result in transition in terms of new insight; and/or (c) transition in terms of positive reinterpretation which may in turn result in only limited transition

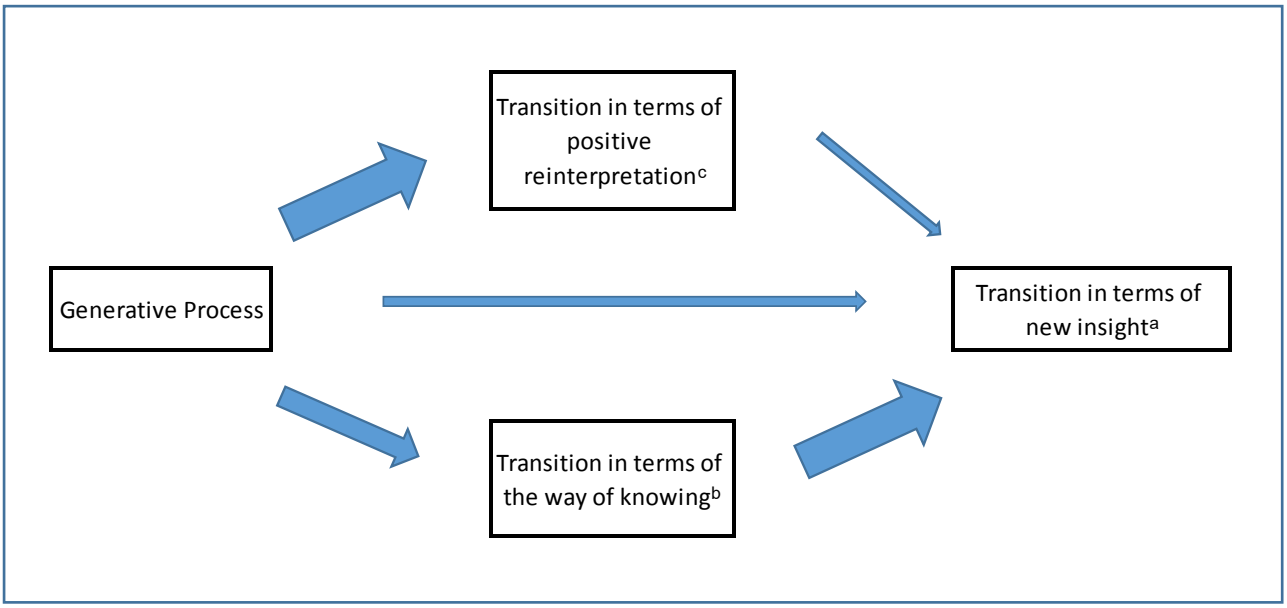


Figure 19: The abstract configurations relating to types of cognitive outcome patterns shown in the format of Bushe's (2013b) facets of generativity model. All three types of cognitive outcome patterns are at the level of the individual as unit of analysis. The thickness of the arrows gives an indication of the relative likelihood of occurrence.

[a]As drawn from Bushe and Kassam (2005), transition in terms of new insight is defined as 'where new insight is brought into the existing way of knowing resulting in a realisation that something not previously considered important is now important, or vice versa'.

[b]Transition in terms of the way of knowing is defined as 'where what was subject now becomes object—where previously the individual was "had by it" (captive of it) to where the individual "has it" and can be in a relationship to it. (Kegan, 2000).

[c] Transition in terms of positive reinterpretation is defined as 'the adoption of a positive attitude towards change 'out there'.

in terms of new insight. The abstract configurations relating to the types of cognitive outcome patterns are shown graphically in Figure 19.

The identification in this study of the three, clearly defined and conceptually independent types of cognitive outcome patterns together with their relationships adds clarity and depth to Bushe's (2013b) model of generativity. The developed model shows that the most influential way to achieve transition in terms of new insight is by achieving transition in terms of the way of knowing—where the participant's subject-object balance is changed. The 'generative process' aspect of the model will be considered in more detail in the during-AI context grouping of outcome regularities in the following section of this chapter and the 'facets of generativity' model will be further expanded upon.

During-AI Contexts

The ways of doing an inquiry consist of the during-AI contexts. The groupings of outcome regularities in this section mainly relate to the possible relationships between the different aspects and activities of the during-AI contexts; and the type of cognitive outcome patterns. The during-AI contexts are at the level of the intervention and relate to Bushe's (2013b) concept of a 'generative process' which he describes as the extent to which an intervention increases generative capacity and/or generative outcomes. Cooperrider (2013) defines generativity as "ways of doing inquiry that opens our future to new possibilities" (p. 6).

AI is described by Cooperrider and Whitney (2001) as an organisational change process which involves focusing on searching for the "best in people, their organizations, and the relevant world around them" (p. 3). During-AI contexts such as 'recalling positive experiences' and 'envisioning a positive future' clearly form part of this focus on positivity. The extent to which positivity plays a role in the generativity of an AI intervention is a matter of contention in the AI literature and the findings here shed some light on this debate.

The first sub-grouping in this section of outcome regularities relates to the concept of generativity. The grouping is shown in Table 43. The sub-grouping implies that generativity in an AI intervention, in respect to transition in terms of new insight or in terms of the way of knowing, primarily arises from the general provision of psychological safety.

The finding that the general safe environment of an AI intervention can be a more influential context for transition than individual AI activities as well as the finding that the perception of a safe environment may be result from the content of the AI workshops being largely determined by the participants, is supported by Schein's (1996) proposition that AI provides psychological safety. However, Schein (1996) argues that the early stage focus on the positive creates a safe environment which makes it easier for problem areas to be discussed later in the intervention, whereas in this study, none of the individuals mentioned the 'recalling a positive experience' activity as a context for transition. The novel finding in this study is that contexts such as 'the content of an AI intervention being largely self-determined by the participants' provide psychological safety throughout the intervention process. This enables participants to talk freely and leads to 'becoming aware of the viewpoints of others' being an influential context for transition.

Table 43.

The Outcome Regularities Relating to Generativity

Outcome Regularities relating to the generativity of an AI intervention	
Number	Description
36	The general safe environment of an AI intervention can be a more influential context for transition than individual AI activities, such as, for example, recalling positive experiences.
23	The perception of a safe environment in an AI intervention, which enables participants to talk freely, may be assisted by the fact that the content is largely determined by the participants.
12	Becoming aware of the viewpoints of others is an influential context for transition in terms of new insight.
22	A safe environment in which participants at multiple levels feel free to talk openly may lead to 'becoming aware of the viewpoints of others' being an influential context for transition in terms of new insight or in terms of the way of knowing. However, a safe environment may not be sufficient on its own for transition in terms of positive reinterpretation.

Abstract Configuration No. 2: The generativity of an AI intervention, in respect to transition in terms of new insight or in terms of the way of knowing, arises primarily from the safe environment which provides psychological safety.

Abstract Configuration No. 2.1: The largely self-determined content of an AI intervention provides psychological safety throughout the intervention process. This enables participants to talk freely and leads to 'becoming aware of the viewpoints of others' being an influential context for transition.

However, the finding that 'becoming aware of the viewpoints of others' may not be sufficient on its own for transition in terms of positive reinterpretation implies that a safe environment may not be the most influential factor for transition in terms of positive reinterpretation.

The second sub-group of outcome regularities relates to the during-AI positivity-orientated activities such as the 'envisioning a positive future' activity or watching the *Seeing the Positive in the World* video. The sub-grouping is shown in Table 44. The

Table 44.

The Outcome Regularities Relating to the Positivity-orientated Activities

Outcome Regularities relating to the role of positivity-orientated activities in an AI intervention	
Number	Description
19	Positivity orientated activities such as the 'envisioning a positive future' activity or watching the 'Seeing the Positive in the World' video may be influential contexts for transition in terms of positive reinterpretation.
38	[a]Transition in terms of positive reinterpretation regarding adoption of a positive attitude to change 'out there' may not be a sufficient condition for more than limited transition in terms of new insight.

[a]Outcome regularity No. 38 also appears as an outcome regularity relating to the types of cognitive outcome patterns.

grouping implies that the positivity-orientated activities may be influential contexts for transition in terms of positive reinterpretation.

It appears that, whereas the context of a safe environment—rather than the context of positivity-orientated activities—may be important for transition in terms of new insight and in terms of the way of knowing; positivity-orientated activities—rather than a safe environment—are important for transition in terms of positive reinterpretation. This is a novel finding.

> *Abstract Configuration No. 3:* Generativity in respect to transition in terms of positive reinterpretation arises primarily from the during-AI context of positivity-orientated activities in an AI intervention.

The influential role of positivity-orientated activities on transition in terms of positive reinterpretation is perhaps understandable given that transition in terms of positive reinterpretation reflects the participant striving to see something 'out there' more positively.

The importance of the finding that a safe environment is more influential than positivity-orientated activities for transition in terms of new insight and in terms of the way of knowing is elevated due to the earlier proposition regarding the inter-relationships among the types of cognitive outcome patterns. Given that transition in terms of positive reinterpretation may not be a sufficient condition for more than limited transition in terms of new insight, the implication is that, whilst positivity-orientated activities may be

influential for transition in terms of positive reinterpretation, there may be little transition in terms of new insight as a result.

> *Abstract Configuration No. 4:* Whilst positivity-orientated activities may be influential for transition in terms of positive reinterpretation, there may be little transition in terms of new insight as a result.

The abstract configurations in this study which relate to the role of a safe environment and/or the role of positivity-orientated activities neglect the possibility that positivity-orientated activities may contribute to a safe environment. The influence of positivity-orientated activities on establishing a safe environment is beyond the scope of this study. Nevertheless, an AI intervention which includes positivity-orientated activities but which does not create a safe environment is unlikely to result in more than limited transition in terms of new insight or in terms of the way of knowing.

> *Abstract Configuration No. 5:* An AI intervention which includes positivity-orientated activities but which does not create a safe environment is unlikely to result in more than limited transition in terms of new insight or in terms of the way of knowing.

Summary of Types of Cognitive Outcome Patterns and the Role of During-AI Contexts

Building on the model developed in the section of this chapter concerning types of cognitive outcome patterns, the abstract configurations relating to generativity and positivity-orientated activities are illustrated in Figure 20. The model shows that the most influential factor determining transition under an AI intervention is the creation of a safe environment which can lead to transition in terms of the way of knowing—equivalent to Bushe's (2013b) concept of generativity capacity—which in turn can result in a participant's situation in terms of what is important being redefined.

The model also illustrates that unless positivity-orientated activities create a safe environment, they are, by themselves, unlikely to result in more than limited transition of types other than in terms of positive reinterpretation, which, it can be seen, has little influence on transition in terms of new insight. This finding is supported by Bushe's (2013b) assertion that "positive emotions are not in themselves sufficient for transformational change" (pp. 90–91) and extends his assertion by explaining the role of

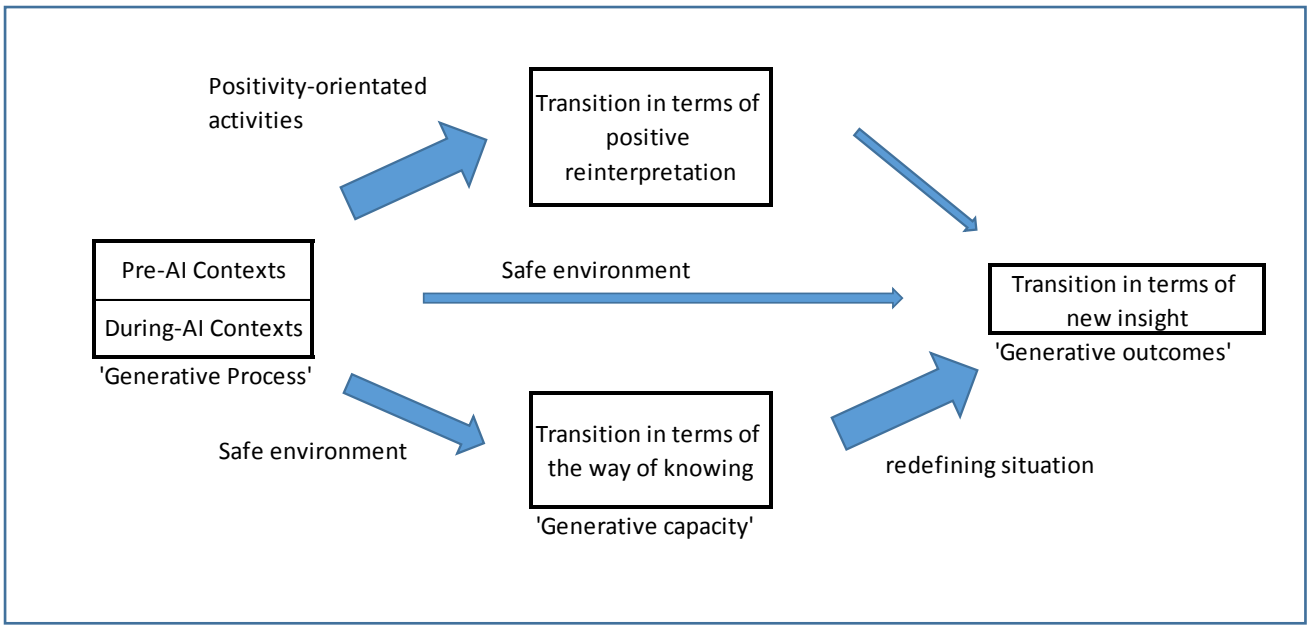


Figure 20: The abstract configurations relating to types of cognitive outcome patterns and generativity and positivity-orientated activities; displayed in the format of Bushe's (2013b) facets of generativity model. All three types of cognitive outcome patterns and the pre-AI contexts are at the level of the individual as unit of analysis. The during-AI contexts are at the level of the intervention. The thickness of the arrows gives an indication of the relative likelihood of occurrence.

positivity-orientated activities in terms of different types of cognitive outcome patterns. The model also demonstrates that the provision of a safe environment without the positivity-orientated activities is unlikely to result in transition in terms of positive reinterpretation.

The Role of Pre-AI Contexts on the Degree of Transition

The outcome regularity groupings relating mainly to the degree of transition and the pre-AI contexts are developed here into the second set of middle-range theories.

Degree of Transition

The outcome regularities relating to the degree of transition—or the extent to which participants transition in line with the planned objective of an AI intervention—show that the degree of transition may vary considerably, including between those in the same job role. The outcome regularities in this grouping are shown in Table 45.

Table 45.

The Outcome Regularities Relating to Degree of Transition

Outcome Regularities relating to degree of transition	
Number	Description
9	The degree of transition for participants, including for those in the same job role, may vary significantly.
7	Despite its appreciative nature, an AI intervention can lead to increased negativity.

The finding that the degree of transition for participants may vary considerably conforms to the interpretivist paradigm which underlies AI and dialogic OD. The interpretivist paradigm sees the organisation as consisting of socially-constructed shared meaning structures. It can be likened to Morgan's (1998) *organisations-as-cultures* metaphor which assumes "a process of reality construction that allows people to see and understand particular events, actions, objects, utterances, or situations in distinctive ways" (p. 132).

The study does however highlight the extent to which transition can vary between participants, particularly in that it identifies that transition can occur in the opposite direction to that intended in the objective of the intervention. The researcher is not aware of any published studies identifying such an unintended negative outcome of an AI intervention. In their metacase analysis of AI, Bushe and Kassam (2005) note that all the cases reviewed were considered by their authors to be successful examples of AI and they comment: "This is not surprising. The fact that almost all published cases of organizational change are success stories, and the reasons for this, has been discussed in the past (Mirvis & Berg, 1977)" (p. 171). By identifying an unintended negative outcome of an AI intervention, albeit at the level of the individual, the study adds to the current literature.

Although the observation that the degree of transition may vary considerably among participants in an AI intervention was an expected finding, a major interest underlying the study is the identification of the contexts and mechanisms which may influence such variation. The following section on the groupings of outcome regularities pertaining to pre-AI contexts helps to clarify some of the possible contextual factors

which may influence the degree of transition. Later sections will provide more detail on the mechanisms which are triggered during an AI intervention.

In summary, the abstract configurations directly relating to degrees of transition are as follows:

Abstract Configuration No. 6: The degree of transition for participants, including those in the same job role, may vary considerably.

Abstract Configuration No. 6.1: Despite its appreciative nature, an AI intervention can lead to increased negativity.

Pre-AI Contexts

The pre-AI grouping is divided into three sub-groupings relating to: (a) the influence of participant personality traits on the degree of transition; (b) the influence of participant pre-AI attitude on the degree of transition; and (c) the transition paths for managers and the possible dissolving effect on power imbalances.

The influence of participant personality traits on the degree of transition. This grouping of outcome regularities relates to the pre-AI context category in the deduced programme theory and concerns certain behaviours by the participants which are considered here to be stable intrapersonal traits—as distinct from states reached due to the AI intervention. The grouping is shown in Table 46. The grouping shows that certain participant personality traits, such as dogmatism and openness to experience, can influence the degree of transition—the extent to which participants transition in line with the planned objective of an AI intervention. Participant personality traits form part of the pre-AI contexts and are independent from the AI intervention process.

Oreg (2003) refers to dogmatic individuals as being characterised by "rigidity and closed-mindedness" (p. 681). He observes that some of the researchers who have examined the cognitive processes which underlie responses to organisational change have suggested that the trait of dogmatism might predict an individual's approach to change but mentions other research that failed to find support for this hypothesis. Based on his own range of studies, Oreg (2003) argues that dogmatism predicts the disinclination to initiate voluntary changes but does not predict reactions to imposed change.

Abstract Configuration No. 7: Participant personality traits, such as dogmatism, can negatively influence the degree of transition under AI.

Table 46.

The Outcome Regularities Relating to Participant Personality Traits

Outcome Regularities relating to participant character traits	
Number	Description
13	Behaving dogmatically–perhaps a trait independent from the AI process itself–can lead to individuals being less influenced by the viewpoints of others and thereby constraining their transition during an AI intervention.
6	Openness to experience–perhaps a trait independent from the AI process itself–may lead to a higher degree of transition.

Oreg et al. (2011) include *openness to experience* in a list of antecedents of change recipient reactions to change. Vakola, Tsaousis, and Nikolaou (2004) find that the personality characteristic of openness to experience forms part of "the profile of the 'positive to organisational change' employee" (p. 103). Their study utilised a self-report measure of attitudes to organisational change in general, as distinct from measuring an attitude towards a specific instance or type of organisational change intervention. Judge, Thoreson, Pucik, and Welbourne (1999) find that openness to experience is correlated to self-reported measures of coping with change and say that "given the tendencies of individuals high on openness to be tolerant and inquisitive when confronted with novel situations . . . they should be less likely to perceive change as stressful, and cope more effectively with organizational change" (p. 110). The finding in this study extends extant literature to show that openness to experience may influence the degree of transition under an AI intervention.

Abstract Configuration No.8: Participant personality traits, such as openness to experience, can positively influence the degree of transition under AI.

The influence of participant pre-AI attitude on the degree of transition. This grouping of outcome regularities relates to participant pre-AI attitudes as shown in Table 47. The grouping shows that certain participant pre-AI attitudes, such as mistrust in the integrity of senior management in initiating the AI process and optimism about the AI intervention, can influence the degree of transition under an AI intervention.

Table 47.

The Outcome Regularities Relating to Pre-AI Attitude

Outcome Regularities relating to pre-AI attitude	
Number	Description
35	Mistrust in the integrity of senior management in initiating an AI process may act as a barrier to transition in general as it may inhibit participation and open-mindedness during the AI process.
5	Optimism prior to the AI intervention about the AI process can lead to a higher degree of transition.
21	Optimism about an AI intervention can be generated by including participants from a range of job roles.

The two pre-AI attitudes of interest in this study—mistrust in the integrity of senior management and optimism about the AI process—are obviously not independent of each other since, for example, there is unlikely to be optimism about the process if there is mistrust in senior management.

Pre-AI mistrust in senior management. Based on their review of 60 years of studies into change recipients' reactions to organisational change, Oreg et al. (2011) conclude that "overall, the factor that yielded perhaps the most consistent and strongest relationship (i.e. strongest effect size) with change reactions is the extent to which change recipients trust management" (p. 490). Hence, the finding that pre-AI mistrust in senior management negatively influences the degree of transition under an AI intervention is consistent with general organisational change literature. However, although the finding is in line with current literature in the general field of organisational change, it extends the postulated relationship between mistrust in management and degree of transition into the field of AI.

> *Abstract Configuration No. 9:* Participant pre-AI attitude can negatively influence the degree of transition under AI. For example, the commonly held assumption in the general field of organisational development that pre-intervention mistrust in senior management negatively influences the degree of transition, also applies under an AI intervention.

Pre-AI optimism about the AI process. Although Oreg et al. (2011) list optimism as a variable which influences change recipient reactions to organisational change, they refer to it as a personality trait as distinct from the construct of interest here, which refers

to optimism about a specific intervention process. Oreg et al. (2011) also identify participation as an important antecedent to change recipient reactions where participation is defined as "the degree to which change recipients were involved in the planning and implementing the change" (p. 491). This is not the same as optimism about a specific upcoming change process. The researcher is unaware of 'optimism about a specific change process' having been identified as an antecedent for change recipient reaction to organisational change in the existing literature.

> *Abstract Configuration No. 10:* Participant pre-AI attitude can positively influence the degree of transition under AI. For example, pre-AI optimism about a specific AI intervention process positively influences the degree of transition under AI.

If the optimism about a specific change process is due to becoming aware that the process includes participants from a range of job roles, then the construct may well be similar to what Powley et al. (2004) refer to as *perceptions of procedural justice* where "procedural justice refers to the degree to which decision processes are judged to be fair" (p. 68). They further report that perceptions of procedural justice lead to higher degrees of trust. A subsidiary abstract configuration is that perceptions of procedural justice—a form of pre-AI optimism—can be generated by making participants aware in advance that the participants are drawn from a range of job roles.

> *Abstract Configuration No. 10.1:* Perceptions of procedural justice—a form of pre-AI optimism about an AI intervention process—can be generated by making participants aware in advance that the participants are drawn from a range of job roles.

Manager Transition Paths and the Possible Dissolving Effect on Power Imbalances. This grouping of outcome regularities relates to the pre-AI context category in the deduced programme theory and concerns the transition path for managers as distinct from the transition path for other members of staff. The grouping is shown in Table 48. The job role of participants is a pre-AI context independent from the AI intervention. The grouping implies that the transition path for managers may be different from the transition path for other members of staff and that this may serve to dissolve power imbalances.

Table 48.

The Outcome Regularities Relating to the Transition Path for Managers

Outcome Regularities relating to the transition path for managers	
Number	Description
1	Managers participating in an AI intervention may transition towards adopting a more participative management style and may also transition to becoming more assertive towards higher management.
2	Managers participating in an AI intervention may transition due to their presence in an environment in which more junior staff members feel safe to voice their honest opinions. The experience can cause a disorientating dilemma for managers leading them to critically reflect on their assumptions.
17	Management participating in an AI intervention may transition considerably due to the safe environment in which to voice their honest opinions. This may enable them to obtain closure on a previously vexing issue. However, it may take a number of workshops for them to feel safe to disclose negative opinions in front of more junior staff.
20	Senior and middle managers may experience survival and learning anxiety regarding an organisational change.

The finding that managers may learn to become more participative managers due to their involvement in an AI intervention and that this in turn may lead them to become more assertive towards senior management appears to be a novel contribution to AI literature. The AI literature does however contain references to AI breaking down organisational barriers between levels. For example, Powley et al. (2004), in a paper discussing *dialogic democracy* in an AI Summit, note that such a summit:

> Creates a space in which the structure of typical organization hierarchy and command and control decision-making are temporarily suspended. Within this space, a type of liminal space, organization members develop more personal, enduring relationships based on the mutual discovery of aspirations across organizational boundaries, functions, and levels. (p. 74)

Similarly, Whitney and Trosten-Bloom (2010) conclude that "appreciative inquiry gives people the experience of personal and collective power" (p. 266).

The effect of managers transitioning during an AI intervention towards becoming both more participative and more assertive may lead to the dissolving of power imbalances. The study therefore provides evidence that counters Fineman's (2006) criticism of AI that it is "obscuring rather than dissolving power imbalances" (p. 282) and negates related suggestions implied by authors such as Fitzgerald et al. (2010) and

Grant and Humphries (2006) that AI interventions should include planned *critical inquiries* into areas such as power relationships.

> *Abstract Configuration No. 11:* The transition path for managers may be different from the transition path for other members of staff and can serve to dissolve power imbalances.

The finding that the transition of managers towards learning to be more participative and more assertive may be accompanied by critical reflection on assumptions is discussed further in this chapter in the section concerning the occurrence of critical reflection. Similarly, the finding that managers entering the AI process were experiencing survival and learning anxiety is discussed later in this chapter in the section concerning generative propositions.

Summary of Role of Pre-AI Contexts on the Degree of Transition

The abstract configurations regarding degree of transition and the role of pre-AI contexts represent a second set of middle-range theories. This set of middle-range theories relate to the role of pre-AI contexts on the degree of transition under an AI intervention.

The following pre-AI contexts may be influential regarding the degree of participant transition:

- Pre-AI attitudes such as mistrust in senior management can negatively influence the degree of transition under an AI intervention. However, the fact that the content of an AI intervention is largely determined by the participants can, in some instances, overcome participant mistrust in top management.
- Pre-AI optimism about the specific AI intervention process positively influences the degree of transition under AI. Perceptions of procedural justice—a form of pre-AI optimism—can be generated by making participants aware in advance that the participants are drawn from a range of job roles.
- Pre-AI personality traits such as dogmatism can negatively influence the degree of participant transition under an AI intervention whereas pre-AI personality traits such as openness to experience can positively influence the degree of participant transition under an AI intervention.
- The transition path for managers may be different from the transition path for staff and can serve to dissolve power imbalances.

The Affective Outcome Patterns and the Role of Reflective Mechanisms on Transition

The outcome regularity groupings relating mainly to the mechanisms and the affective outcome patterns are developed here into the third set of middle-range theories.

Transition without Critical Reflection on Assumptions and with Increased Pleasantness

This grouping of outcome regularities relates to the content reflection and process reflection mechanisms of the deduced programme theory. The grouping is shown in Table 49. The grouping implies that transition under an AI intervention can, and generally does, occur without the mechanism of critical reflection on assumptions and with the affective outcome pattern of increased pleasantness.

The finding that transition can occur under an AI intervention with feelings of increased pleasantness is supported by Bushe and Kassam's (2005) message that "AI theorists argue that sentiments like hope, excitement, inspiration, camaraderie, and joy are central to the change process" (p. 167). It is also supported by Wood's (2007) finding that transformation under an AI intervention may include positive feelings. However, Wood (2007) considered transformation as a single entity whereas the study here considers each of the transition themes—the subject matter of the transitions—separately and thereby gives a more granular insight into participant affective reactions.

The finding extends the observations in empirical studies that participants experience pleasantness during the early stages of an AI intervention (Lilja & Richardsson, 2015; Sekerka et al., 2006; Sekerka et al., 2009), to show that participants can experience pleasantness throughout an AI intervention. The finding also appears to be supported by Oreg et al.'s (2011) contention that increased levels of participation and communication in an organisational change intervention leads to reduced levels of anxiety, to the extent that it shows that anxiety is not only reduced—apparently by means of the participative nature of an AI intervention—but can be eliminated. The finding that transition can occur under AI with increased pleasantness refutes current literature in the field of OD claiming that change inevitably and necessarily is accompanied by feelings of discomfort. Hence, the commonly assumed transition path for participants in organisational change, involving loss in morale and increase in anxiety, need not necessarily apply in the case of an AI intervention.

Table 49.

The Outcome Regularities Relating to Transition without Critical Reflection on Assumptions

Outcome Regularities relating to transition without critical reflection on assumptions	
Number	Description
28	Transition in terms of the way of knowing can occur through the mechanism of content reflection.
32	Transition in terms of the way of knowing can occur, and generally does occur, with feelings of increased pleasantness during an AI intervention.
30	Transition generally occurs with feelings of increased pleasantness during an AI intervention.
37	Transition in terms of new insight may occur without increased anxiety if the transition occurs due to the participant's situation being redefined following his or her transition in terms of the way of knowing.

Mezirow's (2000) assertion that transformational learning requires critical reflection on assumptions with the associated feelings of fear, anger, guilt, or shame is also challenged. In particular, the finding that transition in terms of the way of knowing can occur with feelings of increased pleasantness, particularly acts to refute Mezirow's (2000) linking of transformational learning with discomfort. Kegan (2000) narrowed Mezirow's (2000) definition of transformational learning to an epistemological change in subject-object balance. If this more narrowly defined form of transformational learning can be achieved with feelings of increased pleasantness then Mezirow's contention is more substantially refuted.

The uncoupling of transformational learning and discomfort is supported by Taylor's (1997) argument that meaning scheme transformations can "occur outside the bounds of intentional construal" (p. 42). Similarly, it is supported by Merriam's (2004) pleas for transformational learning theory to be extended to include "more 'connected', affective, and intuitive dimensions on an equal footing with cognitive and rational components" (p. 66-67). Similarly, Cranton (2006) says: "I no longer see transformative learning as an entirely cognitive, rational process" (p. 2). The findings in this study are therefore supported by such authors such as Taylor (1997), Merriam (2004), and Cranton

(2006) who imply that transformational learning theory should be uncoupled from discomfort. Their claims are extended by this study as it is shown that an AI intervention can provide the broad context for transformational learning to occur without critical reflection on assumptions or discomfort.

> *Abstract Configuration No. 12:* Transition can occur under AI without critical reflection on assumptions and with increased pleasantness.

The finding that transition during an AI intervention can occur with feelings of increased pleasantness also refutes the theory that schema only change by the process of accommodation (Piaget, *trans.* 1957, pp. 1–3; Wadsworth, 2004, pp. 18–19) in which unique aspects of experience create cognitive disbalance and anxiety. Consequently, the finding is supported by claims by authors such as Merriam (2004) that "transformations may be focused and mindful, involving critical reflection . . . or of mindless assimilation" (p. 66).

> *Abstract Configuration No. 13:* Transition can occur under an AI intervention by means of assimilation rather accommodation.

The finding that transition in terms of the way of knowing can result in the participant's situation being redefined and lead to a transition in terms of new insight may explain why the corresponding transition in terms of new insight can occur without increased anxiety. Schein (1996) contends that the feeling of survival anxiety is likely to be accompanied by learning anxiety which is based on a fear of loss of power or position, fear of temporary incompetence, fear of punishment for incompetence, fear of loss of personal identity or fear of loss of group membership. However, if a participant has transitioned in terms of the way of knowing and his or her subject-object balance has changed then it makes sense that he or she will experience less fear when dealing with something which is object as distinct from dealing with something which is subject.

> *Abstract Configuration No. 14:* Transition in terms of change in the way of knowing which results in the participant's situation being redefined and leads to a transition in terms of new insight may explain why the corresponding transition in terms of new insight can occur without increased anxiety.

Table 50.

The Outcome Regularities Relating to the Occurrence of Critical Reflection on Assumptions

Outcome Regularities relating to the occurrence of critical reflection on assumptions	
Number	Description
8	Critical reflection on assumptions can occur during an AI intervention and may lead to the most extreme transitions, be it positive or negative.
29	The most extreme degree of transition may occur for participants encountering a disorientating dilemma and embarking on critical reflection on assumptions during an AI intervention. This transition may be in the expected positive direction or in an unintended negative direction.
31	Participants who transition extremely during an AI intervention may experience increased discomfort during the process.
14	The 'envisioning a positive future' activity may lead to a worsened view of the future if the future is perceived as threatening.
24	The 'envisioning a positive future' activity may lead to a worsened view of the future if the future is perceived as threatening. The perception of a threatening future can create a disorientating dilemma leading to critical reflection on assumptions.
33	Participants in an AI intervention who are dogmatic–perhaps a trait independent from the AI process itself–may experience slight discomfort whilst encountering viewpoints different to their own.

The Occurrence of Critical Reflection on Assumptions with Feelings of Unpleasantness

This grouping of outcome regularities relates to the critical reflection on assumptions mechanisms category of the deduced programme theory. The grouping is shown in Table 50. The grouping implies that the mechanism of critical reflection on assumptions, with the associated increased unpleasantness, can occur during an AI intervention.

The finding that participants can experience unpleasantness during an AI intervention is not new. For example, Elliot (1999) says that:

> Those who imagine that appreciative inquiry is by definition a pain-free, contented chewing of the organizational cud of recalled best practice need to bear

> in mind that any attempt at depth learning within an organizational setting is likely to exact its own psychic price. (p. 85)

Similarly, Bushe (2010) comments that "what does seem peculiar to AI, in my experience, are the longings and negative self-judgements that get stirred up in appreciative interviews" (p. 234) and Johnson (2013) says "people sometimes do experience painful, disconfirming moments as they engage in the process of AI" (p. 191).

The finding that critical reflection on assumptions can occur during an AI intervention is also not a novel finding. For example, Wood (2007) noted the occurrence of process reflection, content reflection and critical reflection for participants during an AI intervention. However, the finding in this study extends the work of Wood (2007) by linking the occurrence of critical reflection on assumptions to individual transition themes—the subject matter of the transitions—and to the circumstances surrounding the occurrence of each of the three types of reflection.

One trigger for critical reflection on assumptions during an AI intervention is when managers are exposed to the honest opinions of more junior staff members. This can lead to managers transitioning towards learning to become more participative and more assertive towards higher management.

> *Abstract Configuration No. 15:* Critical reflection on assumptions, with the associated increased unpleasantness, can occur during an AI intervention. For example, the exposure of managers during an AI intervention to the honest opinions of more junior staff can trigger critical reflection on assumptions with the associated feelings of unpleasantness.

Another trigger for critical reflection on assumptions is the 'envisioning a positive future' activity which can lead to a worsened view of the future if the future is perceived as threatening.

> *Abstract Configuration No. 15.1:* The 'envisioning a positive future' activity can trigger critical reflection on assumptions, with the associated feelings of unpleasantness, if the future is perceived as threatening.

The finding that participants in an AI intervention who are dogmatic may experience slight discomfort whilst encountering viewpoints different to their own is not considered to be equivalent to critical reflection on assumptions. Taylor (2008) defines

Table 51.

The Outcome Regularities Relating to the Initiation of an AI Intervention

Outcome Regularities relating to initiating an AI intervention	
Number	Description
10	By initiating an AI intervention, top management can improve the perceptions of participants towards the organisation as one that cares about employee opinions. The mechanism for the transition is process reflection.
11	By initiating an AI intervention, top management can improve the perceptions of participants–other than those who mistrust top management's integrity in initiating the intervention–towards the organisation as one that cares about employee opinions.
34	The fact that the content of an AI intervention is largely determined by the participants can overcome the mistrust participants may feel towards top management's integrity in initiating an AI process.
27	Process reflection may not lead to transition in terms of the way of knowing or in terms of positive reinterpretation.

critical reflection on assumptions as the conscious and explicit reassessment of the consequences and origin of our meaning structures. It appears reasonable to assume that the slight discomfort experienced, upon encountering viewpoints different to their own, by a rigid and close-minded person is more likely to be as a result of irritation than as a result of a reassessment of their own meaning structures—or assumptions.

The Effect of Initiating an AI Intervention

This grouping of outcome regularities relates to the process reflection mechanism category of the deduced programme theory. The relevant outcome regularities are shown in Table 51. The grouping implies that the act alone, by top management, of initiating an AI intervention can, by means of process reflection, improve the perception of the participants that the organisation cares about employee opinions.

The finding that by initiating an AI intervention, top management can improve the perceptions of participants towards the organisation as one that cares about employee opinions is possibly novel. The finding is perhaps an example of the *Hawthorne effect* which Wickström and Bendix (2000) say "is commonly referred to as an increase in productivity—or even some other outcome under study—caused by participation in the study as such" (p. 366). The authors explain that the term Hawthorne effect has become ambiguous and say that "in the opinion of Kahn [1975] . . . the findings were probably

primarily related to participation . . . to playing an important part in decisions that really affected one's life" (p. 365).

The possibly novel finding—that by initiating an AI intervention, top management can improve the perceptions of participants towards the organisation as one that cares about employee opinions—is further expanded in this study to show that participants who mistrust top management are perhaps less likely to transition.

> *Abstract Configuration No. 16:* The act alone, by top management, of initiating an AI intervention can improve the perception of participants—other than those who mistrust top management's integrity in initiating the intervention—towards the organisation as one that cares about employee opinions. The mechanism for the transition is process reflection.

The finding that the during-AI context of 'the content of an AI intervention being largely determined by the participants' can, in some instances, overcome participant mistrust in top management, appears to be novel.

> *Abstract Configuration No. 17:* The during-AI context of 'the content of an AI intervention being largely determined by the participants' can, in some instances, overcome participant mistrust in top management.

Participant transition caused solely by the initiation, by top management, of an AI intervention, occurs through the mechanism of process reflection. The finding that process reflection may not be sufficient to result in transition in terms of the way of knowing or transition in terms of positive reinterpretation implies that the act alone of initiating an AI intervention may not be sufficient to result in either of these types of cognitive outcome patterns.

> *Abstract Configuration No. 18:* The act alone, by top management, of initiating an AI intervention may result in participant transition in terms of an improved view of the organisation as caring about employee opinions—which is transition in terms of new insight—but may not be sufficient to result in participant transition in terms of the way of knowing or in participant transition in terms of positive reinterpretation.

Unallocated Outcome Regularity Grouping

The outcome regularities which have not been allocated to any of the above groupings are shown in Table 52.

Table 52.

The Outcome Regularities Which have not been Allocated to the Other Groupings

General Outcome Regularities	
Number	Description
15	Learning during an AI intervention to look at the bigger picture of an organisational change may lead to transition in respect of a specific objective of the intervention.
16	Learning during an AI intervention about the importance of employee participation in organisational change can occur through the mechanism of process reflection triggered by the during-AI context of the fact that the content of the AI intervention was determined by the participants.
25	A pre-AI diary response process can lead to transition.
26	Transition may occur during an AI intervention due to the passage of time, a context independent of the AI activities.

The finding that learning to look at the bigger picture of an organisational change may lead to transition in respect of a specific objective of an AI intervention is supported by Powley et al.'s (2004) observation in an AI intervention of a "shift, from concern with individual issues and agendas to that of the total system" (p. 76). They termed this the principle of *holistic collegiality*, defined as "the discovery and sharing of knowledge and ideas in an environment where people are aware of the deeply connected interaction between the parts and the whole of a system" (p. 76) which they claimed helped to foster organisational democracy. This study extends their finding by showing that holistic collegiality can lead to transition in respect of a specific objective of an AI intervention.

> *Abstract Configuration No. 19:* Learning during an AI intervention, to look at the bigger picture of an organisational change—a form of holistic collegiality—may lead to transition in respect of a specific objective of an AI intervention.

Learning during an AI intervention about the importance of employee participation in organisational change by the mechanism of process reflection as triggered by the fact that the content of the AI intervention is determined by the participants is perhaps a novel contribution to literature. The highly participative nature of an AI

intervention perhaps provides a foundation for experiential learning about the importance of participation in an organisational change intervention.

> *Abstract Configuration No. 20:* An AI intervention provides the opportunity for participants to experientially learn, by the mechanism of process reflection, about the importance of participation in an organisational change intervention.

The finding that responding to a pre-AI diary question can lead to transition is supported by Cooperrider and Srivastva's (1987) claim that change in an AI intervention starts with the first question.

The finding that transition may occur during an AI intervention due to the passage of time, a context independent of the AI activities, helps to justify French and Bell's (1999) concern about whether observed organisational changes can be directly attributed to an OD intervention. They say that "so much is going on in the real-world situation that it is difficult to pinpoint what causes the changes to occur" (p. 305). The concern is addressed in this study by the adoption of a realist evaluation approach in which the relationship between pre-AI and during-AI contexts, mechanisms, and outcomes are carefully considered.

Summary of Affective Outcome Patterns and the Role of Reflective Mechanisms on Transition

The abstract configurations regarding the mechanisms and the affective outcome patterns, together with the unallocated groupings, represent a third set of middle-range theories.

Content reflection is the most common form of reflection for transition to all three types of cognitive outcome patterns under an AI intervention. Content reflection is accompanied with feelings of increased pleasantness. However, transition can occur by means of process reflection or critical reflection on assumptions under the following contexts:

- When the act alone, by top management, of initiating an AI intervention leads to participant transition in terms of new insight regarding the organisation caring about employee opinions, the mechanism is process reflection and the transition occurs with increased pleasantness.
- Learning during an AI intervention, due to the fact that the content of the intervention is determined by the participants, about the importance of

participation in an organisational change intervention, occurs by the mechanism of process reflection.

- The exposure of managers during an AI intervention to the honest opinions of more junior staff can trigger critical reflection on assumptions with the associated feelings of unpleasantness.
- The 'envisioning a positive future' activity can trigger critical reflection on assumptions, with the associated feelings of unpleasantness, if the future is perceived as threatening.

Review of the Analytic Framework

The next higher level of abstraction covered in this study is at the level of an analytic framework. Babbie and Mouton (2001) say that analytic frameworks are important in evaluation research because

> understanding and evaluating an intervention requires some frame of reference. Unless one knows what to look for and which analytical categories to use in an analysis and interpretation of the data, no coherent and plausible account of the intervention is possible. (p. 366)

The analytic framework used to guide the empirical stage of this study was the deduced programme theory as shown in Figure 7 in Chapter Two of this thesis. The general structure of the deduced programme theory—with the contexts split into pre-AI and during-AI contexts; the mechanisms as types of reflection, and the outcomes shown as cognitive, behavioural, and affective themes—represents an initial analytic framework. Following the development of the three sets of middle-range theories, the deduced programme theory is reviewed here.

Based on the middle-range theories, the pre-AI contexts which may influence the transition path for participants under an AI intervention are: (a) level of survival and learning anxiety; (b) participant attitudes such as the level of mistrust in top management and optimism about a specific change process; (c) personality traits such as dogmatism and openness to experience; and (d) job role—manager or other member of staff.

The during-AI contexts which may influence the transition path for participants under an AI intervention are: (a) positivity-orientated activities such as the 'envisioning a positive future' activity or watching the *Seeing the Positive in the World* video; and (b) factors which lead to perceptions of a safe environment such as 'the content of the AI intervention being largely self-determined by the participants'.

The mechanisms can include: (a) content reflection; (b) process reflection; and/or (c) critical reflection on assumptions. The schema change process can be one of assimilation or accommodation.

The types of cognitive outcome patterns include: (a) transition in terms of new insight; (b) transition in terms of the way of knowing; and (c) transition in terms of positive reinterpretation—defined as adoption of a positive attitude towards change 'out there'. Changes in cognitive outcome patterns may be observed or measured in terms of an intention to change behaviour or actual change in behaviour. Affective outcome patterns include feelings of increased pleasantness and feelings of increased unpleasantness.

The revised programme theory is shown in Figure 21. The structure of the resulting revised programme theory—an analytic framework—can be considered as the main methodological contribution of this research.

Constructs of interest in the revised programme. Table 53 lists the constructs of interest as identified in the revised programme theory for employee transition throughout an AI intervention. The table shows the definition of each of the constructs as selected or as developed for the purposes of this research.

Generative Propositions

The generative propositions developed here are based on the three sets of middle-range theories but lie outside of the boundary of the analytic framework which focuses on AI types of OD interventions aimed at transformational organisational change. The generative propositions relate mainly to possible differences between dialogic OD and diagnostic OD.

The first generative proposition relates to the abstract configuration that personality traits such as dogmatism may negatively impact the degree of transition in an AI intervention. This is in line with Oreg's (2003) contention that dogmatism predicts the disinclination to initiate voluntary changes but may not predict reactions to imposed change. The generative proposition is that dogmatism, as a personality trait, plays a stronger influential role in predicting transition under an AI type of intervention than it would under a diagnostic OD type of intervention, which by its nature is an imposed

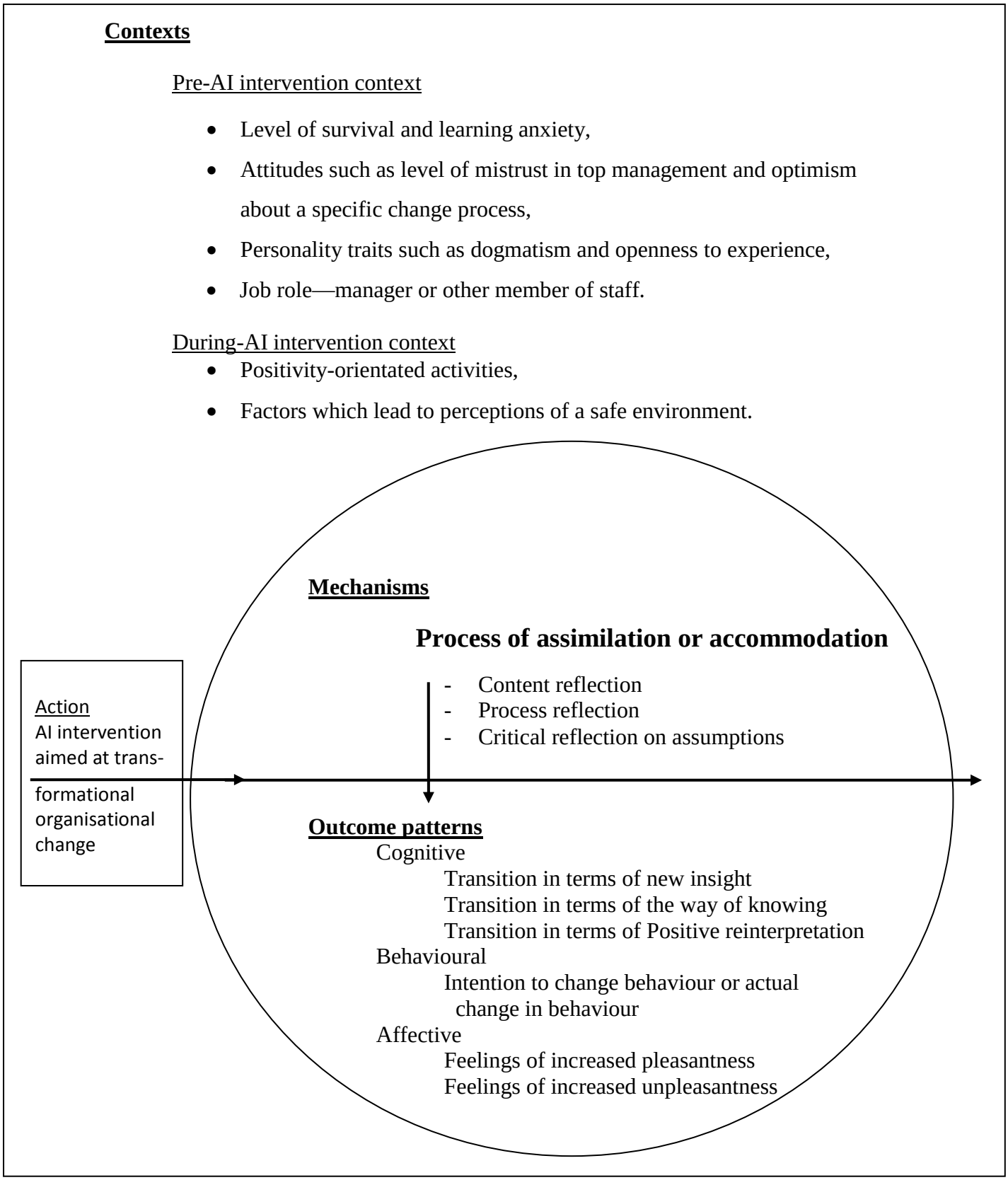


Figure 21: Revised programme theory for employee transition throughout an Appreciative Inquiry Intervention. Mechanisms adapted from Mezirow's (1991) categories of reflection and types of cognitive outcome patterns adapted from Bushe and Kassam (2005) and Kegan (2000).

Table 53.

Constructs of Interest in the Revised Programme Theory

Construct	Definition for the purposes of this research	Source of Definition
Dogmatism	A presonality trait of rigidness and closed-mindedness.	Oreg (2003)
Openness to experience	Tolerant and inquisitive when confronted with novel situations	Judge et al. (1999)
Positivity-orientated activities	AI activities with a focus on the positive, such as the 'envisioning a positive future' activity or watching the *Seeing the Positive in the World* video	As defined in this study
Factors which lead to perceptions of a safe environment	Characteristics of an AI intervention which enable participants to talk freely. For example, 'the content of the AI intervention being largely self-determined by the participants'	As defined in this study
Transition in terms of positive reinterpretation	Adoption of a positive attitude towards change 'out there'	As defined in this study

change. The possibly stronger influential role of dogmatism in an AI type intervention suggests:

> *Generative Proposition No. 1:* Personality traits, notably dogmatism, influence the degree of transition under forms of dialogic OD, such as AI, to a greater extent than under diagnostic OD.

It is also proposed that 'optimism about a specific change process' may be more likely to occur prior to an AI type of intervention than prior to a diagnostic type of intervention. Hence:

> *Generative Proposition No. 2:* 'Optimism about a specific change process' is more likely to occur prior to AI than in anticipation of a diagnostic OD process.

The abstract configuration relating to the possible dissolution of power imbalances during an AI intervention may imply that dialogic OD interventions have the opposite effect on power imbalances than diagnostic OD interventions. Balogun and

Johnson (2004), in a study of an imposed shift from a hierarchical to a decentralised organisation, note that "in our study there were lateral tensions as well as vertical tensions" (p. 544) and they propose that "the conflict model may be more prevalent when there are no channels or mechanisms to facilitate the resolution of conflict" (p. 544).

> *Generative Proposition No. 3:* AI is more likely to dissolve power imbalances than diagnostic OD.

The abstract configuration that managers entering the AI process were experiencing survival and learning anxiety highlights a potential pitfall for initiators of organisational change if they assume that senior and/or middle managers have transitioned and are therefore able to comfortably act as change agents. The finding implies that managers cannot be assumed to be a homogeneously positive group in terms of their attitude towards an organisational change. The finding is based on data collected before the commencement of the AI intervention and therefore may apply to organisational change in general as opposed to being specific to AI forms of organisational change.

> *Generative Proposition No. 4:* Members of management may experience high survival anxiety and high learning anxiety in association with a change intervention.

The fifth generative proposition suggests that transition in terms of the way of knowing and/or transition in terms of positive reinterpretation may be more likely to occur under dialogic OD—where the focus is on multiple realities and changing mind-sets—than under diagnostic OD—where the focus is on single realities and changing behaviour.

> *Generative Proposition No. 5:* Transition in terms of the way of knowing and/or positive reinterpretation will be more likely under forms of dialogic OD, such as AI, than under diagnostic OD.

Cooperrider (2013) says that traditional action research has not achieved its potential "as a vehicle for human development" (p. 10). Whilst this study has examined transition, it has not examined cognitive development. Kegan (1994) argues that subject-object theory is linked to the idea that people evolve through levels of increasing cognitive complexity. He explains that

> transforming our epistemologies, liberating ourselves from that in which we were embedded, making what was subject into object so that we can 'have it' rather than 'be had' by it—this is the most powerful way I know to conceptualize the growth of the mind. (p. 34)

Markus (2016) distinguishes between development and transition by explaining that "the development of a new subject/object balance is part of the movement toward a more differentiated and complex meaning-making system; each of the subject/object *transitions* [emphasis added] fit into a larger context of development and epistemological change (Howell, 2006)" (p. 217). Similarly, Kegan (1982) speaks of development emanating from "successive triumphs of 'relationship to' rather than 'embeddedness in'" (p. 77). If, as this study proposes, AI and other forms of dialogic OD are more likely than diagnostic OD to lead to transition in terms of the way of knowing; and if transition in terms of the way of knowing is seen as cognitive development, then AI and other forms of dialogic OD may have the potential to play more of a cognitive developmental role than diagnostic OD.

> *Generative Proposition No. 5.1:* Cognitive development is more likely to occur under forms of dialogic OD, such as AI, than under diagnostic OD.

Cooperrider (2013) in a commentary on the seminal article he wrote with Srivastva in 1987 entitled "Appreciative Inquiry in Organizational Life" says that "the large aim here was to help advance a new humanly significant and socially constructive science of organizations" (p. 10). It is possible that participants in an AI intervention, particularly those participants who transition in terms of the way of knowing, learn about social constructionism by means of experiential learning. This may be unlikely to occur under diagnostic OD where the focus is on single realties.

> *Generative Proposition No. 6:* Learning about social constructionism is more likely to occur under forms of dialogic OD, such as AI, than under forms of diagnostic OD.

The finding that transition during an AI intervention can occur with feelings of increased pleasantness refutes claims that transformative learning involves the unpleasant process of unlearning. This induction is also supported by claims in the literature around unlearning by authors such as Klein (1989) and Bouton (2000) that learning—or transition—can occur without the need for unlearning.

Generative Proposition No. 7: Transition may occur under AI without the need for unlearning.

A person with a social constructionism mind-set may be able to transition in terms of new insight without increased levels of unpleasantness as they realise they can largely choose how to interpret "reality".

Generative Proposition No. 8: A person with a social constructionism mind-set is more likely to transition in terms of new insight without increased levels of unpleasantness than a person with a more positivist mind-set.

The generative propositions will be considered further in the Conclusions and Recommendations chapter as a basis for possible further research.

Trustworthiness of the Study

Although the research design is a realist evaluation which by its nature may adopt a mixed methods approach, the methodology adopted is essentially qualitative. The study uses a degree of quantitative measures for the outcome patterns but overall mainly relies on qualitative evidence. Although the criteria to test rigour in quantitative research are: (a) internal validity; (b) external validity; (c) reliability; and (d) objectivity (Lincoln and Guba, 2007), Merriam (1995) says that in qualitative research the "notions of validity and reliability need to be grounded in the worldview of qualitative research" (p. 53). She explains that internal validity in qualitative research refers to whether "the 'reality' of the situation, as perceived by those in it, is being conveyed as 'truthfully' as possible" (p. 54). She says that reliability in qualitative research asks "not whether the results of one study are the same as the results of a second or third study, but *whether the results of a study are consistent with the data collected*" (p. 56).

Lincoln and Guba (2007) say that in the constructivist paradigm of qualitative research with its axioms of multiple realities, context-dependency, complexity, and researcher involvement, the parallel criteria of: (a) credibility, which—like internal validity—roughly relates to truth value; (b) transferability, which—like external validity—roughly relates to applicability; (c) dependability, which—like reliability—roughly relates to consistency; and (d) confirmability, which—like objectivity—roughly relates to neutrality, are more appropriate. They refer to these criteria as "criteria of trustworthiness" (p.18).

Credibility

This study draws on Merriam (1995) to define credibility as *whether the 'reality' of the situation, as perceived by those in it, is being conveyed as 'truthfully' as possible*. In order to improve credibility, Lincoln and Guba (2007, pp. 18–19) recommend: (a) prolonged engagement; (b) persistent observation; (c) triangulation; (d) peer debriefing; (e) negative case analysis; and (f) member checks. Merriam (1995) emphasises that, in qualitative research, it is important that the researcher states his or her experiences, assumptions, and possible biases.

Prolonged engagement and persistent observation. The need for prolonged engagement and persistent observation is supported by Taylor (2000) in his review of research designs in the field of transformative learning. He is concerned that, although the serious limitations in respect of participant recall in qualitative retrospective interviews can be significantly addressed by collecting data longitudinally, such a design "still put[s] the burden of recall exclusively on the participant . . . . and does not account for learning that happens outside the learner's awareness" (p. 319). He advises that "to help address this concern the researcher needs to be present during the transformative experience so he or she can observe and record in addition to interviewing the learner" (p. 319).

In this study, which is longitudinal in nature, the researcher was intermittently involved with the participant group over an 18-month period of time. This included being present at post-merger focus-groups and individual interviews conducted by an external consultant; facilitating the pre-AI diary response data collection; being present and collecting observation data and diary response data at each AI intervention workshop; and conducting the post-AI interviews.

Triangulation. As explained under the methods of data collection section in Chapter Three of this thesis, the data collection techniques were selected and timed to provide a high level of triangulation whilst also taking into account their possible influence on the change process at different stages in the intervention.

Furthermore, as explained under the methods of data analysis section in Chapter Three of this thesis, the combination of both conventional and direct techniques of data analysis represents a form of triangulation which helps to overcome the limitations of each technique. The direct content approach helps ensure that key categories are identified and the conventional approach helps to minimise the effect of preconceived biases of the researcher.

Peer debriefing. Lincoln and Guba (2007) recommend that researchers should frequently discuss their work with fellow professionals in order to "'keep the inquirer honest', assist in developing working hypotheses, [and] develop and test the emerging design" (p. 19).

In addition to the debriefing role played by the researcher's supervisor, regular and extensive debriefing occurred with a University of Pretoria lecturer in qualitative research methodology. The researcher presented a position paper on the research proposal at the annual Academy of Management Conference held in Africa in 2013 and also attended and submitted papers for critique at Academy of Management Doctoral Workshops in 2013 and 2014. He also presented a paper containing preliminary findings of the research at the World Appreciative Inquiry Conference in 2015 and had a private meeting with two of the leading AI academics to discuss the preliminary findings. The researcher also received feedback on a draft of the Discussion Chapter of this thesis in 2016 from a leading academic in the fields of both dialogic OD and AI. Notes relating to these debriefing events are included in the analytic memoranda.

Negative case analysis. Lincoln and Guba (2007) describe negative case analysis as "the active search for negative instances relating to developing insights and adjusting the latter continuously until no further negative instances are found" (p. 19). The analytic process adopted in this study included an ongoing active search for evidence amongst the data which contradicted the programme theory and the subsequent emerging findings. The differences between the deduced programme theory and the revised programme theory are evidence of this process. The effectiveness of this negative case analysis process can be judged in terms of the dependability and confirmability of the study which is discussed later in this section of the thesis.

Member checks. Lincoln and Guba (2007) describe member checks as "the process of continuous informal testing of information by soliciting reactions of respondents . . . . and a terminal, formal testing of the final case report with a representative sample of stakeholders" (p. 19).

Member checks were conducted in this study by the researcher by means of the post-AI interviews being used to, inter alia, discuss with the participants the data collected at the pre-AI and during-AI stages. However, for logistical reasons, the final case report was not discussed with the individual participants. This is in line with Morse, Barrett, Mayan, Olson, and Spiers' (2002) advice that member checks are appropriate at a descriptive level of data but not at more abstract levels as "study results have been

synthesized, decontextualized, and abstracted from (and across) individual participants, so there is no reason for individuals to be able to recognize themselves or their particular experiences" (p. 16).

Although the final case report was not discussed with the participants, certain key aspects of it were discussed with the AI facilitator and these discussions are reflected in the analytic memoranda.

Researcher perspective. The perspective and experience of the researcher is described in the Introduction Chapter of the thesis. The researcher has approached the study with an interpretivist mind-set as distinct from a positivist mind-set.

Transferability

French and Bell (1999) say that "evaluating OD programs is complicated and difficult . . . because field research of this nature is prone to confounding from many sources" (p. 303) and hence "what works in one setting may not work in another" (p. 306). In this study, factors such as the nature of the AI intervention, particularly in that it was initiated in response to concerns about culture following a merger, the conducting of the study in a single research setting, and the use of only one facilitator for the AI intervention may limit the "generalisability" of the findings.

However, Merriam (1995) says that "the goal of qualitative research . . . is to understand the particular in depth, rather than finding out what is generally true of many" (p. 57). She quotes Cronbach as saying that "empirical generalizations are too lofty a goal for social science research; rather we should think in terms of working hypotheses . . . . working hypotheses reflect situation-specific conditions of a particular context" (pp. 57–58). Similarly Yin (2014) says that in case study research "rather than thinking about your case as a sample, you should think of it as the opportunity to shed empirical light about some theoretical concepts or principles . . . . for example, the lessons learned could assume the form of a *working hypothesis*" (p. 40).

Merriam (1995) refers to the process of sensemaking in justifying a working hypothesis type of approach. She says that

> particular situations convey insights that transcend the situation from which they emerge. The general lies in the particular. This is, in fact, how human beings make sense out of their world, how they cope with new situations. What is learned in a particular situation is applied to similar situations subsequently encountered. (p. 58)

For realist evaluations, Pawson and Tilley (2004) explain that "sense-making . . . is the cornerstone of the realist approach" (p. 16). The authors say that realist evaluation "steers a path between making universal claims about what works, and focussing on the particulars of specific measures in specific places relating to specific stakeholders" (p. 17). They say that "we seek a goal of 'specification' rather than unqualified or unconditional 'generalization'" (p. 86) and that "'findings' take the form of specifying those 'regularities' or 'outcome patterns' which the present state of our understanding of 'mechanisms' and 'contexts' is able to sustain" (p. 86). However, the authors acknowledge the limitation that findings are always provisional and that "realist evaluation begins and ends with theory" (p. 19).

In respect of transferability, Lincoln and Guba (2007, p. 19) recommend thick descriptive data about the context so that judgements about the degree of fit with other applications can be made. In this study, as is typical in a realist evaluation, there is a high degree of focus on the contexts in which mechanisms are triggered to produce the outcome patterns. The high level of triangulation adds to the thickness of this data about these contexts. It is these contexts which may trigger similar mechanisms and outcome patterns in other applications of AI interventions.

More broadly in respect of the concept of thick description in qualitative research, Ponterotto (2006) says that it might be manifested in descriptions of the participants, the setting, the data, and the researcher's interpretations. In this study, the description of the participants and the broader setting is rather thin, but this is not considered a limitation to the transferability of the findings.

Dependability and Confirmability

This study draws on Merriam (1995) to define dependability as *whether the results of a study are consistent with the data collected*. Following Lincoln and Guba (2007), confirmability is defined as *whether the data interpretation process was without researcher bias or error* (p. 16). Under the heading of "objectivity/confirmability" for qualitative research Miles and Huberman (1994) say that "the basic issue here can be framed as one of relative neutrality and reasonable freedom from unacknowledged researcher biases . . . . In short do the conclusions depend on 'the subjects and conditions of the inquiry,' rather than on the inquirer (Guba & Lincoln, 1981)?" (p. 278). In respect of dependability and confirmability, Lincoln and Guba (2007, p. 19) advise that an external audit based on an audit trail be conducted.

Merriam (1995) says that "in order for an audit to take place, the investigator must describe in detail how data were collected, how categories were derived, and how decisions were made throughout the inquiry" (p. 56). The documents maintained during this study were in line with Miles and Huberman's (1994) advice that an audit trail should consist of field notes, a codebook and analytic memoranda. In this study a separate set of analytic memoranda were compiled for the pilot study and for the main study. In addition, an instrument change log was kept to record the changes to the data-collection instruments which, as is to be expected during a realist evaluation, were made during the study. A separate electronic data base was established comprising all the raw data in sound and/or written formats.

Creswell and Miller (2000) recommend that the external auditor examine the documentation with the following questions in mind:

> Are the findings grounded in the data? Are inferences logical? Is the category structure appropriate? Can inquiry decisions and methodological shifts be justified? What is the degree of researcher bias? What strategies were used for increased credibility? (Schwandt & Halpern, 1988). (p. 128)

Lincoln and Guba (2007, p. 19) explain that the part of the audit which examines the research process results in a dependability judgement and the part which examines the research product—or the data and reconstructions—results in a confirmability judgement.

For this study, the report of the external auditor, a lecturer in qualitative research at the University of Pretoria in South Africa, is shown in Appendix M and concludes as follows:

> On the basis of this audit, it is clear that methodological coherence has been maintained throughout the study. Sampling procedures are detailed, saturation has been demonstrated and data triangulation appropriately utilised. The codes are systematically low in degree of inference and accurately represent the meaning of the data, indicating that findings are grounded in the data. There is no evidence of under-coding or c [sic] over-coding. The category structure is appropriate in that categories are explicitly defined, reflective of the literature and appropriately encapsulate the inductively derived codes. Methodological and analytical decisions are captured in detailed analytical memo's demonstrating investigator responsiveness. It is therefore concluded that the data collection and analysis

process followed is appropriately rigorous and that the findings of this research may be considered plausible and credible. (p. 3)

An extract from the main study analytic memos which formed part of the audit trail provided to the external examiner, is shown in Appendix N.

As an additional measure of the confirmability of the study, an inter-coder reliability exercise was constructed by the researcher in which each of 25 samples of raw data were allocated by the external auditor, in isolation from the researcher, into one of ten pre-identified and defined transition themes. The inter-coder reliability between the external auditor and the researcher was then calculated.

The 25 samples of raw data were selected on the basis that: (a) they related to the cognition of the participants; and (b) there was at least one sample which had been allocated by the researcher into each of the 10 transition themes. Examples of raw data included: "An obstacle is not always an obstacle, it's the way you see it" and "Ja you know…hearing some colleagues, other colleagues' opinion about the same situation you're in, it's giving you a broader experience, it's letting you look more broader to a situation". Examples of the 10 transition themes included: 'Learnt can choose how to react to change' and 'learnt to look at bigger picture of organisational change'.

The inter-coder reliability, calculated as the number of agreements divided by the number of data samples, was 96%—representing 24 agreements out of 25 samples. This indicates a high level of confirmability for the study.

Trustworthiness: Summary

The fairly prolonged engagement of the researcher in the field in this longitudinal study, together with the high degree of triangulation, peer debriefing, and member checks on pre-AI and during-AI data, help to ensure a good level of credibility.

Although the absence of member checks on the final case report may be seen as a limitation to credibility, some theorists argue that participant member checks on more abstract levels of data are of limited value. Key aspects of the final case report were however discussed with the AI facilitator.

Although the descriptions of the participants and the broader setting is rather thin, this is not considered to be a major limitation to the transferability of the research findings as, due to the nature of a realist evaluation, the study contains thick description of the contexts at the level of investigation—the individual employee.

The dependability and confirmability of the study are evidenced in the report of the external auditor and in the results of the inter-coder reliability exercise.

CHAPTER SEVEN: CONCLUSION AND RECOMMENDATIONS

The purpose of this study has been to build on the theory underlying AI as a form of dialogic OD aimed at transformational organisational change. The focus has been on individual employees as participants in an AI intervention. The study has resulted in the development of three sets of middle-range theories, including a model in the format of Bushe's (2013b) facets of generativity model, which form the basis to reflect the main theoretical contributions of the study.

The deduced programme theory, upon which the empirical stage of the research was based, has been revised in terms of the findings from the research. The structure of the resulting revised programme theory represents the main methodological contribution of the study. It provides an analytic framework which potentially contributes to future researchers' practice in investigations of transition under an AI intervention aimed at transformational organisational change.

Subsequent to the elaboration of the analytic framework, some generative propositions which are beyond the scope of the analytic framework have been developed. The generative propositions, together with the limitations of the study, provide opportunities for further research.

This chapter starts with a summary of the theoretical, methodological, empirical, and practical contributions of the study, after which the limitations of the study are presented and recommendations for further research are made based upon both the findings and the limitations of the study.

Research Contribution

Theoretical Contribution

Whilst acknowledging that there is generally a lack of consensus on what theory is, Corley and Gioia (2011) adopt the definition of theory as "a statement of concepts and their interrelationships that shows how and/or why a phenomenon occurs" (p. 12). Focusing mainly on organisational studies, they say that "the idea of contribution rests largely on the ability to provide *original insight* into a phenomenon by advancing knowledge in a way that is deemed to have *utility* or usefulness for some purpose" (p. 15).

The main theoretical contribution of this research is encompassed in Chapter Six of this thesis in terms of three sets of middle-range theories. The theories represent how transitioning individual employees feel and make sense for themselves under an AI

intervention aimed at transformational organisational change and this delineates the boundary of the theory.

The theory builds on Bushe's (2013b) facets of generativity model mainly by: (a) defining the levels of analysis; (b) identifying a classification scheme of three types of cognitive outcome patterns; (c) showing that certain during-AI contexts such as positivity-orientated activities and a safe environment each predispose transition towards particular types of cognitive outcome patterns; (d) showing the influence of certain pre-AI contexts—such as dogmatism and openness to experience—on degree of transition; and (e) linking reflective mechanisms to particular contexts and affective outcome patterns.

In comparison with Bushe's (2013b) model, the theory developed in the study redefines the *generative process* concept in terms of pre-AI and during-AI contexts; it redefines the *generative outcomes* concept as *transition in terms of new insight*; and it redefines the *generative capacity* concept as *transition in terms of the way of knowing*. In addition, the theory identifies and adds *transition in terms of positive reinterpretation* as a new construct which extends Bushe's (2013b) model.

The theory postulates that the positivity-orientated activities in an AI intervention are the most influential of the during-AI contexts in leading to transition in terms of positive reinterpretation. The influential role of positivity-orientated activities on transition in terms of positive reinterpretation is perhaps understandable given that transition in terms of positive reinterpretation reflects the participant striving to see something 'out there' more positively.

The theory also postulates that the positivity-orientated activities alone, without a safe environment, are unlikely to lead to transition in terms of the way of knowing. This is also perhaps understandable given that simply attempting to view a single external reality positively is unlikely to lead to a change in a participant's subject-object balance.

The study also identifies that transition can occur under AI with feelings of increased pleasantness. This refutes current literature in the field of OD claiming that organisational change inevitably and necessarily is accompanied by feelings of discomfort. The finding demonstrates that the commonly assumed transition path for participants in organisational change, involving loss in morale and increase in anxiety, need not necessarily apply in the case of an AI intervention.

According to Whetton (1989), the value-add of a theoretical contribution relates to its ability to "substantially alter the core logic of the existing model" (p. 492) and the

extent to which it "significantly alters our understanding of the phenomena by reorganizing our causal maps" (p. 493). Corley and Gioia (2011, p. 17) emphasise the importance of a good theory in providing an initial surprise and changing perceptions. The theory developed in this study may provide a high level of value by changing perceptions about employee transition under an AI intervention and by changing perceptions about how AI works in practice.

Corley and Gioia (2011) refer to *scientific* utility as an "advance that improves conceptual rigor or the specificity of an idea and/or enhances its potential to be operationalised and tested" (pp. 17–18). By studying employee transition under AI in a well-specified research design, using clearly defined and well operationalised constructs in a context-mechanism-outcome framework, the research has provided a theory which is substantially more comprehensive than previously available and from which testable propositions can be developed. Some examples of testable propositions for potential future research are given in the recommendations for further research section of this chapter.

Methodological Contribution

Bloomberg & Volpe (2012, p. 19) say that methodological significance arises from "engaging research methodology in novel, creative, or insightful ways" and that "a research project that incorporates methodologically significant approaches may not only lead to theoretical insights and practical usefulness but also contribute to future researchers' practice". The methodological contributions from this research derive primarily from the novel use of a realist evaluation to investigate an AI intervention. More specifically, the contributions derive from the novel use of a realist evaluation to investigate transition—which by definition is at the level of the individual—in an AI intervention. The use of a realist evaluation in such novel ways has led to theoretical insights, practical usefulness, and potentially contributes to future researchers' practice.

The research followed the realist evaluation process of developing a deduced programme theory—in the format of contexts-mechanisms-outcome patterns—to broadly guide the empirical stage of the research. A programme theory is similar to a *conceptual framework*, which Miles and Huberman (1994) describe as explaining "either graphically or in narrative form, the main things to be studied—the key factors, constructs, or variables—and the presumed relationships among them" (p. 18). However, in a realist evaluation, the programme theory is specifically in the format of contexts-mechanisms-outcome patterns.

During the data analysis stage the deduced programme theory was revised by abstracting from the three sets of middle-range theories developed from the research findings. The structure of the revised programme theory—which in the terminology of realist evaluation can be referred to as an analytic framework—potentially contributes to future researchers' practice. An analytic framework is described by Pawson and Tilley (1997) as a framework that "a researcher develops in order to aid the examination of a specific 'class of phenomenon'" (p. 122). The class of phenomenon of interest here is how employees experience and make sense of their transition throughout an AI intervention aimed at transformational organisational change.

The analytic framework developed in the research consists of: (a) contexts split into pre-AI and during-AI contexts; (b) mechanisms as types of reflection; and (c) cognitive, behavioural, and affective outcome patterns. This general structure offers a "way of seeing" (Pawson & Tilley, 1997, p. 122) an AI intervention aimed at transformational organisational change. The analytic framework may well provide a tool for researchers interested in individual-level experiences and meaning-making under an AI intervention aimed at transformational organisational change.

A narrower methodological contribution of the research rests in the hybrid deductive and inductive technique used to develop the coding framework and, more specifically, how the initial deductive technique linked to the components of a realist evaluation. The framework for the classification of codes was developed by starting with the realist evaluation components of contexts, mechanisms, and outcome patterns. The contexts component was divided into pre-AI contexts and during-AI contexts, as per the deduced programme theory. Themes and categories were then deduced for each of the components by drawing upon the deduced programme theory and by drawing upon Oreg et al.'s (2011) review of studies into change recipients' reactions to organisational change. The review contains a list of key variables which have been identified in the literature as antecedents to change recipient reactions or as antecedents to consequences of organisational change. A benefit of drawing on Oreg et al.'s (2011) deduced list and the associated definitions is that it helped to ensure that the codebook themes developed were relevant, mutually exclusive, and exhaustive.

During the preliminary data-analysis stage, the coding of the pre-AI and during-AI data, collected by means of both the diary prompt instruments and direct observation, was performed inductively with the induced codes categorised, where possible, into the pre-determined categories in the deduced coding framework. Any induced codes which

did not fit into the deduced categories indicated that a novel finding may have occurred and were encompassed into a refined coding framework. The refined coding framework was used to guide the design of the post-AI data collection instruments and the main analysis phase of the study.

Hybrid approaches of inductive and deductive coding and theme development in qualitative research are not novel. For example, Fereday and Muir-Cochrane (2006) describe the use of such a technique. However, it is possible that the method of establishing a deduced coding framework starting with the realist evaluation components of context, mechanism, and outcome patterns; which are expanded into deduced categories—into which induced codes are fitted—is novel and hence may well be a methodological contribution to the field of realist evaluation.

A further methodological contribution lies in the methods used to develop the context-mechanism-outcome pattern links. In a review of realist evaluation empirical studies, Marchal, van Belle, van Olmen, Hoerée, and Kegels (2012) note that "a lack of methodological guidance was highlighted by many authors" (p. 192). They say that, in practice, the analysis of the qualitative data "is based on coding in terms of 'description of the actual intervention', 'observed outcomes' 'context conditions' and 'underlying mechanisms'" (p. 195). They explain that the explanations for the outcomes are formulated as conjectural context-mechanism-outcome configurations (CCMOCs). Byng, Norman, and Redfern (2005) explain how they coded data as content, mechanism, or outcome and then analysed the codes by starting with an outcome and identifying the mechanism most associated with that outcome to create a mechanism-outcome dyad. They then identified contexts associated with the dyad and formulated a CCMOC. They then tested the CCMOC by searching for positive and negative cases. Jackson and Kolla (2012) highlight a difficulty with this approach as being overly reliant on the analysts for the development of CCMOCs, particularly where there is little literature to develop an adequate programme theory. They recommend an approach in which context-mechanism-outcome links are identified directly from the data. However, they acknowledge that this leads to difficulties in finding patterns in "the hundreds of linked codes" (p. 343). They conclude that, although their approach is of value when there is sparse literature, it is time consuming.

The longitudinal nature of the present study led to the post-AI data-collection instrument being refined based on a preliminary analysis of the data collected at the pre-AI and during-AI stages. The post-AI data-collection instrument was refined to measure

the transition path per transition theme—the subject matter of the transition. This refinement of the post-AI data-collection instrument allowed for better probing, during the interview, of the context-mechanism-outcome links for each transition theme. This enabled the researcher to discuss the CCMOCs—initially developed by the researcher from the pre-AI and during-AI data—in detail with the participants during the interview phase. This is a methodological contribution to the field of realist evaluation which helped to overcome Jackson and Kolla's (2012) concern that approaches to data analysis in realist evaluations either rely too much on the analyst to develop the context-mechanism-outcome links or are overly time consuming.

The two-phase—quantitative and qualitative—nature of the data collected by interviews, also represents a methodological contribution in the field of AI. The two-phase format is in line with Pawson and Tilley's (1997) recommended method for conducting interviews during a realist evaluation. It consists of a list of statements to which participants are asked to respond, on a four-point Likert-type scale, according to how each statement applies to their experience of the intervention. The key role of the questions is "to set a clear agenda which represents a body of theory" (p. 173). The interview process then proceeds with the researcher asking the respondents to explain why they have chosen each particular response on the scale. The authors describe this as "the 'here's my theory, what's yours?' strategy of data collection" (p. 173).

Empirical Contribution

The longitudinal nature of the study—with data collection commencing prior to an AI intervention, continuing during each stage of the intervention, and ending after the completion of the intervention—provides data in a format that is rare for studies into transition under AI interventions. Prior studies into transition under an AI intervention have generally focussed only on data collected either during the early stages of the intervention or post the intervention. The longitudinal nature of the study is in line with calls by AI theorists such as Bushe (2011) who states that "we need longitudinal case studies that are detailed and nuanced" (p. 21) and by theorists in the general field of OD such as Pettigrew (1990) who expressed concern that "there are remarkably few studies of change that actually allow the change process to reveal itself in any kind of substantially temporal or contextual manner" (p. 269).

The division of participant transition paths into separate transition themes for the purposes of data collection and analysis also represents an empirical contribution in the

field of AI. It would appear that previous studies into transition under an AI intervention have only considered transition as a single entity.

The identification of the role of phenomena such as dogmatism, openness to experience, and 'optimism about a specific change intervention' on the degree of transition under an AI intervention represents an empirical contribution. Previous studies in the field of AI have not highlighted the role of such phenomena in understanding transition.

The finding that transition can occur in the opposite direction to that intended in the objective of an AI intervention represents an empirical contribution in that previous studies have not identified the occurrence of such a phenomenon. Although the finding that pre-AI mistrust in senior management negatively influences the degree of transition under an AI intervention is consistent with general organisational change literature it does extend the postulated relationship into the field of AI.

The empirical data are obviously also unique to the particular AI intervention and to a certain extent are likely to be unique in that the study took place in a financial services organisation and the organisation is based in South Africa.

Practical Contribution

Corley and Gioia (2011) refer to the *practical utility* of a theory "as arising when theory can be directly applied to the problems practicing managers and other organizational practitioners face" (p. 18). They recommend that "theories should be *problem driven* . . . rather than . . . filling theoretical gaps simply because they exist" (p. 22). The practical problem which is addressed by this research is encapsulated in Bushe's (2011) statement that if AI is not appropriately applied, based on the establishment of sound theory, then it will lose credibility and become labelled as yet another organisational "fad phenomenon" (p. 98). The main contribution of this research to practice is that it provides better theory to enable AI to be more appropriately applied. The boundary for the practical contribution is employee transition—which by definition, is at the level of the individual—under an AI intervention aimed at transformational organisational change.

Top management need to be aware that the act alone of initiating an AI intervention can improve the perception of employees towards the organisation as one that cares about employee opinions. They need to understand, however, that this may not apply to employees who mistrust top management's integrity in initiating the intervention. Top management also need to be sensitive to the fact that initiating an AI

intervention can lead to the dissolving of power imbalances, particularly if middle managers participate in the AI intervention. Whilst this may be seen by many top managers as a desirable outcome, this may not always be the case. For example, Kegan (1994, p. 168) warns that "some employers actually want nothing more from their employees than what the culture wants of adolescents—well-socialized, responsible, loyal workers who will conscientiously perform explicitly assigned duties". Top management wishing to maintain the balance of power should be cautious of initiating an AI intervention process.

The classification of cognitive outcome patterns into three types provides a tool for AI-intervention initiators and/or facilitators to better design and assess AI interventions. Even if the objective of an AI intervention is transition in terms of new insight, the most influential way to achieve transition in terms of new insight is by achieving transition in terms of the way of knowing. Transition in terms of the way of knowing can result in the participant's situation, in terms of what is considered important, being redefined and hence leading effectively to a transition in terms of new insight. The identification of the provision of a safe environment as a key during-AI context for transition in terms of new insight and/or in terms of the way of knowing will help in better planning and implementation of AI interventions. For example, the level of psychological safety may be increased by raising the extent to which the content of an AI intervention is determined by the participants. A higher level of psychological safety may increase the likelihood that participants become aware of the viewpoints of others and this is an important influential factor for transition in terms of new insight and/or in terms of the way of knowing. AI facilitators need to be cognisant of the importance of ensuring that participants are interacting openly to exchange ideas across functions and job levels. AI facilitators also need to be mindful that a focus on positivity-orientated activities without the provision of a safe environment may lead to limited transition in terms of either new insight or the way of knowing.

AI facilitators need to be aware that if participants learn to look at the bigger picture of an organisational change, this may result in their transition in respect of a specific objective of an AI intervention. AI facilitators could, for example, include activities which involve discussing the roles of different parties—or actors—in an organisational change, in order to assist this process.

AI-intervention initiators and/or facilitators need to be alert to the fact that the degree of transition may vary considerably among participants in an AI intervention,

including between those in the same job role. They also need to be regardful that factors which influence the degree of transition positively include participant personality traits, such as openness to experience, and participant attitudes such as optimism about the specific AI intervention process. The level of pre-AI optimism about a specific AI intervention process can be improved by increasing awareness that participants are drawn from multiple job roles and/or levels. Factors which may negatively impact the degree of transition include participant personality traits such as dogmatism and participant attitudes such as pre-AI mistrust in senior management. The level of mistrust in senior management can, in some instances, be overcome by the fact that the content of an AI intervention is largely determined by the participants. Awareness of the factors which influence the degree of transition may enable AI-intervention initiators and/or facilitators to better understand and potentially improve the readiness of employees for participation in an AI intervention.

AI-intervention initiators and facilitators need to be heedful that transition during an AI intervention can occur in the opposite direction to that intended. In particular, they should be aware that this can occur as a result of the 'envisioning a positive future' activity if the future is perceived by the participant as threatening.

Limitations of the Study

This study has limitations due to the boundaries of the study. Limitations also emanate from the research design, which is a multiple-case study cast in a realist evaluation and from the research methodology, which is essentially a qualitative research approach. The study also has limitations due to the particular research methods adopted.

The boundary for the study is how employees experience and make sense of their transition under an AI intervention aimed at transformational organisational change. Data were collected prior to the intervention, during and immediately after each of the four intervention workshops; and at a single point in time in terms of the interview with each individual some weeks following the intervention. Data were not collected in-between the intervention workshops or after the final interview. As Cranton (2006) emphasises from the field of adult education: "Often . . . the action takes place after the learners have left the educational setting" (p. 172). The findings of the study are therefore limited in terms of the lack of investigation into the sustainability of the transitions and limited data were collected in terms of behavioural outcome patterns.

The main potential limitations of case study research include concerns over rigour and generalisability (Yin, 2014, p. 20). Concerning rigour, the potential influence of

researcher bias is a particular concern in qualitative research (Bloomberg & Volpe, 2012, p. 126). In a realist evaluation, where the researcher deduces a programme theory to guide the empirical stage of the study, the risk of researcher bias is perhaps heightened but, in this study, the high level of inter-coder reliability, as evidenced by the confirmability exercise, helps to alleviate this concern.

As summarised under the trustworthiness section in Chapter Six of this thesis, the fairly prolonged engagement of the researcher in the field in this longitudinal study, together with the high degree of triangulation, and peer debriefing help to ensure a good level of rigour—or credibility. In particular, the high degree of method triangulation helps to overcome research methods limitations. In addition, member checks with the AI facilitator on the key findings and member checks with the participants on pre-AI and during-AI data have also aided the rigour of the study. It has been contended that, although the absence of participant member checks on the final case report may be seen as a limitation to credibility, some theorists argue that participant member checks on more abstract levels of data are of limited value.

The research findings, which are generally presented in the realist evaluation format of context-mechanism-outcome pattern configurations have been derived using a qualitative methodology which has largely relied on the subjective identification of patterns in the data. This is in line with Pawson and Tilley's (2004) argument, that in realist evaluation, "attribution is dealt with when we accept that action of a mechanism makes sense of the particular outcome pattern observed. Now, sense-making . . . is the cornerstone of the realist approach" (p. 16). The authors accept the implied limitation of this approach but say that "go as far as you can in sorting and sifting the rival explanations. All eventualities cannot be anticipated but, importantly, knowledge is considerably improved on each adjudication" (p. 17).

As the findings were based on a case study approach, albeit with multiple cases, the generalisability—or transferability—of the findings may be limited. The case study was situated in a single AI intervention, at a financial services organisation, in South Africa. The intervention had a particular change objective and a specific AI facilitator was used with her particular method and style. The study involved only six cases. The cases were purposively selected on the basis that they were experiencing high survival anxiety and high learning anxiety following an earlier diagnostic OD intervention with a comparable transformational change objective. However, Pawson and Tilley (2004) say that realist evaluation "steers a path between making universal claims about what works,

and focussing on the particulars of specific measures in specific places relating to specific stakeholders" (p. 17). Lincoln and Guba (2007, p. 19) recommend thick descriptive data in order to improve the transferability in qualitative research. Although, in this study the descriptions of the participants and the broader setting are rather thin, this is not considered to be a major limitation to the transferability of the research findings as, due to the nature of a realist evaluation, the study contains thick description of the contexts at the level of investigation—the individual employee—and hence the transferability to other similar contexts and cases is feasible. Furthermore, Yin (2014) prefers to think of the lessons learned from a case study as working hypotheses and argues that the "generalizations, principles, or lessons learned from a case study may potentially apply to a variety of situations, far beyond any strict definition of the hypothetical population of 'like cases' represented by the original case" (p. 41).

In summary, the trustworthiness of the study is certainly considered adequate to achieve the realist evaluation objective of "drawing closer to explaining the complex signature of outcomes left behind by an intervention" (Pawson & Tilley, 2004, p. 11) and thereby answering the main research question of how individual employees experience and make sense of their transition throughout an AI intervention aimed at transformational organisational change.

Recommendations for further research

The recommendations for further research are made in view of the limitations of the current study and in light of the generative propositions which are beyond the scope of the current study.

The research has provided a theory which is substantially more comprehensive than previously available and from which testable propositions can be developed. The limitations of the study, particularly in that causal relationships have not been rigorously tested, present many opportunities for further research. For example, future research could ask:

- Does an AI intervention which includes positivity-orientated activities but which lacks a safe environment, result primarily in participating employees transitioning in terms of positive reinterpretation as distinct from transitioning in terms of the way of knowing?

- Does an AI intervention which provides a safer environment result in participating employees transitioning more deeply in terms of the way of knowing than an AI intervention which provides a less safe environment?
- Does transition in terms of the way of knowing result in broader and/or deeper transition in terms of new insight than would transition in terms of positive reinterpretation?
- Does the exposure of managers during an AI intervention to the honest opinions of more junior staff trigger critical reflection on assumptions by the managers with associated feelings of unpleasantness?
- Is the degree of transition for employees under an AI intervention influenced by their level of trust in senior management?
- Is the degree of transition for employees under an AI intervention influenced by their level of openness to experience?
- Is transition for employees under an AI intervention influenced adversely by their level of dogmatism?
- Is transition for employees under an AI intervention, particularly in respect to behavioural outcome patterns, sustainable?
- Can an AI intervention help dissolve power imbalances and if so, to what extent?

The generative propositions presented in Chapter Six of this thesis are inductively abstracted from the findings of the study but lie outside of the boundary of the analytic framework which focuses on AI types of OD interventions aimed at transformational organisational change. The generative propositions relate mainly to possible differences between dialogic OD and diagnostic OD and present many opportunities for further research, for example:

- Does dogmatism influence the degree of transition under forms of dialogic OD, such as AI, to a greater extent than under a diagnostic OD type of intervention?
- Is AI more likely to dissolve power imbalances than diagnostic OD?
- Is transition in terms of the way of knowing and/or of positive reinterpretation more likely to occur under forms of dialogic OD, such as AI, than under diagnostic OD?
- Is cognitive development more likely to occur under forms of dialogic OD, such as AI, than under diagnostic OD?

- Can transition occur under AI without the need for unlearning?

Conclusion

The study has addressed the main research question of how transitioning individual employees feel and make sense for themselves throughout an AI intervention aimed at transformational organisational change. The subsidiary research questions have also all been addressed by the study. The subsidiary research questions concern AI and: (a) the types of cognitive outcome patterns; (b) the contexts and mechanisms which trigger transition; (c) the affective outcome patterns; and (d) the dissolving of power imbalances.

The research contributions and the examples of opportunities for further research show that the current research not only has achieved the objective of offering fresh insights into the workings and underlying theories of AI, but also offers a more theoretically sound base for future theorising about AI, its rootedness within dialogic OD and the relationships and differences between dialogic OD and diagnostic OD.

Importantly, by studying employee transition under AI in a well-specified research design, using clearly defined and well operationalised constructs in a context-mechanism-outcome framework, the research has provided a better understanding of AI that meets the criteria of the academic community for rigorous research. It thereby overcomes concerns of both Golembiewski (2000) and Bushe (2007) regarding the incompatibility of AI—with its basis in social constructionism—and “rigorous” research.

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Appendices

Appendix A

Case Saturation

Table A1

Detailed Case Saturation by Coding Category

CODES-PRIMARY-DOCUMENTS-TABLE
Report created by Super - 2016/03/03 08:21:42 AM
HU: [C:\My documents\DBA RESEARCH\Atlas-ti\MAIN Study\Seibank MAIN Study.hpr7]

Code-Filter: All [342]
PD-Filter: All [62]
Quotation-Filter: All [1371]

	AM: YY320	BM: HJ400	PRB: GH390	PRB: PP240	PRB: UW510	RM: TT280
CMOCghTscCrda: Pleasantness	31	10	21	26	26	13
CMOCghTqbCjbb: Realisation of own role in change	18	16	17	13	24	13
CMOCghTqbCddg: The bank as a great place to work (interview)	17	12	2	14	12	8
CMOCcdTuaCba: Degree of employee engagement in AI process	16	21	12	13	10	12
CMOCcdTuaCbb: Becoming aware of the viewpoints of others	14	8	4	13	12	8
CMOCghTscCrdc: Unpleasantness	13	7	4	11	3	5
CMOCabTnqCefa: Retrospective opinion of the bank as a great place to work pre the AI intervention (as per the post-AI Interview)	12	10	9	11	11	8
CMOCefTqaCfg: Critical reflection of assumptions with awareness (preliminary categorisation based on self-report of the employee)	11	8	5	3	5	5
CMOCghTqbCdde: The bank as a great place to work (diary and/or observations)	11	11	10	12	13	10
CMOCcdTeaCaa: The AI process in its entirety	10	0	1	2	0	4
CMOCabTabCaba: Employee demographics	8	8	8	8	9	8
CMOCghTqbCaba: Change evaluation regarding the alignment	7	7	6	31	6	12
CMOCghTqfCmbc: Behavioural intentions in general	7	5	2	7	3	4
CMOCabTabCabb: Impact of earlier alignment initiative on job role	6	3	7	7	4	2
CMOCabTnrCrbc: Physical survival anxiety	6	3	5	6	7	3
CMOCabTnrCrbg: Learning anxiety	6	5	4	18	11	7
CMOCghTqbCabj: Recommendations, at AI Destiny stage, for change regarding the alignment	6	9	4	2	5	0
CMOCghTuc: Feeling that AI process was participative/non-participative	6	3	4	4	3	7
CMOCefTqaCfc: Content reflection (as categorised by the Researcher)	5	2	2	5	1	2
CMOCghTqbCddj: Perceived organisational barriers to change at the bank	5	7	13	11	4	9
CMOCghTqfCpca: Behavioural changes regarding positivity	5	0	1	5	7	4
CMOCabTghCcfa: Unpleasantness at time of earlier alignment initiative	4	9	2	2	3	3
CMOCabTghCcka: Current opinion: Earlier alignment initiative was poorly implemented	4	0	1	1	3	1
CMOCghTqbCgfm: I learnt about Organisational Change	4	6	11	7	15	13
CMOCabTghCccba: Opinion at the time of earlier alignment initiative that it was poorly implemented	3	4	3	1	2	6
CMOCabTghCcea: Unpleasantness at time of job interviews related to earlier alignment initiative	3	0	0	0	0	0
CMOCabTghCcra: Employee recommended changes due to the earlier alignment initiative	3	3	16	8	2	2
CMOCabTghCcta: Retrospective opinion of the earlier alignment pre the AI intervention (as per the post-AI Interview)	3	4	5	7	3	3
CMOCcdTeaCcc: Envisioning a positive future	3	14	3	3	7	6
CMOCghTqfCmba: Behavioural changes in general	3	1	1	1	2	1
CMOCabTghCcja: Current opinion: Earlier alignment initiative is a bad initiative	2	2	3	7	5	4
CMOCabTlmCdba: Employee involvement in behaviours intended from earlier alignment initiative	2	3	0	0	0	0
CMOCabTnrCrba: Survival anxiety in general	2	4	5	3	2	1
CMOCcdTha: Non AI activities which occurred during AI period	2	3	0	2	0	0
CMOCefTqaCfe: Process reflection (as categorised by the Researcher)	2	1	1	3	0	5
CMOCabTghCcca: Opinion at the time of earlier alignment initiative that it was a bad initiative	1	0	1	2	0	0
CMOCabTnp:Ceca: Yes a great place to work, but . . .	1	1	1	0	0	0
CMOCcdTeaCab: Recall positive experience and discuss their underlying themes	1	3	2	2	0	0
CMOCghTqfCpdb: Behavioural intentions re positivity	1	1	6	3	4	2
CMOCghTwa: Feelings that AI process was manipulative/non-manipulative	1	0	1	2	1	2
CMOCabTghCcda: Opinion at the time of earlier alignment initiative that it was a good initiative	0	4	0	0	1	0
CMOCabTghCccpa: Pleasantness currently as a result of earlier alignment initiative	0	3	1	0	0	1
CMOCabTnqCeha:Trust in the integrity of top management	0	3	0	0	0	0
CMOCabTghCcna: Unpleasantness currently as a result of earlier alignment initiative	0	2	2	1	1	1
CMOCcdTda: Expectations of the AI intervention	0	2	0	5	0	2
CMOCabTnrCrbe: Psychological survival anxiety	0	1	1	4	1	0
CMOCcdTdd: The activity of completing the Pre-AI diary responses	0	1	0	0	0	0
CMOCcdTeaClp: Presentation of AI recommendations to top management	0	0	3	2	3	0
CMOCcdTeaCgh: Exposure to social constructionism theory ('words create worlds')	0	0	1	0	0	0
CMOCcdTeaCjk: Exposure to 'Seeing the positive in the world' video	0	0	1	1	0	1
CMOCghTqbCjbd: I learnt I can reflect on change	0	0	0	3	0	0
CMOCabTlmCdca: Employee involvement in behaviour was not intended from the earlier alignment initiative	0	0	0	2	1	0
CMOCabTnpCeda: No it is not a great place to work	0	0	0	1	3	1
CMOCcdTeaCll: Infuence of facilitator	0	0	0	1	0	0
CMOCabTghCcga: Pleasantness at time of earlier alignment initiative	0	0	0	0	0	0
CMOCabTghCcma: Current opinion: Earlier alignment initiative is a good initiative	0	0	0	0	0	0
CMOCabTlmCdda: Employee behavioural intentions following the earlier alignment initiative	0	0	0	0	0	0
CMOCabTnpCeba: Yes a great place to work	0	0	0	0	0	0
CMOCcdTeaCef: Make recommendations based on envisioning a positive future	0	0	0	0	0	0
CMOCcdTeaClm: Review of previous AI workshops	0	0	0	0	0	0
TOTALS:	39	7	3	4	0	0

Appendix B

Demographics Questionnaire and Pre-AI Diary Prompts

Participant Questionnaire

Full Name: _____ Date: _____

Age: 18-25 26-35 36-45 46-55 55+ (please circle correct answer)

Male/Female: M / F (please circle correct answer)

Mobile telephone number: _____

Academic Qualifications:

_____

_____

Home language(s): _____

If not English, proficiency in English: _____

Division/department:_____

Years with current employer: _____

Current Position: _____

Years in current position: _____

Brief job description:

_____

_____

Physical work location:

_____

Position you report to (i.e. your current manager's/supervisor's job title):

_____

Previous position: _____

Name of employer (if not same as current employer):

_____

Years in previous position: _____

Brief job description of previous position:

_____

_____

_____

In July 2013 an alignment initiative took place between Retail Relationship Banking (RRB) and Branch Networks.

1) *Please describe how the position you occupied at work at the time was affected by the initiative.*

2) *Please describe how you were personally affected by the initiative.*

Think back to the period when the alignment initiative started:

3) Using three or more sentences, please describe your opinion of the initiative at the time.

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4) How did the initiative make you feel at the time? (Please answer using three or more sentences)

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When you think about the alignment initiative now:

5) Using three or more sentences, please describe your opinion of the initiative.

_____
_____
_____
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6) Please describe how the initiative makes you feel now? (Please answer using three or more sentences)

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7) Please describe how your behaviour may have changed as a result of the initiative.

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_____
_____
_____
_____
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_____

8) If possible, please give examples to support your answer to the previous question.

_____
_____
_____
_____
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_____

9) What do you currently think of this bank as being a great place to work? (Please answer in three or more sentences).

_____
_____
_____
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Looking ahead:

10) Please describe any changes you feel are needed at work. (Please answer in three or more sentences).

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_____
_____
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_____

11) How important are these changes for you? (Please answer in three or more sentences).

_____
_____
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12) In what ways are you confident or unconfident that these changes can be made? (Please answer in three or more sentences).

_____
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Appendix C

During-AI: Diary Prompts

The Great Place to Work Initiative

Please print name: _____ **Date:** _____

Time: _____

Please think about today's workshop:

1) *Using three or more sentences, what do you currently think of this bank as being a great place to work?*

_____

_____

_____

_____

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_____

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_____

2) *Please describe your involvement in today's workshop. (Please answer using three or more sentences).*

_____

_____

_____

_____

_____

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_____

_____

Please continue thinking about today's workshop:

3) What do you think you may have learnt during today's workshop? (Please answer in three or more sentences).

4) How does this change initiative make you feel? (Please answer in three or more sentences).

5) Please describe any significant events for you during today's workshop and why they were significant? (Please answer in three or more sentences).

Please continue thinking about today's workshop:

6) How deeply did you have to think about things in today's workshop and what did you have to think most deeply about? (Please answer in three or more sentences).

_____

_____

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7) To what extend were there adequate opportunities for you to be listened to during today's workshop? (Please answer in three or more sentences).

_____

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8) Do you intend to behave differently as a result of today's workshop and if so, in what way? (Please answer in three or more sentences).

_____

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Appendix D

Sun and Scott's (2003) Examples of Survival and Learning Anxiety

Examples of physical survival anxiety:

- our competitor(s) is/are getting ahead of us;
- unless we learn and change, our jobs are at stake;
- unless we improve our processes/technology, we will continue to be stressed with heavy workload due to inefficient systems/technology;
- unless we improve, we will continue to face criticism by our customers and stakeholders; and
- our career rise depends on our contribution towards learning.

Examples of psychological survival anxiety:

- this is something new. It will enhance my knowledge base;
- it will add value to me as an employee or in the field of specialization (by widening my experience, learning, and enhancing my reputation); and
- this is something interesting. It will give me personal satisfaction to explore this.

Examples of learning anxiety:

- we do not have time for this stuff.
- we have no help. We do not know what we are doing.
- this stuff is not relevant.
- they (i.e. the management) are not walking the talk.
- am I safe? Am I adequate? Can I trust others? Can I trust myself?
- this stuff is not working.
- we have no idea what these people (i.e. the pilot group) are doing.
- they (i.e. the management) will not give us power.
- we keep re-inventing the wheel.
- where are we going? What are we going to do?

(pp. 211-213)

Appendix E

Interview Questions in Isabella's (1990) Study

Before the event:

Help me understand what it was like to be in the organization at that time.

Do you recall any incidents or events that preceded the (specific event)?

Can you describe those events?

What did people do? What was it like to work here then?

What did you think at that time? What seemed important or significant?

Why were these important or significant?

What concerned you at the time?

What questions do you remember having or asking?

What was the mood in the company at that time?

When the event occurred:

When the (specific event) happened, what do you recall about that time?

How were you informed? Did most people hear that way?

How did you react to the news of the upcoming (specific event)?

What incidents or events accompanied the (specific event)?

What did you think at that time? What seemed important or significant?

Why were these important or significant?

What concerned you or others at the time?

What questions do you remember having or asking?

What was being communicated at this time? By upper management?

By your peers? By your manager?

Now that the event has occurred:

After some time has passed, what do you recall most?

What incidents or events do you recall?

What did you think at the time? What seemed or seems important or significant?

Why were these important or significant?

What concerned you or others at the time?

What questions do you remember having or asking?

What did the [specific event] overall signify to you? What did it mean?

(pp. 40-41)

Appendix F

Post-AI: Questionnaire and Interview Guidelines

Post AI Intervention: Questionnaire and semi-structured interview guidelines

Interviewee: _____ ***Date:*** **Page 1**

Interviewer: _____

		to a considerable extent	to a moderate extent	to a slight extent	not at all
Think back to before the AI intervention:					
1.0	What did you think of this bank as a great place to work at that point in time?				
In general, coming to work at that time:		***(please circle the most correct answer)***			
2.1	I felt calm	1	2	3	4
2.2	I felt tense	1	2	3	4
2.3	I felt upset	1	2	3	4
2.4	I felt relaxed	1	2	3	4
2.5	I felt content	1	2	3	4
2.6	I felt worried	1	2	3	4
2.7	Continue to think back to before the Appreciative Inquiry intervention, using the above answers as a guide, discuss with the interviewer, in general what was it like for you coming to work at that time?				
At that time (i.e. before the AI intervention):		***(please circle the most correct***			
3.1	I believed our competitors were getting ahead of us	1	2	3	4
3.2	I believed unless we learnt and changed the future of the company was at stake	1	2	3	4
3.3	I believed unless we improved our processes we would continue to be stressed with heavy workload	1	2	3	4
3.4	I believed unless we improved, we would continue to face criticism by our customers and/or our stakeholders	1	2	3	4
3.5	I believed my contribution towards change was important for my career	1	2	3	4
3.6	I wanted to enhance my knowledge base	1	2	3	4
3.7	I felt change would add value to me as an employee by widening my experience and enhancing my reputation	1	2	3	4
3.8	I felt change is something interesting. It will give me personal satisfaction to explore this	1	2	3	4
3.9	Using the above answers as a guide, please discuss with the interviewer to what extent, before the AI intervention you believed there was a need for change and why.				
At that time (i.e. before the AI intervention) regarding the alignment initiative:		***(please circle the most correct answer)***			
4.1	I felt I do not have time for this stuff	1	2	3	4
4.2	I felt I do not know what I should be doing	1	2	3	4
4.3	I felt this stuff is not relevant	1	2	3	4
4.4	I felt the management are not 'walking the talk'	1	2	3	4
4.5	I asked myself 'am I safe?'	1	2	3	4
4.6	I asked myself 'am I adequate?'	1	2	3	4
4.7	I asked myself 'can I trust others?'	1	2	3	4
4.8	I felt this stuff is not working	1	2	3	4
4.9	I felt the management will not give us power	1	2	3	4
4.10	I felt we kept re-inventing the wheel	1	2	3	4
4.11	I asked myself 'where are we going?'	1	2	3	4
4.12	I asked myself 'what are we going to do?'	1	2	3	4
4.13	Using the above answers as a guide, discuss with the interviewer to what extent you felt confident about the likely effectiveness of the alignment process and why.				

		to a considerable extent	to a moderate extent	to a slight extent	not at all
Please now think about the period during the AI intervention:					
5.0	What did you think of this bank as a great place to work during that period?				
6.0	Describe any significant events for you during the AI intervention workshops.				
6.1	Did you tell a positive story?				
6.2	Did you listen to positive stories?				
6.3	Did you question your own way of looking at things?				
6.4	Did you consciously change your way of thinking?				
6.5	How deeply did you have to think about things?				
6.6	At times were you confused how to chose about ways of thinking or about ways to behave in future?				
6.7	Was the process difficult for you? Please explain your answer.				
6.8	Did your opinion of this bank being a great place to work change during any specific events during the AI intervention?				
In general, coming to work during the time of the AI intervention:	***(please circle the most correct answer)***				
7.1	I felt calm	1	2	3	4
7.2	I felt tense	1	2	3	4
7.3	I felt upset	1	2	3	4
7.4	I felt relaxed	1	2	3	4
7.5	I felt content	1	2	3	4
7.6	I felt worried	1	2	3	4
7.7	Continue to think about the period during the AI intervention, using the above answers as a guide, discuss with the interviewer, in general what was the AI intervention like for you and why?				
7.8	Please discuss how you felt during the period of the AI intervention compared with how you felt before the intervention and why.				
During the AI intervention period:	***(please circle the most correct answer)***				
8.1	I believed our competitors were getting ahead of us	1	2	3	4
8.2	I believed unless we learnt and changed the future of the company was at stake	1	2	3	4
8.3	I believed unless we improved our processes we would continue to be stressed with heavy workload	1	2	3	4
8.4	I believed unless we improved, we would continue to face criticism by our customers and/or our stakeholders	1	2	3	4
8.5	I believed my contribution towards change was important for my career	1	2	3	4
8.6	I wanted to enhance my knowledge base	1	2	3	4
8.7	I felt change would add value to me as an employee by widening my experience and enhancing my reputation	1	2	3	4
8.8	I felt change is something interesting. It will give me personal satisfaction to explore this	1	2	3	4
8.9	Using the above answers as a guide, please discuss with the interviewer to what extent, during the AI intervention you believed there was a need for change and why.				
During the AI intervention:	***(please circle the most correct answer)***				
9.1	I felt I do not have time for this stuff	1	2	3	4
9.2	I felt I do not know what I should be doing	1	2	3	4
9.3	I felt this stuff is not relevant	1	2	3	4
9.4	I felt the management are not 'walking the talk'	1	2	3	4
9.5	I asked myself 'am I safe?'	1	2	3	4
9.6	I asked myself 'am I adequate?'	1	2	3	4
9.7	I asked myself 'can I trust others?'	1	2	3	4
9.8	I felt this stuff is not working	1	2	3	4
9.9	I felt the management will not give us power	1	2	3	4
9.10	I felt we kept re-inventing the wheel	1	2	3	4
9.11	I asked myself 'where are we going?'	1	2	3	4
9.12	I asked myself 'what are we going to do?'	1	2	3	4
9.13	Using the above answers as a guide, discuss with the interviewer to what extent you felt confident about the change process and why.				
9.14	Were you aware of any changes in your confidence level about the change process and, if so, do you think it was linked to any specific event?				

		to a considerable extent	to a moderate extent	to a slight extent	not at all
Now that the AI intervention workshops are over:					
10.0	In what way do you think you may view things differently now as a result of the AI intervention?				
10.1	Please describe how your behaviour may have changed as a result of the AI intervention.				
10.2	How significant is any change in your way of thinking or behaving as a result of the AI Intervention to you?				
10.3	What do you currently think of this bank as being a great place to work?				
As a result of the AI intervention, currently:	***(please circle the most correct answer)***				
11.1	I feel calm	1	2	3	4
11.2	I feel tense	1	2	3	4
11.3	I feel upset	1	2	3	4
11.4	I feel relaxed	1	2	3	4
11.5	I feel content	1	2	3	4
11.6	I feel worried	1	2	3	4
11.7	Using the above answers as a guide, discuss with the interviewer, how you currently feel as a result of the AI intervention.				
11.8	Please discuss how you feel now compared with how you felt before the AI intervention and why.				
At the current time:	***(please circle the most correct answer)***				
12.1	I believe our competitors are getting ahead of us	1	2	3	4
12.2	I believe unless we learn and change the future of the company is at stake	1	2	3	4
12.3	I believe unless we improve our processes we will continue to be stressed with heavy workload	1	2	3	4
12.4	I believedunless we improve, we will continue to face criticism by our customers and/or our stakeholders	1	2	3	4
12.5	I believe my contribution towards change is important for my career	1	2	3	4
12.6	I want to enhance my knowledge base	1	2	3	4
12.7	I feel change will add value to me as an employee by widening my experience and enhancing my reputation	1	2	3	4
12.8	I feel change is something interesting. It will give me personal satisfaction to explore this	1	2	3	4
12.9	Using the above answers as a guide, please discuss with the interviewer to what extent, you currently believe there is a need for change and why.				
13.0	How confident are you that, if required, appropriate changes can be made in the future?				
Looking back over the AI intervention process:					
14.0	I feel I have been forced into changing	1	2	3	4
14.1	I feel my personal needs have been ignored	1	2	3	4
14.2	Discuss to what extent you feel the AI process has been fair.				

Appendix G

Deduced Coding Framework

CMOC	Theme	Category	Definition
CMOCab: Pre-AI Context			Factors which may influence employee transition during the upcoming AI intervention which are independant of the AI intervention and which existed prior to the introduction of the AI intervention.
	CMOCabTab: Diagnostic OD initiative objective		Degree and nature of transformational change objective of earlier diagnostic OD initiative and impact on employee job position
		CMOCCabTabCaba: Impact of diagnostic OD initiative on job role	Impact of diagnostic OD on job role of employee as reported by the employee
	CMOCabTcd: Employee demographics		Sub-region, age, length of service, gender, home language, highest qualification, job position
	CMOCabTef: Employee traits		e.g. locus of control, self-efficacy, dispositional affective states, tolerance for ambiguity, dispositional resitance to change, dispositional cynicism, openness to experience, neuroticism and conscientiousness.
		CMOCabTefCbba: Employee adaptability	Acknowledgement that ability to adapt to change is important for career
	CMOCabTgh: Degree of transition during Diagnostic OD initiative		As operationalised by current opinion of the earlier diagnostic OD initiative and current level of stress as a result of the dignostic OD initiative and opinion and level of stress at time of diagnostic OD initiative
		CMOCabTghCcba: Opinion at the time: Diagnostic OD initiative was poorly implemented	Opinion at the time of the diagnostic OD initiative was that it was poorly implemented
		CMOCabTghCcca: Opinion at the time: Diagnostic OD initiative was a bad initiative	Opinion at the time of the diagnostic OD initiative was that it was a bad initiative
		CMOCabTghCcda: Opinion at the time: Diagnostic OD initiative was a good initiative	Opinion at the time of the diagnostic OD initiative was that it was a good initiative
		CMOCabTghCcea: Discomfort at time of diagnostic OD related job interviews	Reported high stress or discomfort at time of diagnostic job interviews
		CMOCabTghCcfa: Discomfort at time of diagnostic OD initiative	Reported high stress or discomfort at time of diagnostic OD initiative
		CMOCabTghCcga: Comfort at time of diagnostic OD initiative	Reported low stress or comfort at time of diagnostic OD inititative
		CMOCabTghCcha: Current opinion: Diagnostic OD initiative can work, but...	Current opinion is that the diagnostic OD initiative can work but only conditional on other factors
		CMOCabTghCcja: Current opinion: Diagnostic OD initiative is a bad initiative	Current opinion is that the diagnostic OD initiative is a bad initiative
		CMOCabTghCcka: Current opinion: Diagnostic OD initiative was poorly implemented	Current opinion is that the diagnostic OD initiative was poorly implemented
		CMOCabTghCcma: Current opinion: Diagnostic OD initiative is a good initiative	Current opinion is that the diagnostic OD initiative is a good initiative
		CMOCabTghCcna: Discomfort currently as a result of diagnostic OD initiative	Reported high stress or discomfort currently as a result of diagnostic OD initiative
		CMOCabTghCcpa: Comfort currently as a result of the diagnostic OD initiative	Reported low stress or comfort currently as a result of the diagnostic OD initiative
	CMOCabTjk: Employee recommended changes due to the earlier Diagnostic OD initiative		Recommended changes due to the diagnostic OD initiative, degree of optimism that they can or will be implemented
	CMOCabTlm: Behavioural reaction as result of diagnostic OD initiative		Behaviour changes or intended behavioural chnages as a result of the diagnostic OD initiative
		CMOCabTlmCdba: Employee involvement in behaviours intended from diagnostic OD initiative	Active involvement in activities that are encouraged by the change
		CMOCabTlmCdca: Employee involvement in behaviour which was not intended from the diagnostic OD change objectives	Active involvement in activities which are intended to resist the change
		CMOCabTlmCdda: Employee behavioural intentions following diagnostic OD initiative	Intentions to support or resist the change in future
	CMOCabTnp: The bank as a great place to work following the diagnostic OD initiative		Opinion of the bank as a great place to work following the diagnostic OD initiative
		CMOCabTnpCeba: Yes a great place to work	Unqualified 'Yes' to bank being a great place to work
		CMOCabTnpCeca: Yes a great place to work but . . .	Qualified 'Yes' to bank being a great place to work
		CMOCabTnpCeda: No it is not a great place to work	Unqualified 'No' to bank being a great place to work

CMOC	Theme	Category	Definition
CMOCcd: During AI Context			Factors involving aspects of the AI intervention itself that may influence employee transition
	CMOCcdTpq: AI Change Objective		Degree and nature of transformational change objective of AI intervention and direct impact on employee job position
	CMOCcdTpr: Discovery		What constitutes a "great place to work"? What is the bank's employer brand? How has the initiative created new opportunities to live the brand? What practical steps need to be taken to integrate these ideas?
	CMOCcdTps: Dream		To take what was learnt in the Discovery stage and construct a vision for the ideal future. This vision will be grounded in the existing experience of participants and their aspirations for the future
	CMOCcdTpt: Design		Bridging the gap between current reality and the desired future. Here participants will engage in group work that leads to practical steps which can be taken in the short, medium and long term.
	CMOCcdTpu: Destiny		A final action plan with recommendations will be developed.
	CMOCcdTua: AI Change process		The manner in which the AI based change intervention was implemented
		CMOCcdTuaCsba:Employee engagement in AI process	Employee's active participation in the AI intervention workshops
		CMOCcdTuaCuba: Facilitator support during AI intervention	Employee perception of Facilitator support and competence during AI intervention
CMOCef AI intervention transition mechanisms			Mechanisms refer to the processes of how subjects interpret and act upon the intervention
	CMOCefTqa: Employee sensemaking process during AI intervention		Pertains directly to what change recipients think during the AI intervention in response to the change
		CMOCefTqaCfba: Recalled positive experiences	
		CMOCefTqaCfca: Depth of reflection	
		CMOCefTqaCfcab: Content Reflection	Using our beliefs to make an interpretation as opposed to attending to the grounds or justification for our beliefs. The questin of whether our beliefs or conceptions are 'valid' is NOT one posed by content reflection.
		CMOCefTqaCfcac: Process Reflection	Asking about the process or method of our problem solving
		CMOCefTqaCfcad: Critical reflection of assumptions with awareness	Conscious and explicit reassessment of the consequence and origin of our meaning structures
		CMOCefTqaCfcae: Cognitive disbalance	The interruption of ongoing behaviour and thought together with the unavailability of a solution
		CMOCefTqaCfcaf: Cognitive balance	No interruption of ongoing behaviour or thought without an available solution.
CMOCgh: AI intervention			Consequences of the intervention at the level of the individual
	CMOCghTqb: Content of employee sensemaking during and following the AI intervention		Employee opinion of the change objective duirng and following the AI intervention
		CMOCghTqbCgba: Change evaluation	Change recipients' assesment of the change's value for themselves, or for the organisation or for both (includes decision satisfaction, change commitment, support for business strategy, openness to the change, perceived fairness)
		CMOCghTqbChba Anticipated outcomes of AI intervention	What do change recipients believe the change means (sensemaking) e.g. downsizing, greater workload, increased job complexity, loss of job control, more interesting and challenging work, increased development, improved employability, increased pay, reduced job security
		CMOCghTqbCiba Percieved organisational barriers to change	What do change recipients believe theorganisational barriers to chane are
	CMOCghTqc: Degree of movement to new lens during and following the AI intervention		New lens = a perspective which can create new possibilities for action that the individual had not previously considered
		CMOCghTqcCjba: The bank as a great place to work	Opinion of the bank as a great place to work during and following the AI intervention
		CMOCghTqcCjbaa: Supportive environment and trustworthy management	During and following the AI intervention: Level of trust in management, feel supported, feel respected. Trust among colleagues. Support of significant others.
		CMOCghTqcCjbab: Commitment to bank	During and following the AI intervention: Commitment to organisation, accept its values.
		CMOCghTqcCjbac: Culture	During and following the AI intervention: Perceiving environment as positive or negative. Fit between the change and organisation's existing cultural values.
		CMOCghTqcCjbad: Employee rewards, recognition and development	During and following the AI intervention: positive regarding rewards, recognition, and/or development
		CMOCghTqcCjbae Job satisfaction	During and following the AI intervention: Increases in skill variety, task identity, task significance, autonomy and feedback
		CMOCghTqcCjbaf Job security	During and following the AI intervention: Increases in skill variety, task identity, task significance, autonomy and feedback
		CMOCghTqcCkaa: New lens at level of new knowledge	A new way of looking at the world is accepted and employs some kind of realisation that something not previously considered important is now important, or vice versa. Excludes new epistemologies.
		CMOCghTqcCmab: New lens at level of epistemology	A change from what was 'subject' in knowing to what is 'object' in knowing (i.e. when a way of knowing moves from a place where we are 'had by it' (captive of it) to a place where 'we have it' and can be in relationship to it).
	CMOCghTqd: Employee behavioural changes as a result of AI intervention		Pertains directly to what change recipients do or intend to do in response to the change
		CMOCghTqdCnba: Behavioural changes	Degree of active involvement in activities that are encouraged by the change
		CMOCghTqdCpba: Behavioural intentions	Intentions to support or resist the change
	CMOCghTra: Employee experience during AI intervention		Pertains directly to how change recipients feel during the AI intervention in response to the change
		CMOCghTraCqba: State anxiety	Anxiety which may vary in intensity and fluctuate over time
		CMOCghTraCqbaa: Well-being, health	Health issues, such as psychological withdrawal, work-related irritation, emotional exhaustion, which are believed by employee to be due to AI intervention,
		CMOCghTraCqbab: Physical survival anxiety	Anxiety dealing with physical survival in the organisation
		CMOCghTraCqac: Psychological survival anxiety	Anxiety related to the need for cognitive enhancement
		CMOCghTraCqad: Learning anxiety	Fear of failure or loss
		CMOCghTraCrba: Pleasantness	Positive view of AI based change intervention
	CMOCghTta: Feelings that AI process was participative		Degree to which change recipients feel that they or other participants had opportunities to be involved in planning and implementing the change

Appendix H

Amended Coding Framework

Realist evaluation component	Theme	Category	Definition
CMOCbe: Pre-AI Context			Factors which may influence employee transition during the upcoming AI intervention which are independant of the AI intervention and which existed prior to the introduction of the AI intervention.
	CMOCcdTbb: Stage of transition of individual employee following the diagnostic OD initiative		Stage of transition of individual employee following the diagnostic OD intervention with a comparable transformational organisational change objective
CMOCcd: During AI Context			Factors involving aspects of the AI intervention itself that may influence employee transition
	CMOCcdTcc: AI Change objective		
	CMOCcdTea: AI Activities		
		CMOCcdTeaCab: Recall positive experiences and discuss their underlying themes	
		CMOCcdTeaCcc: Envisioning a positive future	
		CMOCcdTeaCef: Make recommendations based on envisioning a positive future	
		CMOCcdTeaCgh: Exposure to social constructionism theory ('words create worlds')	
		CMOCcdTeaCjk: Exposure to 'seeing the positive'	
		CMOCcdTpgClm: Review of previous AI workshops	
	CMOCcdTua: AI Change process		The manner in which the AI based change intervention was implemented
		CMOCcdTuaCba:Degree of employee engagement in AI process	Employee's active participation in the AI intervention workshops
		CMOCcdTuaCbb: I became aware of the viewpoints of others	Employee learnt by listening to other participants
		CMOCcdTuaCbd: Facilitator support during AI intervention	Employee perception of Facilitator support and competence during AI intervention
CMOCef AI intervention transition mechanisms			Mechanisms refer to the processes of how subjects interpret and act upon the intervention
	CMOCefTqa: Depth of reflection		The sense making (meaning making) cognitive process for the change recipients during the AI intervention in response to the change
		CMOCefTqaCfc: Content Reflection (as categorised by the Researcher)	Using our beliefs to make an interpretation as opposed to attending to the grounds or justification for our beliefs. The questin of whether our beliefs or conceptions are 'valid' is NOT one posed by content reflection. (Codes are assigned to this category at the descretion of the Researcher).
		CMOCefTqaCfe: Process Reflection (as categorised by the Researcher)	Asking about the process or method of our problem solving. (Codes are assigned to this category at the descretion of the Researcher).
		CMOCefTqaCfg: Critical reflection of assumptions with awareness (preliminary categorisation based on self-report of the employee)	Conscious and explicit reassessment of the consequence and origin of our meaning structures. (Codes are preliminarily assigned to this category based on the employee implying that 'he/she had to reflect or think deeply')
	CMOCefTra: Degree of cognitive disbalance		The extent to which ongoing behaviour is interrupted with the unavailability of a solution
		CMOCefTqaChb: Cognitive disbalance	The interruption of ongoing behaviour and thought together with the unavailability of a solution
		CMOCefTqaChd: Cognitive balance	No interruption of ongoing behaviour or thought without an available solution.

Realist evaluation component	Theme	Category	Definition
CMOCgh: AI intervention output patterns			Consequences of the intervention during and following the AI intervention at the level of the individual
	CMOCghTqb: Knowledge content of employee sensemaking during and following the AI intervention		Knowledge content (including beliefs, value judgements, or feelings) involved in making an interpretation. Includes what is though of as being important.
		CMOCghTqbCab: Change evaluation	Participant's assessment of the change's value for themselves, or for the organisation or for both (includes decision satisfaction, change commitment, support for business strategy, openness to the change, perceived fairness)
		CMOCghTqbCag Perceived organisational barriers to change at the bank	The participant's beliefs about what the organisational barriers to change are
		CMOCghTqbCdba: The bank as a great place to work	Opinion of the bank as a great place to work during and following the AI intervention
		CMOCghTqbCfca: Recommendations for change at AI Destiny Phase	Recommended changes at Destiny Phase of AI intervention and degree of optimism that the recommended changes can or will be implemented
		CMOCghTqbChda: I learnt about Organisational change	The employee learnt about organisation change theory or practice in a more general sense than just what is or is not working at the bank itself
	CMOCghTqd: Epistemological aspect of employee sensemaking during and following the AI intervention		Employee assumptions regarding extent they are 'had by it' (captive of it) or 'have it' and can be in relationship to it.
		CMOCghTqdCkb Realisation of own role in change	Employee 's recognition that they can decide how to react to change
	CMOCghTqf: Employee behavioural changes as a result of AI intervention		Pertains directly to what change recipients do or intend to do in response to the change
		CMOCghTqfCmba: Behavioural changes	Degree of active involvement in activities that are encouraged by the change
		CMOCghTqfCmbc: Behavioural intentions	Intentions to support or resist the change
	CMOCghTqh: Degree of movement to new lens during and following the AI intervention		New lens = a perspective which can create new possibilities for action that the individual had not previously considered
		CMOCghTqhCpcb: Move to a new lens at level of new knowledge	A new way of looking at the world is accepted and employs some kind of realisation that something not previously considered important is now important, or vice versa. Excludes new epistemologies.
		CMOCghTqhCpcd: Move to a new lens at level of new epistemology	A change from what was 'subject' in knowing to what is 'object' in knowing (i.e. when a way of knowing moves from a place where we are 'had by it' (captive of it) to a place where 'we have it' and can be in relationship to it).
	CMOCghTsc: Employee pleasantness/unpleasantness during AI intervention		Pertains directly to how change recipients feel during the AI intervention in response to the change
		CMOCghTscCrba: State anxiety	Anxiety which may vary in intensity and fluctuate over time
		CMOCghTscCrbaa: Well-being, health	Health issues, such as psychological withdrawal, work-related irritation, emotional exhaustion, which are believed by employee to be due to AI intervention,
		CMOCghTscCrbac: Physical survival anxiety	Anxiety dealing with physical survival in the organisation
		CMOCghTscCrbae: Psychological survival anxiety	Anxiety related to the need for cognitive enhancement
		CMOCghTscCrbag: Learning anxiety	Fear of failure or loss
		CMOCghTscCrda: Pleasantness	Comfort during AI intervention
		CMOCghTscCrdc: Unpleasantness	Discomfort during AI intervention
	CMOCghTuc: Feelings that AI process was participative		Degree to which change recipients feel that they or other participants had opportunities to be involved in planning and implementing the change
		CMOCghTucCtda: Feeling that AI process was participative	Feeling that AI process was participative
		CMOCghTucCtfb: Feeling that AI process was NOT participative	Feeling that AI process was NOT participative

Appendix I

Refined Post-AI Data Collection Instrument

Post AI Intervention: Questionnaire and semi-structured interview guidelines **Page 1**

Interviewee:_____ ***Date:***_____

Venue:_____

Welcome and thank you for attending. *Ask if OK to record.* *Explain interest in understanding how participants experienced the Appreciative Inquiry intervention.* *Reassure confidentiality.*	not at all	to a very slight extent	to some extent	to a moderate extent	to a considerable extent	
1.0 I'm interested in hearing what the Appreciative Inquiry intervention was like for you?						
2.0 Do you think your opinions or behaviour changed as a result of the AI intervention?						
If you think back to just prior to the AI intervention, to what extent did you feel that:						
(please circle the one which best reflects your opinion)						
3.1 There was no need for any change	1	2	3	4	5	- Survival anxiety in general
3.2 Unless things changed, we would continue to be stressed with heavy workload	1	2	3	4	5	Physical survival anxiety
3.3 Unless things changed, we would continue to face criticism by our management and/or our clients	1	2	3	4	5	
3.4 Unless we changed our competitors could get ahead of us	1	2	3	4	5	
3.5 Being involved in a change process would enhance my knowledge base	1	2	3	4	5	- Psychological survival anxiety
3.6 Using the above answers as a guide, please tell me more about the extent to which you believed, at that time, there was a need for change and why.						Survival anxiety
Still at the time just prior to the AI intervention,regarding the alignment initiative between RRB and branch networks, to what extent did you:						
4.1 Feel that I do not have time for this stuff	1	2	3	4	5	Learning anxiety
4.2 Feel that this stuff is not relevant	1	2	3	4	5	
4.3 Feel 'safe'	1	2	3	4	5	
4.4 Ask yourself 'am I adequate?'	1	2	3	4	5	
4.5 Know where the combined division was supposed to be going	1	2	3	4	5	
4.6 Using the above answers as a guide, please tell me more about your opinion, at that time, of the alignment initiative.						- Pre-AI opinion of alignment
4.7 Using the above answers as a guide, please tell me more about the extent to which you felt confident, at that time, about the likely effectiveness of the Appreciative Inquiry process and why.						- Learning anxiety
If you continue to think back to before the AI intervention started, what did you think of the bank as a great place to work at that time, in terms of:	Very poor	Poor	Fair	Good	Outstanding	
If you continue to think back to before the AI intervention started, what did you think of the bank as a great place to work at that time, in terms of:						
3.1 Job security	1	2	3	4	5	Pre-AI opinion of bank as great place to work
3.2 Technical support (e.g. systems)	1	2	3	4	5	
3.3 Rewards, recognition, and development	1	2	3	4	5	
3.4 Job satisfaction	1	2	3	4	5	
3.5 Culture (e.g. the bank cares about my opinion)	1	2	3	4	5	
3.6 In general, overall	1	2	3	4	5	
3.7 Using the above answers as a guide, please tell me more about your opinion, at that time, of the bank as a great place to work.						

Let's now chat about your current opinions and feelings - as we sit here now.		Very poor	Poor	Fair	Good	Outstanding	
What do you currently think of the bank as a great place to work in terms of:							
4.1	In general, overall	1	2	3	4	5	Movement to a new lens re bank as a great place to work
4.2	Culture (e.g. the bank cares about my opinion)	1	2	3	4	5	
4.3	Job satisfaction	1	2	3	4	5	
4.4	Rewards recognition and development	1	2	3	4	5	
4.5	Technical support	1	2	3	4	5	
4.6	Job security	1	2	3	4	5	
5.0	Using the above answers as a guide, please discuss with the interviewer, in general how did your opinion of the bank as a great place to work change as a result of the Appreciative Inquiry process?						
6.0	Did anything change in importance for you, in determining your opinion opinion of the bank as a great place to work, as a result of the Appreciative Inquiry process?						
7.0	Which activities in the Appreciative Inquiry workshops may have particularly influenced any change in your thinking about the bank as a great place to work?						Link to contexts
7.1	Please explain how these particular activities may have influenced any change in your thinking						
8.0	In what way do you think the opinions of other participants in the work shop may have influenced any change in your opinion about the bank being a great place to work?						
9.0	In changing your opinion about the bank as a great place to work, what questions did you have to ask yourself?						Mechanism: Depth of reflection
10.0	At times, how sure or unsure were you about how to choose ways of thinking or behaving?						
11.0	Was the change process easy or difficult for you? Please explain your answer.						
Continuing to think about your feelings during the Appreciative Inquiry intervention:		not at all	to a very slight extent	to some extent	to a moderate extent	to a considerable extent	
During the AI process, whilst considering the bank as a great place to work, to what extent did you:							
12.1	Feel at ease	1	2	3	4	5	Pleasantness
12.2	Feel sad	1	2	3	4	5	
12.3	Feel angry	1	2	3	4	5	
12.4	Feel delighted	1	2	3	4	5	
12.5	During the Appreciative Inquiry process, whilst you were thinking about the bank as a great place to work, please tell me more about what was it like for you (use the above answers as a guide)						

Let's continue to talk about your current opinions and feelings - as we sit here now.							
13.0	What is your current opinion of the alignment between RRB and branch networks?						Movement to new lens re opinion of alignment
14.0	To what extent did your opinion of the alignment between RRB and branch networks change as a result of the workshops?						
15.0	Did anything change in importance for you, in determining your opinion opinion of the alignment, as a result of the Appreciative Inquiry process?						
16.0	Which activities in the Appreciative Inquiry workshops may have particularly influenced any change in your thinking about the alignment between RRB and branch networks?						Link to contexts
16.1	Please explain how these particular activities may have influenced your thinking						
17.0	In what way do you think the opinions of other participants in the work shop may have influenced any change in your opinion about the alignment?						
18.0	In thinking about the alignment between RRB and branch networks, what questions did you have to ask yourself?						Mechanism: Depth of reflection
19.0	At times, how sure or unsure were you about how to choose ways of thinking or behaving?						
20.0	Was the change process easy or difficult for you? Please explain your answer.						
Continuing to think about your feelings duirng the Appreciative Inquiry intervention:		**not at all**	**to a very slight extent**	**to some extent**	**to a moderate extent**	**to a considerable extent**	
During the AI process, whilst considering the alignment between RRB and branch networks, to what extent did you:							
21.1	Feel calm	1	2	3	4	5	Pleasantness
21.2	Feel sad	1	2	3	4	5	
21.3	Feel angry	1	2	3	4	5	
21.4	Feel delighted	1	2	3	4	5	
21.5	During the Appreciative Inquiry process, whilst you were thinking about the alignment between RRB and branch networks, please tell me more about what was it like for you (use the above answers as a guide).						

Now that you have been through the Appreciative Inquiry intervention, lets chat about organisational change in general:							
In terms of organisational change in general, to what extent do you feel that:		**not at all**	**to a very slight extent**	**to some extent**	**to a moderate extent**	**to a considerable extent**	
22.1	I have no choice as to my attitude towards an organisational change	1	2	3	4	5	subject/object balance
22.3	The change is 'out-there' so my attitude makes no difference	1	2	3	4	5	
22.4	I can reflect upon an organisational change	1	2	3	4	5	
22.6	I can take responsibility for my response to organisational change	1	2	3	4	5	
22.7	I can choose how to react to organisational change	1	2	3	4	5	
22.8	Choosing to be positive does not really change what I have to deal with	1	2	3	4	5	
22.9	Please tell me more about your possible role in organisational change (use the above answers as a guide)						
22.10	Do you think that being positive really helps? Please explain.						
23.0	Which activities in the Appreciative Inquiry workshops may have particularly influenced your thinking about your own role in change?						Context
23.1	Please explain how these particular activities may have influenced your thinking						
24.0	To what extent might your current view of your role in organisational change have influenced your view of the bank as a great place to work?						Interwoven?
25.0	To what extent might your current view of your role in organisational change have influenced your view of the alignment?						
26.0	Do you think your behaviour has changed as a result of the AI intervention? Please give examples if possible.						- Behaviour
Looking back over the AI intervention process:							
27.0	I feel I have been forced into changing	1	2	3	4	5	Participation
28.0	I feel my voice was heard	1	2	3	4	5	
29.0	Discuss to what extent you feel the AI process has been fair and inclusive						
30.0	Do you think your experience was common amongst the participants?						Closing
31.0	Is there anything else you would like to say about your experience of the Appreciative Inquiry process?						

Appendix J

Final Coding Framework

Realist evaluation component	Theme	Category	Definition
CMOCab: Pre-AI Context			Factors which may influence employee transition during the upcoming AI intervention which are independant of the AI intervention and which existed prior to the introduction of the AI intervention.
	CMOCabTab: Employee demographics and impact of earlier alignment initiative on job role		Employee demographics and impact of earlier alignment initiative on job role
		CMOCabTabCaba: Employee demographics	Sub-region, age, length of service, gender, home language, highest qualification, job role
		CMOCCabTabCabb: Impact of earlier alignment initiative on job role	Impact of earlier alignment initiative on job role of employee as reported by the employee
	CMOCabTef: Employee traits		Personality traits which may influence employee reaction to an organisational change initiaive (e.g. locus of control, self-efficacy, dispositional affective states, tolerance for ambiguity, dispositional resitance to change, dispositional cynicism, openness to experience, neuroticism and conscientiousness).
		CMOCabTefCbba: Employee adaptability	Employee acknowledges that ability to adapt to change is important
	CMOCabTgh: Stage of transition from earlier alignment initiative		As operationalised by current opinion and level of unpleasantness as a result of the earlier alignment inititiave as compared with opinion and level of unpleasantness at time of earlier alignment inititative.
		CMOCabTghCcba: Opinion at the time of earlier alignment initiative that it was poorly implemented	Opinion at the time of earlier alignment initiative that it was poorly implemented
		CMOCabTghCcca: Opinion at the time of earlier alignment initiative that it was a bad initiative	Opinion at the time of earlier alignment initiative that it was a bad initiative
		CMOCabTghCcda: Opinion at the time of earlier alignment initiative that it was a good initiative	Opinion at the time of earlier alignment initiative that it was a good initiative
		CMOCabTghCcea: Unpleasantness at time of job interviews related to earlier alignment initiative	Reported high stress or unpleasantness at time of job interviews related to earlier alignment inititiave
		CMOCabTghCcfa: Unpleasantness at time of earlier alignment inititative	Reported high stress or unpleasantness at time of earlier alignment initiative
		CMOCabTghCcga: Pleasantness at time of earlier alignment inititative	Reported low stress or unpleasantness at time of earlier alignment initiative
		CMOCabTghCcja: Current opinion: Earlier alignment inititative is a bad initiative	Current opinion is that the earlier alignment initiative is a bad initiative
		CMOCabTghCcka: Current opinion: Earlier alignment initiative was poorly implemented	Current opinion is that the earlier alignment initative was poorly implemented
		CMOCabTghCcma: Current opinion: ealier alignment initiative is a good initiative	Current opinion is that the earlier alignment initiative is a good initiative
		CMOCabTghCcna: Unpleasantness currently as a result of earlier alignment initiative	Reported high stress or unpleasantness currently as a result of earlier alignment initiative
		CMOCabTghCcpa: Pleasantness currently as a result of the earlier alignment initiative	Reported low stress or pleasantness currently as a result of the earlier alignment initiative
		CMOCabTghCcra: Employee recommended changes due to the earlier alignment initiative	Recommended changes due to the earlier alignment initiative. May include degree of optimism that they can or will be implemented
		CMOCabTghCcta: Retrospective opinion of the earlier alignment pre the AI intervention (as per post-AI interview)	Opinion of the earlier alignment pre the AI intervention, as per the post-AI interview
	CMOCabTlm: Behavioural reaction as result of earlier alignment initiative		Behaviour changes or intended behavioural changes as a result of the earlier alignment initiative
		CMOCabTlmCdba: Employee involvement in behaviours intended from earlier alignment initiative	Active involvement in activities that are encouraged by the change
		CMOCabTlmCdca: Employee involvement in behaviour which was not intended from the earlier alignment change objectives	Active involvement in activities which are intended to resist the change
		CMOCabTlmCdda: Employee behavioural intentions following earlier alignment initiative	Intentions to support or resist the change in future
	CMOCabTnp: The bank as a great place to work following the earlier alignment initiative		Opinion of the bank as a great place to work following the earlier alignment initiative as determined from diary responses
		CMOCabTnpCeba: Yes a great place to work	Unqualified 'Yes' to bank being a great place to work
		CMOCabTnpCeca: Yes a great place to work but . . .	Qualified 'Yes' to bank being a great place to work
		CMOCabTnpCeda: No it is not a great place to work	Unqualified 'No' to bank being a great place to work
		CMOCabTnqCefa: Retrospective opinion of the bank as a great place to work pre the AI intervention (as per post-AI interview)	Opinion of the bank as a great place to work pre the AI intervention, as per the post-AI interview
		CMOCabTnqCeha: Trust in the integrity of top management	Trust in the integrity of top managmentment prior to the start of the AI intervention
	CMOCabTnr: Employee state anxiety pre-AI intervention		Level and nature of state anxiety that participants feel pre the AI intervention in relation to the change. (State anxiety may vary in intensity and fluctuate over time as distinct from trait anxiety which is relatively fixed.)
		CMOCabTnrCrba: Survival anxiety in general	Anxiety dealing with survival in general
		CMOCabTnrCrbc: Physical survival anxiety	Anxiety dealing with physical survival in the organisation
		CMOCabTnrCrbe: Psychological survival anxiety	Anxiety related to the need for cognitive enhancement
		CMOCabTnrCrbg: Learning anxiety	Fear of failure or loss

Realist evaluation component	Theme	Category	Definition
CMOCcd: During AI Context			Factors involving aspects of the AI intervention itself that may influence employee transition
	CMOCcdTda: Expectations of the AI intervention		Participant expectation of the upcoming AI intervention
	CMOCcdTdd: The activity of completing the Pre-AI diary responses		The activity itself of completing the Pre-AI diary response form
	CMOCcdTea: AI Activities		
		CMOCcdTeaCaa: The AI process in its entirety	The entire AI intervention process
		CMOCcdTeaCab: Recall positive experiences and discuss their underlying themes	The AI activity of recalling positive experiences and discussing their underlying themes
		CMOCcdTeaCcc: Envisioning a positive future	The AI activity of envisioning a positive future
		CMOCcdTeaCef: Make recommendations based on envisioning a positive future	The AI activity of making recommendations based on the envisioning a positive future activity
		CMOCcdTeaCgh: Exposure to social constructionism theory ('words create worlds')	The AI activity during which the AI faciltator describes the concept of social constructionism
		CMOCcdTeaCjk: Exposure to 'Seeing the positive in the world' video	The AI activity of watching the 'Seeing the positive in the world' video
		CMOCcdTeaCll: Influence of facilitator	The influence of the AI facilitator
		CMOCcdTeaClm: Review of previous AI workshops	The AI activity of recapping the events and/or learnings from the previous AI workshops
		CMOCcdTeaClp: Presentation of AI recommendations to top management	The AI activity of presenting the recommendations from the AI intervention process to top management
	CMOCcdTha: Non AI activities which occurred during AI period		Activities which influenced participant reactions which occurred during the period of the AI intervention but which were independent of the AI intervention
	CMOCcdTua: AI Change process		The manner in which the AI based change intervention was implemented
		CMOCcdTuaCba:Degree of employee engagement in AI process	The participant's active participation in the AI intervention workshops
		CMOCcdTuaCbb: Becoming aware of the viewpoints of others	The participant learnt by listening to other participants

Realist evaluation component	Theme	Category	Definition
CMOCef AI intervention transition mechanisms			Mechanisms refer to the processes of how subjects interpret and act upon the intervention
	CMOCefTqa: Depth of reflection		The sense making (meaning making) cognitive process for the change recipients during the AI intervention in response to the change
		CMOCefTqaCfc: Content Reflection (as categorised by the Researcher)	The process of using our beliefs to make an interpretation as opposed to attending to the grounds or justification for our beliefs. The questin of whether our beliefs or conceptions are 'valid' is NOT one posed by content reflection. (Codes are assigned to this category at the descretion of the Researcher).
		CMOCefTqaCfe: Process Reflection (as categorised by the Researcher)	Asking about the process or method of our problem solving. (Codes are assigned to this category at the descretion of the Researcher).
		CMOCefTqaCfg: Critical reflection of assumptions with awareness (preliminary categorisation based on self-report of the employee)	Conscious and explicit reassessment of the consequence and origin of our meaning structures. (Codes are preliminarily assigned to this category based on the participant implying that 'he/she had to reflect or think deeply')

Realist evaluation component	Theme	Category	Definition
CMOCgh: AI intervention outcome patterns			Consequences of the intervention during and following the AI intervention at the level of the individual
	CMOCghTqb: Degree of movement to new lens during and following the AI intervention		New lens = a perspective which can create new possibilities for action that the individual had not previously considered
		CMOCghTqbCa: Movement to a new lens regarding the alignment	A new way of looking at the alignment is accepted and employs some kind of realisation that something not previously considered important is now important, or vice versa.
		CMOCghTqbCab: Knowledge content of employee sensemaking during and following the AI intervention regarding the alignment	Knowledge content (including beliefs, value judgements, or feelings) regarding the alignment, involved in making an interpretation. Includes what is thought of as being important.
		CMOCghTqbCaba: Change evaluation regarding the alignment	Participant's assessment of the change's value for themselves, or for the organisation or for both (includes decision satisfaction, change commitment, support for business strategy, openness to the change, perceived fairness)
		CMOCghTqbCabj: Recommendations, at AI Destiny phase, for change regarding the alignment	Recommended changes at Destiny Phase of AI intervention and degree of optimism that the recommended changes can or will be implemented
		CMOCghTqbCd: Movement to a new lens regarding the bank as a great place to work	A new way of looking at the bank as a great place to work is accepted and employs some kind of realisation that something not previously considered important is now important, or vice versa.
		CMOCghTqbCdd: Knowledge content of employee sensemaking during and following the AI intervention regarding the bank as a great place to work	Knowledge content (including beliefs, value judgements, or feelings) regarding the bank as a great place to work , involved in making an interpretation. Includes what is thought of as being important.
		CMOCghTqbCdde: The bank as a great place to work (diary and/or observation)	Opinion of the bank as a great place to work during the AI intervention as determined from diary responses
		CMOCghTqbCddg: The bank as a great place to work (interview)	Opinion of the bank as a great place to work post the AI intervention as determined from the interviews
		CMOCghTqbCddj: Perceived organisational barriers to change at the bank	The participant's beliefs about what the organisational barriers to change are
		CMOCghTqbCg: Movement to a new lens regarding organisational change in general	A new way of looking at organisational change is accepted and employs some kind of realisation that something not previously considered important is now important, or vice versa.
		CMOCghTqbCgf: Knowledge content of employee sensemaking during and following the AI intervention regarding organisational change in general	Knowledge content (including beliefs, value judgements, or feelings) regarding organisational change in general, involved in making an interpretation. Includes what is thought of as being important.
		CMOCghTqbCgfm: I learnt about Organisational change	The participant learnt about organisation change theory or practice in a more general sense than just what is or is not working at the bank itself
		CMOCghTqbCj: Movement to a new lens regarding own role in change	The participant learnt about his/her own role in an organisational change
		CMOCghTqbCjbb Realisation of own role in change	Participant's recognition that they can decide how to react to change
		CMOCghTqbCjbd Learnt can reflect on change	Participant's recognition that they can reflect on change
	CMOCghTqf: Employee behavioural changes as a result of AI intervention		Pertains directly to what change recipients do or intend to do in response to the change
		CMOCghTqfCm: Employee behavioural changes in general, as a result of AI intervention	
		CMOCghTqfCmba: Behavioural changes in general	Degree of active involvement in activities that are encouraged by the change (other than being more positive)
		CMOCghTqfCmbc: Behavioural intentions in general	Intentions to change behaviour (other than intention to be more positive) to support or resist the change
		CMOCghTqfCp: Employee behavioural changes regarding being more positive, as a result of AI intervention	Pertains directly to what change recipients do or intend to do in response to the change
		CMOCghTqfCpca: Behavioural changes regarding positivity	Degree of active involvement in activities that are related to being more positive about the change
		CMOCghTqfCpdb: Behavioural intentions regarding positivity	Intentions to be involved in activities that are related to being more positive about the change
	CMOCghTsc: Employee pleasantness/unpleasantness during AI intervention		Pertains directly to how change recipients feel during the AI intervention in response to the change
		CMOCghTscCrda: Pleasantness	Pleasantness during or folloing AI intervention
		CMOCghTscCrdc: Unpleasantness	Unpleasantness during or following AI intervention
	CMOCghTuc: Feelings that AI process was participative/non-participative		Degree to which participants feel that they or other participants had opportunities to be involved in planning and implementing the change
	CMOCghTwa: Feelings that AI process was manipulative/non-manipulative		Degree to which participants feel that they or other participants had been manipulated by the AI process

Appendix K

Ethical Clearance

Gordon Institute of Business Science
University of Pretoria

To Whom it May Concern

GIBS Research Ethics Committee (REC) Outcome: Philip Maxton

This letter serves to confirm that on 18 November 2013 Mr Philip Maxton (UP Student number 12247512) was granted ethics approval by the GIBS Research Ethics Committee to collect data according to his ethics application.

Please contact me on + 27 771 4350 if you have any queries.

Yours sincerely

Vivienne Spooner
Senior Programme Manager: Doctoral Programme

Gordon Institute of Business Science
Reg. No. [illegible]
26 Melville Road, Illovo, Johannesburg
PO Box 787602, Sandton, 2146, South Africa
telephone (+27) 11 771 4000
fax (+27) 11 771 4177
website gibs.co.za
University of Pretoria

UNIVERSITY OF PRETORIA
Gordon Institute of Business Science (GIBS)
APPLICATION FOR ETHICAL CLEARANCE

DBA RESEARCH PROJECT INFORMATION	
NAME	PHILIP JOHN MAXTON
STUDENT NUMBER	122 47 512
TELEPHONE / CELL PHONE	082 456 4180
E-MAIL OF RESEARCHER	philipm@ncm.co.za
PROPOSED TITLE OF STUDY	Individual transition under Dialogic versus Diagnostic Organisational Transformation
RESEARCH SUPERVISOR	Prof. John Veritas
E-MAIL OF SUPERVISOR	john.veritas@masslriver.co.za

GIBS distinguishes between FOUR types of data. Please complete the table for ALL the data types that you plan to use.

Type of data	Relevant section of form	Attachments (please mark that they are included)	Initial all those sections that apply to your research
HUMAN: A. Pre-existing personal records, e.g. performance reviews	A	☐ Methodology section of proposal ☐ Permission letter from organisation to use the data	
B. New data solicited, e.g. interviews or surveys	B	☑ Methodology section of proposal ☐ Separate informed consent statement (unless included in the document marked below) ☑ Interview schedule / questionnaire / proprietary test instrument / description of intervention ☐ IF proprietary test instrument, letter of permission	PM
NON-HUMAN: C. Public data, e.g. World Bank or other databases	C	☐ Methodology section of proposal	
D. Private/ Organisation-specific non-human data, e.g. financial statements of private companies	D	☐ Methodology section of proposal ☐ Permission letter from organisation to use the data	

Complete all sections relevant to your research.
ALL researchers must complete Sections E and F.

A. PRE-EXISTING RECORDS OF HUMAN SUBJECTS

N/A

1. Specify the nature of records and how they will be used.

2. Confirm that permission has been obtained to study and report on these records.
   ☐ I confirm.
   Remember to attach permission letter(s).

3. Provide the name and job title of the person in the organisation who has authorised the use of the records.

4. How will confidentiality and/or anonymity be assured? (Mark all that apply).

   ☐ No names will be recorded
   ☐ No names will be requested
   ☐ Data will be stored without identifiers
   ☐ Only aggregated information will be provided
   ☐ Other. Please specify

B. NEW DATA OBTAINED FROM HUMAN SUBJECTS

5. If subjects are to be recruited, please confirm that no inducement is to be offered.
   ☑ I confirm

6. Mark the applicable box (es) to identify the proposed procedure(s) to be carried out to obtain data.
   ☑ Interview schedule (Attach if applicable)
   ☑ Questionnaire (Attach if applicable)
   ☐ Pre-existing proprietary test instrument, e.g. MBTI (Attach)
   IF a pre-existing proprietary test instrument is used, confirm that permission has been obtained to use it.
   ☐ I confirm
   Remember to attach permission letter(s).
   ☐ Intervention, e.g. training (Describe)

7. Confirm that the data gathering is accompanied by a consent statement.
   ☑ I confirm

8. Where is the consent statement found?
   ☑ As part of the data gathering document, e.g. in the introduction of the questionnaire.
   ☐ As a separate document. Remember to attach.

9. Is there is risk that the researcher is not competent in (one of) the language(s) subjects use to communicate?
   ☐ Yes, there is a risk
   ☑ No, there is not a risk
   IF yes, how will the subjects' full comprehension of the content of the research, including giving consent, be ensured? Please specify.

10. Do subjects risk possible harm or disadvantage (e.g. financial, legal, social) by participating in the research?
    ☑ No
    ☐ Yes.
    IF yes, explain what types of risk and what is done to minimise and mitigate those risks.

11. Are there any aspects of the research about which subjects are not to be informed?
    ☐ No
    ☑ Yes.
    IF yes, explain why, and how subjects will be debriefed.
    Subjects will not be informed of constructs of interest (i.e. cognitive and affective experience) until final interview process at post-intervention stage.

12. How will confidentiality and/or anonymity be assured?
    ☐ No names will be recorded
    ☐ No names will be requested
    ☑ Data will be stored without identifiers
    ☐ Only aggregated information will be provided
    ☐ Other. Please specify

C. PUBLIC NON-HUMAN DATA N/A.

13. Specify the nature of records to be used: How they will be selected, sourced and used.

D. PUBLIC DOMAIN / COMPANY-SPECIFIC NON-HUMAN DATA N/A

14. Specify the nature of records (e.g. marketing reports or safety records) and how they will be used.

15. Confirm that permission has been obtained to study and report on these records.
    ☐ I confirm.
    Remember to attach permission letter(s).

16. Provide the name and job title of the person in the organisation who has authorised the use of the records.

17. Do companies risk possible harm or disadvantage (e.g. financial, legal, social) by participating in the research?
    ☐ No
    ☐ Yes. Explain what types of risk and what is done to minimise and mitigate those risks.

18. How will confidentiality and/or anonymity be assured?
    ☐ All company-specific details will be removed
    ☐ Data will be stored without identifiers
    ☐ Only aggregated information will be provided
    ☐ Other. Please specify

19. If the company is named, an embargo form that will delay public release of the research by 2 years can be signed by the researcher upon handing in the thesis. Confirm that you are aware of that option to protect company details, and that you are aware that the responsibility for signing such a form lies with the researcher, not GIBS.
    ☐ I confirm.

E. TO BE COMPLETED BY ALL RESEARCHERS

20. In what format will the data be stored? Mark all that apply.
☑ Physically
☑ Electronically
☐ Other. Please explain.

21. Confirm that the data will be stored for a minimum period of 10 years.
☑ I confirm.

22. It is a goal of GIBS to make research available as broadly as possible. Mark the boxes below for the medium/media in which you do **NOT** wish results to be made available.

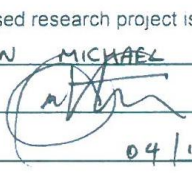
Academic dissemination	Popular dissemination
☐ Research report	☐ TV
☐ Scientific article	☐ Radio
☐ Conference paper	☐ Lay article
☐ Book	☐ Podcast
	☐ Book

23. Confirm that the consent obtained is aligned with the extent of dissemination. E.g. consent if you are planning to use the research to launch a consulting career will be more comprehensive than in the case of research that is intended only for a scientific audience.
☑ I confirm

24. IF you wish to describe any other information which may be of value to the committee in reviewing your application, please attach a separate sheet.

F. APPROVALS

RESEARCHER/APPLICANT:
25. I affirm that all relevant information has been provided and that all statements made are correct.
Name in capital letters: PHILIP JOHN MAXTON
Signature: 
Date: 4/11/2013

STUDY SUPERVISOR:
26. I am of the opinion that the proposed research project is ethically acceptable.
Name in capital letters: JOHN MICHAEL VERSTER (PROF.)
Signature: 
Date: 04/11/2013

GIBS RESEARCH ETHICS COMMITTEE:
27. I am of the opinion that the proposed research project is ethically acceptable.
Name in capital letters: _____
Signature: _____
Date: _____

Appendix L

Research Consent Form

To the Participant

Thank you for agreeing to participate in this series of workshops.

As part of the initiative the bank has contracted with a Doctoral Research Student from GIBS Business School, University of Pretoria to conduct an investigation into the effectiveness of certain organisational change interventions and the possible reasons for the degree of effectiveness. As is the norm in such cases, the Research Design has been approved by the University of Pretoria Research Ethics Committee.

The bank and the Researcher request your permission to include you in the research initiative. Any information or data collected by the Researcher in respect of individual participants will be kept strictly confidential by the Researcher and will be safeguarded with complete anonymity. At no stage will the individual source of any information or data be disclosed by the Researcher to the host organisation or to any third party.

As a participant in the research you may be requested, at various points in time, to complete certain questionnaires, respond to diary prompts and to be observed and interviewed by the Researcher. You may opt to withdraw from the research process at any point in time without penalty and without having to withdraw from the series of workshops.

Please sign below to consent to your involvement in the proposed research under the above conditions:

Name: _____ Sign: _____

Date: _____

Appendix M

External Auditor Report

AUDIT OF DATA ANALYSIS

Employee transition throughout an Appreciative Enquiry transition

Candidate: Philip Maxton

1 May 2016

This report documents the results of a peer review of the coding quality of the above thesis. Differences in coding between researcher and reviewer are to be expected, in line with the interpretivist nature of qualitative research. Therefore, this paper evaluates coding quality process rather than content, according to a set of dimensions detailed in Table 1. Based on this framework, the peer reviewer assesses the quality of the coding process without presuming to comment on the idiosyncratic nature of coding content under an interpretivist paradigm.

Table 1: Dimensions of Data analysis process

Dimension	Definition
Size of quotations	Quotations should seek to capture a single 'unit of meaning' that can be understood out of context
Appropriateness of quotations	Quotations should be selected to directly reflect and explore the phenomenon of interest
Number of quotations	The number of quotations should take into account the purpose of the coding as detailed in the research design and methodology
Codes per quotation	Quotations are over-coded when codes impute meaning to data that is not present. Quotations are under-coded when there is more meaning than is captured by the code
Number of codes	The number of codes should take into account the purpose of the coding as detailed in the research design and methodology
Definitions per code	Each code should be clearly defined
Codes mutually exclusive	Code definitions should not overlap in meaning, nor be too broad that they represent more than one meaning perspective
Closeness of codes to data	Code labels should reflect the meaning of the quotation as closely as possible, rather than abstracting or drawing conclusions
Number of quotations per code	Generally, a normal distribution of quotations to codes can be expected
Evidence of merging	Merged codes indicate that code rationalisation has taken place
Links between codes	Linked codes are one indication that the analyst has been rigorous in their search for patterns in the data
Number of categories	The number of categories should take into account the purpose of the coding as detailed in the research design and methodology
Codes per category	Generally, a normal distribution of codes to categories can be expected
Definitions per category	Each category should be clearly defined and should reflect the collective of the codes in that category
Exhaustiveness of category	Each category should be saturated, that is it should contain all possible variations of the categorical phenomenon
Use of analytic memo's	Use of analytic memo's to make analytic decisions explicit improves replicability and demonstrates reflexivity

The review was carried out by examining the Atlas ti Hermeneutic Unit (HU) together with the Research Design and Methodology chapter of the thesis. The hermeneutic unit contains 98 primary documents organised by case, containing the field notes, self-completion diaries and interview transcripts comprising the data set of this research study.

Number of quotations: The HU contains 1371 quotations that were selected for analysis. This indicates a relatively fine grained data selection process.

Size of quotations: The quotations are generally limited to a single unit of meaning. Longer quotations contain details relating to a single unit of meaning

Appropriateness of quotations; Quotations were generally selected to focus on specific dimensions of the research questions.

Number of codes: There are 324 codes in the HU, which is appropriate for a study of this size.

Definitions per code: All codes in the HU have been clearly defined

Codes mutually exclusive: Each code is unique in meaning

Closeness of codes to data: Codes appropriately summarise and represent the meaning of the quotations

Codes per quotation: In general, a single code is allocated to a single unit of meaning, but where necessary, more than one is used to summarise the meaning of the quotation. There is therefore no evidence of under-coding or over-coding

Number of quotations per code: The quotations are relatively evenly spread across codes in a normal distribution.

Evidence of merging: There is evidence of code merging, indicating that the code list has been appropriately maintained throughout the coding process and that the analysis was iterative in nature.

Links between codes; Code linking has not been utilised in this HU.

Number of categories: There are 61 code families/categories in the HU, which is appropriate for an HU of this size.

Codes per category: Codes are evenly spread across the categories in a normal distribution. It should be noted that 5 categories/code families are not populated with codes. This is indicative of a deductive/inductive coding process, in the sense that the code families represent the literature and the coding represents the data. It is not known whether the researcher commented on these gaps explicitly, as would be appropriate in this instance.

Exhaustiveness of category: Although some categories are exhaustive, others are not. This could be an indication that categories could be combine to create a more consolidated view.

Definitions per category: All categories/code families are defined and consistent with the overall research design. In some cases, inclusion or exclusion criteria are made explicit.

Use of analytic memo's: Although analytic memo's do not appear in the Atlas ti HU, extensive memo's are included in the appendix to the report. These memo's demonstrate researcher reflexivity and contribute to replicability.

Summary and conclusion

On the basis of this audit, it is clear that methodological coherence has been maintained throughout the study. Sampling procedures are detailed, saturation has been demonstrated and data triangulation appropriately utilised. The codes are systematically low in degree of inference and accurately represent the meaning of the data, indicating that findings are grounded in the data. There is no evidence of under-coding or cover-coding. The category structure is appropriate in that categories are explicitly defined, reflective of the literature and appropriately encapsulate the inductively derived codes. Methodological and analytical decisions are captured in detailed analytical memo's, demonstrating investigator responsiveness.

It is therefore concluded that the data collection and analysis process followed is appropriately rigorous and that the findings of this research may be considered plausible and credible.

Dr Kerrin Myres MBA (Macquarie) DBA (Pretoria)
kerrin@resonance.co.za

Appendix N

Extract from Main Study Analytic Memo's

Extract consists of page 1 and pages 43–53 of the analytic memo's for the main study.

General Analytic Memos: Main Study

Date: 14/02/2014

Occasion: Main Study: Following preliminary interviews and focus group interviews at Seibank and discussion about possible AI intervention at Seibank with Anastasia.

Memos

If Seibank Retail Banking wish to implement a transformational change initiative then it needs to include all levels including Exco, Reg GM's, AM's, BM's and PRB's etc.

Using a diagnostic approach the start would probably be at Exco level where members would reconfirm and/or develop a shared understanding of the change required and would then implement a program of communicating and training line management accordingly. Essentially the approach tried previously when the alignment took place would be redesigned and re-implemented.

An Appreciative Inquiry type approach would be far more inclusive from the outset and many levels would be involved in developing the shared understanding, the nature of which is likely to be different from that which would be developed by Exco alone.

It is understandably unlikely that Exco would allow part of the business to develop their own shared understanding whilst Exco was developing its own version. Even if allowed this would create confusion in the business and would be unlikely to succeed.

Hence, the intended Research Design where diagnostic and dialogic interventions are run concurrently, in parallel, is not practical. The practical approach is to run an Appreciative Inquiry intervention alone and to consider the approach to date to have been the diagnostic phase (as was done in the pilot study). In other words the two types of intervention will be run in series and data for the diagnostic intervention will be collected retrospectively.

Commented [p1]: Design Memo: If acceptable to Seibank and to their Consultant (Sharon Jansen) then only an AI intervention will be run as the recommended approach to their transformational change needs.
March 6, 2016: Only an AI intervention was studied.

A benefit of the change in temporal sequencing of the interventions is that data can be collected for the same participants for both types of intervention thus eliminating the effect of individual traits, such as trait anxiety, on the transition paths. A disadvantage is that the two interventions will occur at different points in time and contextual effects may be quite different. However, even with a 'parallel' approach the contextual influences on the two organisational units can be quite different.

Commented [p2]: Limitation memo: re temporal spacing of interventions may increase influence of differing contextual influences.
March 6, 2016: Only an AI intervention was studied.

An implication regarding data collection will no longer be collected longitudinally for the diagnostic intervention. However, this is acceptable as the literature is fairly well established regarding the transition path of individuals undergoing diagnostic type interventions

As diary responses will no longer be collected for the diagnostic intervention there will be no point in measuring the level of anxiety in the diary responses collected during the dialogic phase using DAL as there will be no measurements from the diagnostic phase with which to compare. (DAL is not used for the data collected from interviews as it requires open-ended instruments.)

Commented [p3]: Data Analysis Memo – will no longer use DAL as an analysis tool.
March 6, 2016: Only an AI intervention was studied.

In a paper aimed at revealing the author's theory of method for conducting longitudinal change following a period of more than twenty years of carrying out such empirical studies, Pettigrew (1990) states that "time is captured in our work through a combination of retrospective and real time analysis" (p271).

Pettigrew, A.M. (1990). Longitudinal field research on change: Theory and practice. *Organizational Science, 1*(3).

Commented [p4]: Design memo: include this quote in text as gives creditability to intended temporal order of research.
6 March 2016: Included in Chap 3: Research Design.

Canato, Ravasi and Phillips (2013) adopt a similar temporal approach in their research into cultural change and practice adaptation at 3M and note in a discussion of possible limitations that "it might be argued that the late timing of entry into the organization limited our capacity to fully capture the process we investigated. While

1

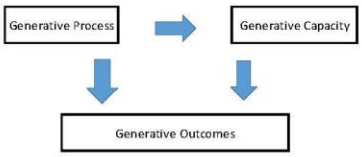
generativity and show the gap in terms of how individual experiences and makes sense of move to new lens under AI.

Commented [PM78]: Chapter Two. Literature Review (v.1) laid out in this manner.

Date: 13th June 2015

Comparing Bushe (2013) model of generativity characteristics with my Programme Theory

Compare with Bushe's (2013) model of characteristics of generativity, where generativity = creation of new images, metaphors, physical representations and so on that have two qualities: they change how people think so that new decisions and/or actions become available to them, and they are compelling images that people want



to act on.

Where:

Generative outcomes = how many new actions and decisions are spawned,

Generative capacity = extent to which individuals are primed to produce generative outcomes, how well does change process encourage people to step outside routines, habitual modes of thinking and the known

Generative process = extent to which an approach increases generative capacity and/or produces generative outcomes

Commented [PM79]: Included in Chapter Two. Literature Review (v.1) on 1/11/15.

What programme theory presented here adds to this:

Cognitive disbalance creates the initial compelling force,
AI provides psychological safety,
Generative process is not just generative image,
Pre-AI context,
Mechanisms,
Generative outcome as new knowledge,
Generative capacity as new epistemology.

Bushe, G.R. (2013). Generative process, generative outcome: The transformational potential of appreciative inquiry, in D.L. Cooperrider, D.P. Zandee, L.N. Godwin, M. Avital & B. Boland (eds.) *Organisational Generativity: The Appreciative Inquiry Summit and a Scholarship of Transformation (Advances in Appreciative Inquiry, Volume 4)*, Emerald Group Publishing Limited, pp 89-113.

Generative is an adjective meaning the power to generate, produce, originate. Dialogic OD believes that transformational change requires new ideas, new conversations and new ways of looking at things, and is interested in capabilities and processes that can generate those. A generative image is central as it provides new ways of thinking about social and organisational reality. It allows people to imagine alternative decisions and actions they could not imagine before the generative image surfaced. Generative images are compelling. (pp. 11-12)

Book chapter Dialogic OD Theory and Practice (2015) Eds Bushe and Marshak.Re: a generative image

43

Date: 14th June 2015

Interruption of ongoing thought in AI (cognitive disbalance?) (Included in Research Design (v.17) p. 57)

From Bushe and Marshak (2015)

First of three change processes which are essential in Dialogic OD = a disruption in the ongoing social construction of reality is stimulated or engaged in a way that leads to a more complex re-organisation.

Transformational change always involves disruption to the on-going patterns of self-organising.

"Because disruption is not a benign event, OD practitioners of all mindsets [i.e. diagnostic or dialogic] look for ways to manage and alleviate the anxiety that disruptive endings and change create" (p.10).

Book chapter Dialogic OD Theory and Practice (2015) Eds Bushe and Marshak.Re: a generative image

Date: 14th June 2015

When AI might not be perceived as participative from Bushe (2013) Generativity and AI

Where the focus on the positive becomes a real problem, as these and other critiques imply, is where the AI is used a s a way to avoid the leader's or change agent's anxiety, while making an attempt at OD. These managers say 'let's stay focused on the positive' as a way of avoid facing some fear – a fear of what might be said, a fear of not being able to manage the fall out, and a fear of being emotionally hijacked are all common. When used in this way AI does become a label for a new form of repression, one or more processes where some voices are silenced. But critics who equate this with AI are making a straw man out of AI or are critiquing poor applications of it.

Bushe, G.R. (2013). Generative process, generative outcome: The transformational potential of appreciative inquiry, in D.L. Cooperrider, D.P. Zandee, L.N. Godwin, M. Avital & B. Boland (eds.) *Organisational Generativity: The Appreciative Inquiry Summit and a Scholarship of Transformation (Advances in Appreciative Inquiry, Volume 4)*, Emerald Group Publishing Limited, pp 89-113.

Date: 15th June 2015

A Field experiment re generativity. Paranjpey

Quotes Bushe (2007) saying AI is generative in a number of ways: it seeks to find new ideas and alter mental models that leads us to an emerging future, alters the social construction of reality and creates alternatives for fresh action.

Defines generativity as a construct in AI. Identifies curiosity, hope, self-efficacy, group potency and affect as important constructs to measure generativity.

Quotes Serkerka (2006) as having shown relationship between AI and positive affect.

Paranpjey, N. (2013). A field experiment examining the relationship between generativity and appreciative inquiry. *Academy of Management Proceedings.*

Date: 16th June 2015

OD Practitioner, 45(1). Special Issue: Dialogic OD. Marshak and Bushe refer to:

AI as a mode of action research for community psychology. Boyd & Bright (2007)

A focus on inquiring suggests that the answer is not pre-defined, meaning there is room to collaboratively discover common answers. "AI may help to avoid negative psychological states that develop through change processes by preventing disempowering cognitions, and instead creating a sense of learned optimism for participants (Seligman, 1991).

Date: 18th June 2015

Commented [PM80]: Supports my finding that participants come into AI with high anxiety and that AI then seeks to provide psychological safety. THIS IS A LINK BETWEEN DIAGNOSTIC OD AND AI IN TERMS OF ANXIETY AND PSYCHOLOGICAL SAFETY.

Commented [PM81]: Include in discussion of when AI can be criticised as being manipulative.

Commented [PM82]: Included in Chapter Two. Literature Review (v.1) on 7 Nov 2015

Commented [PM83]: Important literature to quote re relationship between AI and increased pleasantness.
6 March 2016: Was included in Lit Review.

Commented [PM84]: Could use to support argument that AI provides psychological safety and increased pleasantness.
6 March 2016: Not included – explanation is beyond scope of my study.

Bushe & Paranjpey. (2014). Comparing the generativity of problem solving and Appreciative Inquiry: A field experiment.

This is absolutely key as an indication of the current literature in the field (together with Bushe's (2013). Generative process, generative outcome: The transformational potential of AI generative process paper.)

Bushe (2013) defines generativity as 'the creation of new images that change how people think so that new options/actions become possible' and 'are compelling' the field experiment measures generativity by:

-how generative each idea was in terms of novelty, compelling and practical – as judged by experts, and

-effect on mental models of participants.

Measuring a generative idea in terms of an expert's opinion of 'novelty' is not the same as determining if the idea is novel for the person who suggested it. In other words the measure of generativity used here is not valid for measuring whether individual participants move to a new lens. Perhaps this study is measuring generativity more at the level of the group than at the level of the individual.

The effect on mental models of participants is measured pre and post the intervention and then the patterns are compared for the three types of intervention (synergenisis, AI and problem solving). Again this measure is at the group level and is not indicative of a change in a mental model of an individual.

Hence, this study is perhaps at the level of the group as opposed to being at the level of the individual.

Date: 20th June 2015

Verleysen, Lambrechts, van Acker. (2015). Building psychological capital with AI: Investigating the mediating role of basic psychological need satisfaction.

Good source/review (2015) of AI literature including at level of individual.

Published accounts of AI have emphasis on describing outcomes at collective level.

This is a quantitative study which recommends: "future research might benefit from longitudinal qualitative research – likely to offer more insight into the intricacies of how and why AI works and impacts on the development of persons and organisations. Particularly observation and interview based studies".

Date: 24th June 2015

Pawson, Greenhalgh, Harvey & Walshe (2005). Realist Review - a new method of systematic review designed for complex policy interventions.

It appears that a 'realist review' is a realist evaluation operated retrospectively.[see paras 1&2 on page 22].

The first step is to make explicit the programme theory (or theories). (p. 21)

We should expect that, in tracking the successes and failures of interventions, reviewers will find at least part of the explanation in terms of the reasoning and personal choices of different actors and participants. (p. 22)

Recommendations are likely to be in the format of contextual advice in the general format: in circumstances such as A, try B, or when implementing C, watch out for D. Realist review delivers illumination rather than generalisable truths and contextual fine-tuning rather than standardisation. (p. 24)

Realist review is about refining theories. (p. 24)

A realist review can take on the job of uncovering evidence to adjudicate between rival theories of how they work – or, more commonly, of identifying which permutation of mechanisms is most successful. This strategy of using evidence to *adjudicate* between theories is the hallmark of realist inquiry. (p. 25)

The analysis and conclusions section of a realist review …takes the form of revisions to the initial understanding of how an intervention was thought to work. The progress … is from some knowledge to some more knowledge. (p. 32)

45

Commented [PM85]: Included in Chapter Two. Literature Review (v.1) both as a reference re dearth of literature and as an existing link between AI and transition theory. As the last empirical study quoted it takes a prominent position in the review.

Commented [PM86]: This is the current debate in the literature which I am joining.

Included in Chapter Two. Literature Review (v.1) on 1/11/15

Commented [PM87]: Explains why my measurement of movement to a new lens is a better indicator of movement to a new lens than the measures used in this paper.

Commented [PM88]: Considers change in mental models but perhaps at the level of the group rather than the individual.

Commented [PM89]: Could summarise by saying the study appears aimed more at measuring generativity at the level of the group rather than at the level of the individual.

Commented [PM90]: Good source (2015) for literature review including at level of individual

Commented [PM91]: Included in Chapter Two. Literature Review (v.1) on 3/11/15

Commented [PM92]: More recent reference re Realist Evaluations
6 March 2016: Not yet included. Will consider for Research Design Chap.

Realist review is a logic of inquiry (p. 32)

Commented [PM93]: Could quote this when describing research design (which Mouton says is the research logic) as being cast in a realist evaluation.

Date: 3rd July 2015

Programme Theory for transition under Diagnostic OD

The context for the programme theory for transition under diagnostic OD is represented as the steps in traditional action research. French and Bell (1999) say that "action research is a cornerstone of organization development" (p. 130) and they define action research as "the application of the scientific method of fact-finding and experimentation to practical problems. . . " (p. 131). The authors describe the steps for action research as starting with the identification of a problem, the formulation of a hypothesis, the recording of actions taken, and the analysis of the outcomes of the actions and the desired goal. (French & Bell, 1999, p. 134).

Drawing on Oreg et al. the context also consists of the context which is independent from the intervention itself. Hence:

Context = Pre-intervention context and the actual steps in a traditional action research approach to a problem.

Date: 8th July 2015

World Appreciative Inquiry Conference 2015.

Private discussion with David Cooperrider and Ron Fry about my WAIC Presentation (/World AI Conference/Abridged WAIC Presentation.pptx)

Seemed interested when I distinguished 'transition' from 'change'.

Liked my research question – David Cooperrider said it was a good question.

Suggest, for the purpose of this 'practitioner orientated conference', making the presentation emphasise more the practical implication of including Social Constructionism teachings in interventions.

Say that evaluations of AI are important and that a realist evaluation seems appropriate.

David Cooperrider suggested I look at Linda Robson's work to see a good literature review re Lewin. (Although, more generally, she was looking at disconfirmation theory which is not relevant to my study).

Commented [PM94]: Have copy to review – 12/7/2015

Did not disagree when I said that 'generativity' was not yet well defined. Ron Fry went on to describe what the word meant to him without clearly defining it.

Re programme theory outputs Ron Fry suggested I look at Lilja and Richardsson re how participants valued each stage of an AI intervention.

Commented [PM95]: See Anal Memo 13 July 2015

Re Kegan's levels of epistemological change David Cooperrider referred to Paulo Freire's concept of different levels of pedagogy.

Re contexts in the programme theory Ron Fry asked what about the context in-between the AI workshops.

Commented [PM96]: Perhaps this is a limitation as I did not explore it.
6 March 2016: Covered to some extent in terms of 'transferability' in Research Design Chap.

Main findings – 2 levels. David Cooperrider liked the model with the dual processes of transition. He said his gut-feel was to include discussions of social constructionism in interventions but that he often omitted to do so. This was important evidence and a reminder to do so.

Ron Fry suggested I look at David Bright's work about different levels of forgiveness which emerged due to an AI intervention.

Commented [PM97]: Read - interest s/be in identifying different levels.
6 March 2016: Looks at levels and not at transition.

Ron Fry asked whether a participant who transitioned at a level of new epistemology was more likely to be involved in follow-up action. I replied that I could check to see if an epistemological change was linked to a change in behaviour. He agreed that this would be important evidence of the impact/potency of an epistemological change.

Ron Fry that the study at the level of the individual has highlighted the epistemological change and that this would not be noticed in a study conducted at the level of the intervention or the organisation.

David Cooperrider re the dual process transition model – "this is very clever thinking".

Ron Fry – after DC had left

The study is definitely publishable. It fits well into the diagnostic – dialogic OD conversation. Suggests see where Bushe/Marshak (re Dialogic OD are publishing). Journal of Applied Behavioural Science would be appropriate. Might also consider a Human Relations journal.

Considering submitting paper for presentation at 2016 Academy of Management Conference.

Consider submitting article to AI Practitioner – although would not get any academic credits.

[Bushe has published:

Journal of Applied Behavioural Science (JABS):
When is AI Transformational? (2005). (260 citations)
Revisioning OD (2009). (164 citations)
AI as team development (1995). (114 citations)
Further reflections (2009). (10 citations).
Organization Development Journal:
Advances in AI (1995). (200 citations)
AI with teams (1998). (120 citations)
Advances in AI (1999). (55 citations)
Journal of Management Inquiry:
Response re AI as a shadow process ((2010). (11 citations)
Organization Development Practitioner:
Advances in Dialogic OD (2013).

Commented [PM98]: Subscribe to this Journal (not rated in Journal Quality List, 2014])

Date: 13th July 2015

Transformative Learning, transition under AI and links between the two (File 58)

Kegan, R. (2000). What 'form' transforms? A constructive-developmental approach to transformative learning.

Take as object what is taken-for-granted, rather than being subject to it = a call to a particular epistemological shift, from socialized to self-authoring mind" (p. 50).

Good sense if learner not too far from the entrance to their epistemological bridge – or already traversed it (p. 50).

Commented [PM99]: Useful wording – 'a particular epistemological shift'.
6 March 2016: Have not looked at developmental levels – have only focused on levels of transition per transition theme. These are not the same, development implies a more permanent and broader change.

Cockell, J. (2005). Making magic: Facilitating collaborative processes. Unpublished dissertation.

"Two main areas of literature inform and are informed by this inquiry: appreciative inquiry and transformative education" (p. 3).

Says TL = shift in habits of mind to become critically self-reflective [or is it being critically self-reflective in order to shift habits of mind?].

The focus of the study is being critically reflective to uncover power dynamics.

Refers to Transformative Learning as having a 'critical lens' and appears to see it as a critical theory tool.

However, refers to Kegan: TL = shift from socialised to self-authoring mind.

Also focusses on critical reflection as a collaborative project [as distinct from my focus at level of individual].

[Cockell has linked Transformational Learning with AI. However, her focus is on critical reflection as a collaborative process, particularly aimed at uncovering power dynamics. To some extent she even distinguishes TL from AI when she classifies TL as 'separate knowing' which she describes as finding weaknesses in other views and AI as 'connected knowing' which she describes as finding strengths in other views. My research considers TL at the level of the individual and to mean critically assessing one's own assumptions.]

Commented [PM100]: Will NOT include levels of cognitive development in my study. Will only examine whether a transition is at the level of new epistemology.

Commented [PM101]: Included in Chapter Two. Literature Review (v.1) on 6 Nov 2015)

Commented [PM102]: Kegan's epistemological change has already been linked to AI, albeit in a critical theory approach looking to use AI to uncover power dynamics.

Commented [PM103]: Cockell's link of TL and AI as distinct from my link.
6 March 2016: Included in Lit Review

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Carter, M. T. (2009). Appreciative Inquiry and adult transformative learning as an integrated framework to guide life coaching practice. Unpublished dissertation.

Covers transition under an appreciative style of life-coaching. "The investigation of the client experience was led by the question: What conditions of the coaching practice, informed by appreciative inquiry, best support adult transformative learning?" (p. ii).

"The research expanded an understanding of how AI 'a large-scale' organisational intervention for positive change can be translated to the context of life coaching" (p. iii).

Describes Bateson's (1972 – Steps to an ecology of mind – over 18 000 citations!) five domains of learning.

Says Mezirow's work is recognised as foundational to adult transformative learning.

Classifies Mezirow as a 'constructivist' viewpoint = reality constructed within internal processes of the learner (p. 41).

Says Mezirow focusses primarily on the cognitive dimension of learning (p. 41).

Contrasts Mezirow with Gergen's constructionist view (reality constructed in social relationships) and other more integrated approaches to learning which include emotional and social dimensions.

Includes Taylor's (1997, 2007) criticisms of Mezirow's Transformational Learning Theory as not addressing the role of context].

Jones, D.A. (1998). A field experiment in Appreciative Inquiry. Organizational Development Journal, 16(4).

Referred to by Bushe & Kassam (2005) as an 'individual level study into AI'.

Looked at whether AI could enhance entry-level employee retention in restaurant industry. 33 locations had AI, 32 had problem-solving intervention. 29 had no intervention. Retention was 30% higher in AI test group.

This study did not examine 'how employees experience and make sense of a move to a new lens'. However, one can assume that it did measure whether there had been a movement in terms of retention. It was a quantitative study which examined the relationship between the independent variable of an AI intervention with the dependent variable of retention.

Lilja, J., & Richardsson, D. (2015). Why is it suddenly so easy to change? Journal of Quality and Service Sciences, 7(2/3).

Mentioned by Ron Fry is private discussion as a source re how participants valued parts of an AI intervention.

Asked 74 students what they valued from an AI interview experience. Building close and trustful relationships was the most frequent theme.

Hence, this is another example of a transition study which only focussed on the early stages of an AI intervention.

See 11th Oct 2015Dialogic OD by Bushe and Marshak (2015) in particular chapter on Transformative Learning (including Mezirow's 10 steps) and dialogic OD

Date: 30th August 2015

Constructive Developmental Theory (CDT) and AI

Constructive = we construct meaning about the world around us.

Developmental = cognitive development

Constructive Developmental Theory = the way we construct meaning can develop

Current research title: **Towards a Theory of Employee Transition under Appreciative Inquiry**.

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Commented [PM104]: Relevant reference both in terms of transition under AI and link between AI and Transformative Learning.
6 March 2016: Included in Lit review.

Commented [PM105]: Included in Chapter Two. Literature Review (v.1) on 6 Nov 2015.

Commented [PM106]: Included in Chapter Two. Literature Review (v.1) on 6 Nob 2015

Commented [PM107]: Important to discuss this study as, in 2005, Bushe and Kassam refer to it as the only individual level study.

Commented [PM108]: Not able to get full paper. Extract taken from Ron Fry's review in AI practitioner in August 2015.

Commented [PM109]: Included in Chapter Two. Literature Review (v.1) on 6 Nov 2015

Commented [PM110]: Cite as study of transition during early stage of an AI intervention.

Commented [PM111]: Critical contemporary reading linking Mezirow to AI

Commented [PM112]: Will NOT include levels of cognitive development in my study. Will only examine whether a transition is at the level of new epistemology.

Helena criticised 'Towards a theory' saying it was a 'cop out' i.e. is not descriptive enough.

Consider:

Appreciative Inquiry Through the Lens of Constructive Developmental Theory

AI is a prime example of dialogic OD which assumes multiple realities and focuses on changes mind-sets rather than behaviour. Does it not then follow that AI might be at its most transformative when it transforms the way that meaning is constructed?

Date: 2nd September 2015

Response shift

Bernice in her pre-AI diary response reports that the bank is generally a great place to work.

At the post-AI interview she says that, at the pre-AI stage, the bank was a c*** place to work.

This divergence may be due to either inaccurate memory or the self-report data phenomenon of 'response-shift'.

The paper I read on response-shift gave an example of participants being trained in a certain skill. When they rated their pre-course ability they were more negative than at the time as their scale had now moved.

I think the paper recommended pre/post rating. I have used pre/post and 'then' rating. This may be a methodological contribution.

Date: 1st October 2015

Definitions of diagnostic and dialogic

Diagnostic: From Greek 'to distinguish' (disease). Definition: concerned with the diagnosis of illness or other problems.

Dialogic: From Greek 'dialogue'. Definition: relating to or in the form of dialogue.

Date: 10th October 2015

Dialogic OD Bushe & Marshak (2015)

(p.14) table comparing diagnostic and dialogic OD

positivist	interpretivist
Orgs as organic to be aligned	Orgs as meaning making systems
Reality as objective fact	Multiple realities
Problem solving	generative ideas
Planned	Emergent
Change behaviour	Change mindsets

(p. 17) 8 key premises of dialogic OD (based on complexity and social constructionism:

Reality is socially constructed

Orgs are meaning making systems

Language matters

Creating change requires changing conversations

Increase differentiation before seeking coherence

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Commented [PM113]: Thesis retitled "Employee Transition Throughout an Appreciative Inquiry Intervention'. Registered new title at GIBS on 28 Feb 2016.

Commented [PM114]: Should include in discussion.
6 March 2016: Done

Commented [PM115]: Need to explain response-shift phenomenon, particularly re Bernice.
6 March 2016: Included in Lit Review and in Within-case chapters.

Commented [PM116]: My multiple methods may be a methodological contribution re managing for response-shift in self-report data.
6 March 2016: This is not a methodological contribution.

Commented [PM117]: Intersting that Bushe and Marshak chose these two labels for the two approaches. Include when terms are first introduced.
6 March 2016: Not yet done.

Commented [PM118]: Use to describe difference between diagnostic and dialogic (as 2015)

Groups are continuously self-organising

Transformational change is more emergent than planned

Consultants are part of the process.

(p. 19) Three core processes of org. change in dialogic OD:

1) A disruption of the ongoing social construction of reality
2) A change to core narratives takes place
3) A generative image provides compelling alternatives for thinking and acting.

(p. 109) images help disrupt the prevailing social construction of reality and alter ongoing narratives, stimulating the emergence of new possibilities and narratives.

(p. 113) Bushe (2013a) separates generative capacity (ability to produce generative images), generative processes (leading to generative outcomes) and generative outcomes (new ideas that result in self-motivated actions to produce positive changes).

See Bushe & Paranjpey (2015) – testing generativity of 3 idea generating processes.

(p. 114) "With so little research on generativity".

Commented [PM119]: Included in Chapter Two. Literature Review (v.1) on 6 Nov 2015

(P. 401) Conclusion: The path ahead

How do dialogic processes of transformation work in practice?

(p. 402) We have proposed 3 key processes (disruption, change in narratives, generative images). "This is a proposition that requires a great deal more empirical inquiry."

Commented [PM120]: Included in Chapter Two. Literature Review (v.1) on 6 Nov 2015

(p. 404) How much reflexivity does a dialogic approach call for? [I have asked what types of reflection does an AI call for?]

Date: 11th October 2015

Gilpin-Jackson, Y. (2015) Transformative learning during dialogic OD in Dialogic OD (Eds: Bushe & Marshak). Pp. 245-267

Commented [PM121]: Links dialogic OD and Transformational Learning (Mezirow).

(p. 246) Says there is gap in literature re what is underlying process that individuals in transformational change experience? Has gained some understanding of these underlying processes from transformative learning theory.

(p. 256) Says individuals must transition through disorientating dilemma, guilt and CRA BEFORE group can engage in dialogic OD (in my study CRA occurred (if at all) during dialogic process). Says (p. 261) final four steps occur after dialogic OD intervention. Says TL can provide direction for facilitating readiness by helping client through initial emotional phases.

[Author attempts to show how dialogic OD passes through the 10 steps of TL. I have not focussed on the 10 steps but on types of reflection and definition of TL (from Kegan). Also I question whether transformation need invoke increased anxiety.]

Commented [PM122]: Difference between this important article which links dialogic OD to TL and my study.

Commented [PM123]: Included in Chapter Two. Literature Review (v.1) on 6 Nov 2015

Date: 13th October 2015

Why transformational learning

"Currently transformational learning has taken centre stage in research and writing" (Preface) in Merriam, Caffarella, & Baumgartner. (2007). Learning in Adulthood: A comprehensive guide.

Commented [PM124]: Use as part of introduction to transformational learning to justify the focus.

Included in Chapter Two. Literature Review (v.1) on 1/11/15

Date: 27th October 2015

Lewin and Change as Three Steps (CATS)

"Based on a comparison of what Lewin wrote about changing as three steps with how this is presented in later works, we argue that he never developed such a model and it took form after his death" (p. 1).

50

Although the authors argue that this way of thinking may now repress other ways of seeing or organising thinking about change their argument does not change the logic of my study.

Commented [PM125]: Add when first introduce Lewin but no need to mention further

Included in Chapter Two. Literature Review (v.1) on 1/11/15

Cummings, S., Bridgman, T., & Brown, K.G. (2015). Unfreezing change as three steps: Rethinking Kurt Lewin's legacy for change management. *Human Relations.* Published online before print. Retrieved from http://www.hum.sagepub.com

Date: 17th November 2015

Three levels of forgiveness (equivalent to three levels of movement to new lens?)

Paper referred to by Ron Fry at WAIC when we discussed levels of movement to a new lens.

Three responses to offense (an event)

Begrudging = non-forgiving

Pragmatic = forgiveness is a necessity (equivalent to partial epistemological change?)

Transcendent = forgiveness is a life choice (epistemological?)

"It is possible that a person, after experiencing his or her initial reaction to an event, is free to make intentional choices about a further response that may harbour and deepen the negativity at one extreme, neutralise it at a minimum, or transcend it to positivity at the other extreme. An understanding of the cognitions a person invokes at this choice point should reveal the potential re forgiveness" (p. 87).

Bright, D.S., Fry, R.E., & Cooperrider, D.L. (2006). Forgivness from the perspectives of three response modes: Begrudgement, Pragmatism, and Transcendence. *Journal of Management, Spirituality & Religion, 3*(1-2). [See WAIC File]

Date: 1st December 2015

Change Agent/Recipient as a possible later paper

Commented [PM126]: Included as a generative proposition. It is outside the scope of my research.

Met with Kerrin and Helena also joined us. Discussed fact that Literature Review is iterative and can be added to after the empirical stage. All literature should appear in the literature review chapter and NOT in subsequent chapters.

They said that interesting findings outside of the literature review (and probably the RQ) should rather be omitted and saved for a later paper.

Hence, can mention surprise that management were experiencing survival and learning anxiety but do not take it any further in Thesis.

Date: 10th December 2015

Crossing organisational levels and functional boundaries

"An Appreciative Inquiry Summit creates a space in which the structure of typical organization hierarchy and command decision-making are temporarily suspended. Within this space, a type of liminal space, organization members develop more personal, enduring relationships based on mutual discovery of aspirations across organizational boundaries, functions, and levels" (p. 74).

Commented [PM127]: The non-hierarchical structure of an AI intervention is an important context for transition. My findings support this. My study also highlights the impact that this has on managers – creating cognitive disbalance and leading to critical reflection.
6 March 2016: Have included this paper as a reference.

"Having multiple stakeholders present and interacting as equals allowed participants to offer their voices and to hear others in a new way. As participants eased into this space of non-hierarchical structure, they began to share and learn about what was important to the whole system, not just to certain constituents or privileged voices" (pp. 75-76).

Commented [PM128]: I had example of Bernice who took the first two workshops before she started 'easing in'

How can such an environment not be 'power-dissolving'? However, for participants that mistrust the integrity of top management in holding the AI intervention it may not be power-dissolving?

Commented [PM129]: An argument regarding the participative nature of AI

"the space created in a summit fosters organization learning" (p. 77).

Commented [PM130]: No this appears to be at level of org.

51

Study appears to be at the level of the group. Quite an extreme case as study was conducted in the Navy and uniforms were deliberately left behind.

Powley, E.H., Fry, R.E., Barrett, F.J., & Bright, D.S. (2004). Dialogic democracy meets command and control: Transformation through the Appreciative Inquiry summit. *Academy of Management Executive, 18*(3).

Date: 12th December 2016

Updated Coding Framework to include Post-AI coding and analysis process.

Final coding framework saved as Excel/Audit Trail/Codebook (v.7). xlsx

Date: 16th February 2016

Skype call with Gervase Bushe to discuss draft Discussion Chapter (v.6)

He started by asking questions about the intervention itself and the data collection methods.

When we started discussing the findings he asked what I meant by 'positivity' and when I said 'positivity orientated activities such as recalling positive experiences' he said that I need to make this clear and distinct from 'experiencing positive emotions' (the more commonly accepted meaning of positivity in the field of AI). He said that, in his research, he has not been able to show much effect from 'experiencing positive emotions'.

I said that someone can experience the 'positivity orientated activities' but if they do not feel safe there will be limited transition. He said "I agree, I think that is right".

We then discussed the '3 levels of transition'. He said he was aware of some of Kegan's work. He asked for an example of transition at the level of new epistemology (NE) and I spoke about a manager deciding to be more assertive to those above. I explained how this reflected a change in the subject-object balance. He said this represents "a shift in personal empowerment due to an AI intervention". He said "I think that's a very credible finding. I think it is true. I think it does happen". He said I have shown that AI diminishes power which then creates greater opportunities and "I think that's cool. I think it's an interesting counter-point to critical theorists such as Fineman. For proponents of AI it is an important argument that it happens due to a safe environment and that if that is not there it does not happen".

He said that diagnostic OD also provides people with a voice but typically only through anonymous feedback but that under AI people see they can openly say things without it blowing up and that this shifts the culture to one of more openness.

When I explained how NE could lead to the redefinition of a person's situation and gave an example, he said "these stories you are telling are very profound".

We then discussed critical reflection and he said that AI represented a disruption but not a negative one. He said that appreciation is particularly disruptive in an organisation where appreciation does not happen very often. He agreed that transition can occur under AI without critical reflection.

He said he would like to see examples of the raw quotes underlying the three levels of transition to get a better idea of how an article could be framed. I undertook to send some to him in the next two weeks [and perhaps I should include these examples in the discussion chapter in order to better clarify the differences between the three levels.]

Overall, I thought it was very positive. However, I agree that it is important to better demonstrate the differences between the three levels of transition by directly linking them to some quotes from the raw data. In terms of the approach for an article, I think I could use learning theory – especially as the three types of reflection are from learning theory and the levels of transition also draw on learning theory. Anyhow, if I am to proceed with

Commented [PM131]: Include linkages of quotes and 3 levels of transition in that section in the Discussion Chapter

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Gervase Bushe then I first need to send to him and get his feedback on the quotes underlying the three levels of transition.

Date: 2nd March 2016

Meeting with Kerrin Myers

Importance of showing how allocated codes to categories (in addition to quotes to codes) and the importance of decision or 'sorting' rules in relating categories

Important to show the reliability in allocating codes to categories and in relating/sorting categories. It is important to have clear decision rules and to have an independent reviewer test the reliability.

Commented [PM132]: Kerrin agreed to act as auditor but I first need to consolidate an audit trail.

53