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# **Towards a model managing job change - a System Thinking approach.**

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This thesis is original work submitted to the University of Cape Town.  
None of it has been submitted to another institution for a higher degree.

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# 1. Introduction

Change is all around us and its impact is felt in every facet of life, both in the work place as well as in the personal sphere. The management of change is now commonly viewed as a complex and difficult area, worthy of special attention and study from both theoretical academic and practical management viewpoints. Given that change is here to stay, learning to effectively manage and understand change and to be aware of the opportunities it presents, is essential to adapting to the rapidly evolving environment that we all find ourselves in. The ability of an organization or individual to manage change more effectively than competitors is a distinct competitive advantage.

Research in the field shows that most managers spend more time doing than thinking and supports the notion that "most managers are profound believers that Hamlet could have done what was necessary much more quickly, had he not spent so much time talking about it" (Winter, 1996). This report will present the methodology and results from a phenomenological study into managing personal change through a job change.

## 1.1. Background to the project

In this section I briefly outline what my project notion is and my reasoning in arriving at that notion. I have not referred to literature in presenting my reasoning. Instead I have presented my reasoning in the knowledge that the remainder of the thesis demonstrates the notion in action (with links to literature) and identifies needed changes to it.

The background of my project was a promotion within the same company that necessitated relocation from one city to another, and also a change in job focus. Whilst both jobs remained in the technical domain, the first was rooted in quality management and improvement at a plant level, whereas the second involved specialized technical consulting across the whole organization. My notion was that a study of this change could improve my personal situation as well as my understanding and management of personal change. My notion was also that I would be able to experientially learn how to improve my practice of managing change in general.

Experiential learning is particularly relevant here as the situation was of such a nature that change was deadline driven initially, and then performance driven. My personal experience suggested that this is typical of many management situations involving change. However, unlike many management situations, this approach formalized learning from experience, producing an increasingly critical approach to thinking and providing alternatives to existing ways of thinking about problematic situations of change.

The period of study was from the notification of my appointment to approximately 6 weeks after commencing my new job, a total of ten

weeks. The aim of the study was to examine (using Ethnographic Research and Action Research methodology) the issues and processes that I went through in the change. Following this, personal learning was captured (Appendix 3 and summarized in Chapters 3) and, to explain this phenomena within a Systems Thinking framework, causal relationships and a model have been proposed (Chapter 7). The aim has not only been to successfully make the change but to understand it so that future management practice involving change will be improved.

The study involving Action Research (AR), a qualitative research paradigm that is described in the following chapter. An impersonal, objective approach to research is understandable where researchers seek to observe and report understanding or change from a position external to the system. However, Action Research demands a greater emphasis on the subjective however because it includes reflection on personal practice to understand and improve it (Dick, 1995; Carr and Kemmis 1986). Others have written about researchers and their research in such a way that recognizes the linkage between them. Morgan (1983, p405) for instance submits that, "the position I have adopted hinges on the argument that the process of knowing (researching) involves a process of forming and transforming, and that in knowing our world, we also form and transform ourselves". Frost (1989) similarly expresses his interpretation of his activities as "I do know that most of what I have written and published is an authentic representation of what I feel and believe is me".

I have chosen the same path as I recognize that my personality as well as my personal reflections have contributed to the direction and shaping of my research. I have been both the subject and the object of my own research, and consequently this report is more personalized than would normally be experienced with a different type of research methodology.

## **1.2. The structure of the thesis**

Five chapters follow this introductory chapter. In the remainder of this chapter I present a brief view of what change is (from a Systems Thinking paradigm) and why understanding of it is important to management.

In Chapter 2 I discuss my methodology . I begin by examining the foundational philosophy, which then leads to qualitative research paradigms. From this I justify the methodology chosen with respect to the rigour of the research process, and the chapter concludes with a description of the chosen methodology.

In Chapter 3 I present a summary of results and learnings from the three main Action Research cycles, including the smaller cycles that make up the main cycles. The detail of the results is presented in Appendix 3.

Chapter 4 examines three models of the process of change as it relates to the individual, taking views of change from a neutral stance

(Lewin), and negative perspective (Kubler-Ross) and a positive outlook (Connor).

Chapter 5 examines the inter-relationships between the emergent Action Research findings presented in the earlier chapters. Based on these findings and in conjunction to the knowledge contained in the three models of change, I propose a model towards understanding how to manage effective job change.

Chapter 6 concludes the thesis with a reflection on the research process followed.

### **1.3. Change - what it is and why it is pervasive**

The original meaning of the word “change” is derived from the old French word “changer” which was a term for “bend” , or “turn” like a tree or a vine searching for the sun. The idea that the only constant is change has been a truism of life since at least the time of Heracleitus, circa 500B.C. (Senge,1999). I have adopted a view that change is a process of moving from one ‘steady’ state to another and that this is a feature of complex adaptive systems such as organisations, relationships, economies etc.

In my approach to this thesis and to understand change better, I have used a “Systems Thinking” paradigm which has fundamentally influenced my methodology as well as how I have sought to make sense of the research data. Realising that our thinking (not only *what* we think, but *how* we think and the concepts we think *with*) influences our actions, “Systems Thinking is a relatively new way of approaching and managing complexity. Rather than dealing with a reductionist paradigm which many in the 19<sup>th</sup> and 20<sup>th</sup> centuries have lived with , where everything is taken apart to see how each component works, Systems Thinking tries to identify what the larger, integrated picture is. Systems Thinking is more concerned with identifying the system, understanding how the component parts interact and how the entire system can be optimised, rather than the operation of the component parts. Beer (1972) identifies systems as having the following characteristics:

- They are complex – they have more detail than the given observer can possibly deal with. In addition, all the parts of a system must be present for the system to operate optimally ,and must be arranged in a specific way.
- They are dynamic – they are changing in their behaviour or structure or both
- They are probabilistic – there are important elements whose behaviour is at least partly random
- They are integral – they act in some important sense as a unity. In this regard
- They are open – they are embedded in an environment which affects them and which they affect.

When examining systems , the observer sees events. These events can then be expressed as “patterns” by the observer and the patterns in turn can reveal the underlying structure of the system. It is clear , however,

that the structure of the system is not the thing that is directly observable and that the observer is the one who ascribes meaning to it. This is the approach that I have used in my Action Research – the events are gathered in a valid way, they are analysed for patterns, and finally structure emerges which, once understood, can lead to a better understanding on the management of the defined system.

Ashby (1964) has identified three basic laws of systems:

**Law 1: Self organising:** *“Complex systems organise themselves – the structural and behavioural patterns in a complex system are primarily a result of the interactions among the system parts”.* In recognising this, the features of this first law are that systems seek stable positions (basins of stability) and in order to change a system, sufficient energy has to be applied to move it out of one basin of stability into the next.

**Law 2: Feedback:** *“The output of a complex system is dominated by the feedback and, within wide limits, the input is irrelevant.”.* This is one reason why so much has been studied and written about the process of change. Complex social systems tend to resist change (the notion of the basin of stability) and they can “absorb” a lot of changing input without the output being changed due to the effective feedback loops that maintain stability.

**Law 3: Requisite variety:** *“Given a system and some regulator of that system, the amount of regulation attainable is absolutely limited by the variety of the regulator”.* In the management situation, the job of managing is always more complex than the regulator (the manager), and to be effective, the key is to know which part or parts of the system when regulated will give the best results from the entire system.

Given the above views, it is clear that change is a response to changing conditions, but what “triggers” change? From a managerial perspective and one that is relevant in the context of managing job change, a useful model to explain what triggers change has been proposed by Gleicher (cited by Buchanan, 1992):

**Change occurs when:  $K \times D \times V > C$**

Where:

K = Knowledge of the first practical steps to initiate change

D = Dissatisfaction with the status quo

V = Desirable vision of the future

C = Cost of movement / change

This concept of change triggering is further discussed in Chapter 7. Change then, as I have defined it in a Systems Thinking view, is the process of moving or being disturbed from one steady state basin to another. This is accomplished by observing the cybernetic laws of self organising, feedback and requisite variety control.

#### 1.4. Change - Relevance to management research and practice

*...“we may discover why “change” is better defined as “learning”...and that planned change might be better conceptualised as “managed change” - E. Schein (1996)*

In an environment where change is continuous, managers need to learn how to learn. This learning comes not so much from the specific detail of solving problems, but learning about the processes they employed that ultimately led to success. This has direct relevance to managerial effectiveness as managers can use Action Research to learn how to take effective action by reviewing and interpreting their experience in order to identify what it is they have learnt.

Why do some organisations which employ so many intelligent people continue with their strategies which are obviously not working or fail to take actions which are clearly called for, or repeat their mistakes over and over? What we learn in a formal sense during the time of formal education represents only a small fraction of the average life span. For many, formal learning is completely over before their organisational life even begins. So from an organisational point of view, the amount and type of learning that takes place during the person's working life is of critical importance, and most of this will be as a result of experience and informal reflection. If we "learn" things that are unhelpful or untrue from an experience, or fail to learn anything at all, then our effectiveness is diminished and our potential is not achieved.

In the same way, at a collective level, the process by which the organisation allows itself to learn from experiences or avoids such learning is an important determinant of its capacity to adapt or grow, or stagnate and atrophy. Although managerial experience has been, and will continue to be an important source of learning for all of us, something more organised is needed if we are to deliberately increase the amount and quality of learning that takes place in organisations.

With so much of managerial time used to respond to the changing environment, and the fact that the manager is concerned with achieving results through people, the understanding and management of personal change is vital. This understanding applies equally to the manager as it does to the people who are being managed – all are part of the same on-going change experience.

In this introductory chapter I have given the background to my research, explained the basics behind System Thinking and positioned the understanding, nature and management of change in the context of its importance to an organisation. In the following chapter I explain and justify my selection of Action Research as a valid research methodology in my investigation of managing a job change.

## 2. Methodology

In this chapter I recount my reasons for choosing the methodology of Action Research and the methods used.

### 2.1. Underlying philosophy

All research, whether quantitative or qualitative, is based on some underlying assumptions about what constitutes 'valid' research and which research methods are appropriate. Ostwald (cited by Peterson, 1998), the scientist and philosopher wrote "all realities influence our practice and that influence is their meaning for us". This empirical attitude in philosophy was built on by C.I. Lewis (1929) and marked a shift from fixed principles, closed systems and theoretical absolutes towards concreteness and adequacy, towards facts, towards action. Lewis, who espoused a theory of Pragmatic Knowledge, used the following building blocks to construct this theory:

**Content of Awareness:** Our initial perception of the world is through our five senses, dreams and imagination and this is the raw data for our immediate experience. We assess this information based on its intrinsic value to us allowing us to act or respond to the experience. We cannot assume, however, that each individual "senses" a given presentation in exactly the same way.

**Conceptual Knowledge:** To avoid sensory overload we must impose order from chaos, and this is done by classifying information into general concepts about expected properties and relationships. Our concepts must be rational and consistent but they do not have to match reality. Useful concepts, built with unambiguous operational definitions, allow us to create testable hypothesis. Whilst we can be certain about our concepts and definitions, we can clearly be mistaken how we apply them.

**Empirical Knowledge:** Empirical knowledge, as described by Lewis, allows us to develop and modify a system of rules and relationships that allows us to predict future outcomes.

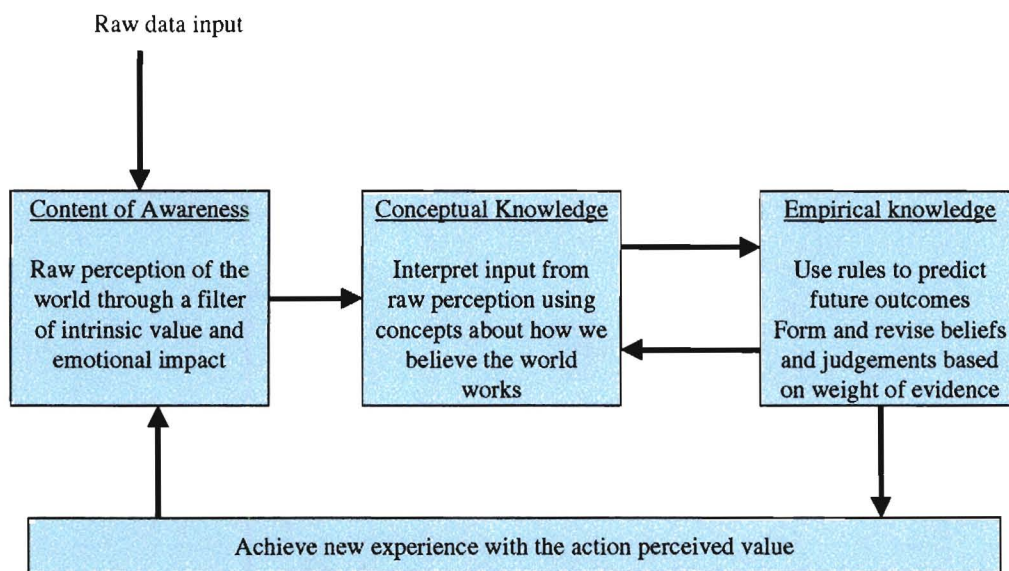
Our beliefs and judgements are based on past experiences and probable outcomes and we believe a current set of 'inputs' when they are consistent with concepts developed from past experience. Every time new results support our predictions, our confidence in that belief increases, however, a single test can invalidate our beliefs! For this reason, we can never be completely certain of our beliefs since confirmation occurs in a finite number of trials.

Lewis then framed a "theory of pragmatic knowledge" that says "a statement, conveys knowledge if it predicts future outcome, with the risk of being wrong, and that it fits (without failure) observations of the past". Similarly, Lewis defined rational prediction as "requiring theory

to build knowledge through system revision and extension of theory based on comparison of prediction with observation"

Theory then, leads to prediction that in turn gives meaning to our experience. To copy an example of success, without understanding it with the aid of theory, may lead to disaster. Similarly, experience alone, without theory, teachers management nothing about what to do to improve quality and competitive position and performance, nor how to do it.

### Lewis's Theories of Pragmatic Knowledge



**Fig 1: A simplified view of Lewis's Theory of Pragmatic Knowledge**

Many qualitative research methodologies have their roots in pragmatism, a term first introduced to philosophy by C. S. Peirce in 1878 (Herzberger, 1981). The term is derived from the Greek word "pragma" meaning action, from which our words "practice" and "practical" come. Peirce asserted that our beliefs are really rules for action. To attain perfect clarity in our thoughts of an object, we need only consider what conceivable effects of a practical kind the object may involve i.e. what sensations we expect from it, and what reactions we must prepare for. Our conception of these effects whether immediate or remote, is then for us the whole conception of the object, so far as that conception has positive significance at all (Kemmis, 1988).

## **2.2. Paradigms in Qualitative Research**

Guba and Lincoln (1989) suggest four underlying “paradigms” for qualitative research: positivism, post positivism, critical theory and constructivism whilst O’Brien (1998) proposes a three fold classification which is the one adopted here. While these three research epistemologies are philosophically distinct (as ideal types), in the practice of social research these distinctions are not always so clear cut. There is considerable disagreement as to whether these research “paradigms” or underlying epistemologies are necessarily opposed or can be accommodated within one study (Ward, 1999).

### **2.2.1. Positivist Paradigm**

The main research paradigm for the past several centuries has been that of Logical Positivism. This paradigm is based on a number of principles, including: a belief in an objective reality, knowledge of which is only gained from sense data that can be directly experienced and verified between independent observers. Phenomena are subject to natural laws that humans discover in a logical manner through empirical testing, using inductive and deductive hypotheses derived from a body of scientific theory. Its methods rely heavily on quantitative measures, with relationships among variables commonly shown by mathematical means. Science may therefore improve its knowledge of reality by an incremental process. The methods of science allow us to reach agreement on the nature of the world, and to have some confidence in our shared perceptions when they are developed through science. Positivism, used in scientific and applied research, has been considered by many to be the antithesis of the principles of action research (Susman and Evered 1978, Winter 1989).

### **2.2.2. Interpretive Paradigm (Constructivism)**

Over the last half century, a new research paradigm has emerged in the social sciences to break out of the constraints imposed by positivism. With its emphasis on the relationship between socially-engendered concept formation and language, it can be referred to as the Interpretive paradigm. This paradigm holds that we do not experience the world directly. We filter it through our senses, and through the frameworks and assumptions we use to make sense of it. Containing such qualitative methodological approaches as phenomenology, ethnography, and hermeneutics, it is characterised by a belief in a socially constructed, subjectively-based reality, one that is influenced by culture and history. Nonetheless it still retains the ideals of researcher objectivity, and researcher as passive collector and expert interpreter of data.

### **2.2.3. Paradigm of Praxis**

Though sharing a number of perspectives with the interpretive paradigm, and making considerable use of its related qualitative methodologies, there are some researchers who feel that neither it nor

the positivist paradigms are sufficient epistemological structures under which to place action research (Lather 1986, Morley 1991). Rather, a paradigm of Praxis is seen as where the main affinities lie. Praxis, a term used by Aristotle, is the art of acting upon the conditions one faces in order to change them. It deals with the disciplines and activities predominant in the ethical and political lives of people. Aristotle contrasted this with Theoria - those sciences and activities that are concerned with knowing for its own sake. Both are equally needed he thought. That knowledge is derived from practice, and practice informed by knowledge, in an ongoing process, is a cornerstone of action research. Action researchers also reject the notion of researcher neutrality, understanding that the most active researcher is often one who has most at stake in resolving a problematic situation. It is within this paradigm of praxis that I have positioned my thesis.

### **2.3. Qualitative (pragmatic) research methodologies**

Just as there are various philosophical perspectives which can inform qualitative research, so too are there various qualitative research methods. A research method is a strategy of inquiry which moves from the underlying philosophical assumptions to research design and data collection. The choice of research method influences the way in which data is collected and the research is conducted. Examples of qualitative methods include Action Research, Case Study research, Ethnographic research, Grounded theory, Soft Systems Analysis.

At the heart of all these qualitative investigative enterprises has been a focus on "practice as enquiry" (Newman, 1996). Schon sees this as being conducted principally to inform and change on-going practice, and occurs when the practitioner reflects both while engaged in action and subsequently on the action itself (Schon, 1983). In the concept of the *reflective practitioner* Schon has provided an individual, self directed, experience-based professional learning and developmental process for the practitioner. This concept represents Schon's interpretation of the developmental path and characteristic of professional expertise, which had previously been defined by using the traditional 'technocratic model' as a paradigm (Bines, 1992). The use of the technocratic model developed from a belief that professional problem solving can be mastered singularly through the habitualised and rigorous application of a proven discipline of knowledge, theories and techniques

### **2.4. Determining a methodology**

Dick (1995) and Patton (1990) cite a range of research methodologies available for inquiry in social situations. They each agree that surfacing ontological and epistemological assumptions are the primary steps in determining the choices available from which to select a methodology to use in inquiry.

In this regard, an ontology represents a particular view of reality held about the situation in question, and two positions are normally taken.

The first is that there is one reality and it is observable by an inquirer who has little if any impact on the object being observed. The second is that reality consists of an individual's mental constructions of the objects with which they engage, and that the engagement impacts on the observer and the situation being observed.

Whereas ontological assumptions concern the nature of reality, epistemology relates to how such assumptions can be known. The epistemology is the relationship assumed to be present between the "knower" and what is known or being sought to be known. It deals with assumptions about truth and non-truth. Burrell and Morgan (1979) suggest that the relationship can derive from accepting that knowledge can be either viewed as objectively knowable, or in contrast, only subjectively knowable. Adherents of the constructivist paradigm would assert that it is impossible to separate the inquirer from the inquired into, whilst those following the positivist paradigm would assert that it is possible to maintain an "objective" approach and that the researcher's values can be excluded. Checkland (1991) notes that researchers rarely identify their assumptions when making choices about methodology.

With those comments in mind, the I have made the following assumptions in setting a foundation for a methodological choice:

*Ontologically*, I recognised that the reality of inquiring into managing change is my *personal* interpretation of what is occurring and that I have an impact on the situation being observed;

*Epistemologically* I assumed that whilst *some* information acquisition can come from others it is only by experiencing the learning in person that valuable knowledge is generated at a personal level.

On the basis of these assumptions, I was able to identify the features of a methodology what suited my inquiry:

- It had to allow me to deal with a social situation where I, as an individual, could interpret the meaning of the experiences that I was having,
- It had to allow for the fact that these interpretations would be emerging as more experience accumulated,
- It need to provide me ways of understanding how I interpreted and responded to experiences, and finally
- It needed to provide ways of modifying the world or taking action in it.

My choice of Action Research as the preferred approach to my work reflected the necessity to accommodate these features.

## **2.5. Action Research – a Methodological overview**

Action Research (AR) as the name suggests, is a methodology that has the dual aims of action and research .The focus of this particular work is based on:

Action – to effectively manage a job change

Research – to enhance understanding of the dynamics of change that will improve my own (and others) management practices regarding job change, and more generally in the area of change management.

Action research is known by other names, including participatory research, collaborative inquiry, action learning and emancipatory research, but all are variations on a theme. There has been considerable debate as to whether or not Action Research and Action Learning are different ideas and, for the purpose of this report, Action Research will include the principles of Action Learning. Included under this banner is also the term of “Action Science” ((Argyris and Schon, 1974(cited by Dash 1997, p 9)).

Kurt Lewin was one of the pioneers of the Action Research perspective in general and he made considerable progress using group research to resolve social and organizational problems, rather than for the resolution of solely theoretical issues (Dash 1997). Dash makes the distinction that Action Learning is the technique of extracting the requisite knowledge for a particular situation and then applying it to an existing issue. Action Research, however, not only focuses on resolving an issue, but also adding to the body of knowledge. Action Learning, as pioneered by Revans (1982) is a process of learning new ideas, skills and attitudes through work or other behavioral situations. It is about learning from doing, from taking action.

Revans, as the 'father'; of Action Learning, coined the expression:

$$\text{Learning} = \text{P} + \text{Q}$$

Where P was programmed (or taught) knowledge and Q was questioning. Kolb (1984) further refined this idea of learning to be the process whereby knowledge is created through the transformation of experience. He describes experiential learning as a process involving four adaptive learning modes. These are concrete experience, reflective observation, abstract conceptualisation and active experimentation. In his model the four modes occupy two dimensions on which dialectically opposed orientations are positioned. Learning emerges from transactions to resolve dialectic tensions between the modes. The dialectically opposed orientations are concrete experience (apprehension) and abstract conceptualisation (comprehension), and reflective observation (intention) and active experimentation (extension). It is from this background that Action Research has emerged.

## **2.6. Action Research : A definition:**

“Action Research...aims to contribute both to the practical concerns of people in an immediate problematic situation and

to further the goals of social science simultaneously. Thus, there is a dual commitment in action research to study a system and concurrently to collaborate with members of the system in changing it in what is together regarded as a desirable direction. Accomplishing this twin goal requires the active collaboration of researcher and client, and thus it stresses the importance of co-learning as a primary aspect of the research process." (Rapoport, cited by Hopkins, 1993).

"AR is a form of self-reflective enquiry undertaken by participants in social situations in order to improve the rationality of (a) their own social practices, (b) their understanding of these practices, and (c) the situations in which the practices are carried out." (Kemmis, cited by Hopkins, 1993).

"AR...is the systematic study of attempts to improve ...practise by groups of participants by means of their own practical actions and by means of their own reflection upon the effects of those actions." (Eddbutt, cited by Hopkins, 1993).

Action Research projects are typically grounded in the reality of the individual's job and organization and look at the issues of concern to both the individual and the organization. Because of this, traditional research is not appropriate. Traditional research is a process where, typically, a research starts with a hypothesis, collects data to test that hypothesis, interprets the data and reaches a conclusion - a research centered approach.

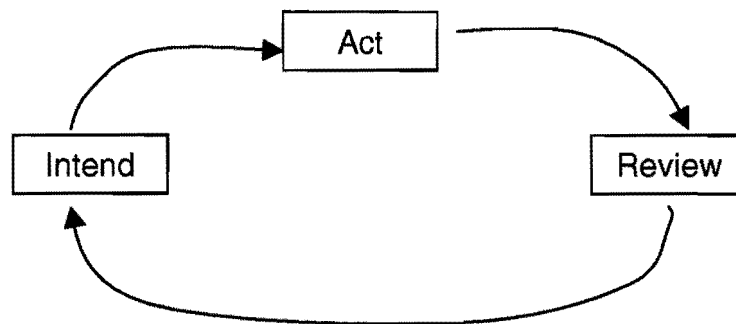
Action Research contains elements of traditional research but collects data and seeks solutions or conclusions relevant to the situation -a problem / issue centered approach. To achieve action, AR is responsive. It has to be able to respond to the emerging needs of the situation. It must be flexible in a way that some research methods cannot be . The researcher studies the problem systematically and ensures the intervention is informed by theoretical considerations. Much of the researcher's time is spent on refining the methodological tools to suit the exigencies of the situation, and on collecting, analyzing, and presenting data on an on-going, cyclical basis. Action research also distinguishes itself from *applied research* because AR involves the generation of situation –specific knowledge, not merely the application of some pre-existing knowledge.

Action research is based on experiential learning and typically this is a cyclical process. At its simplest it consists of two stages:

Action → reflection

But in order to learn effectively a typical cycle will be:

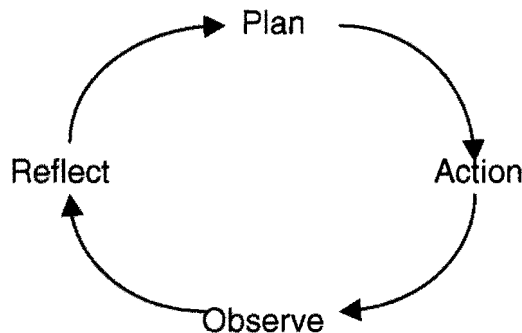
Action → review → plan → action



**Fig 2: The Basic learning cycle**

Action is informed by intuitive theories. Critical review and planning are informed by conscious theories and assumptions. These theories are derived deliberately from recent experience and are used to plan the next experience (Dick,1994).

This cycle is probably best described by Kemmis (1988) which is clearly very similar to the Deming PDSA (plan, do, study, act) cycle (Deming,1993) and is shown in Fig 3 below.

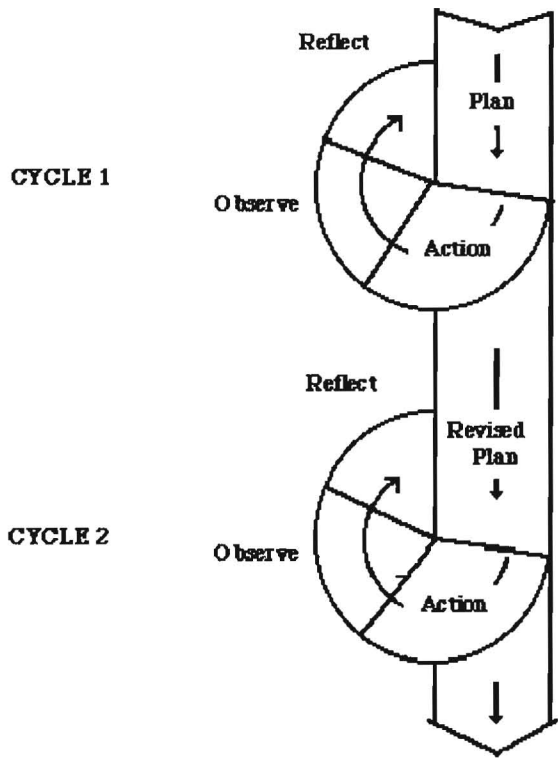


**Fig 3: The Action Research cycle (Kemmis, 1988)**

Another way of visualizing the cycles is shown in Fig 4 below:

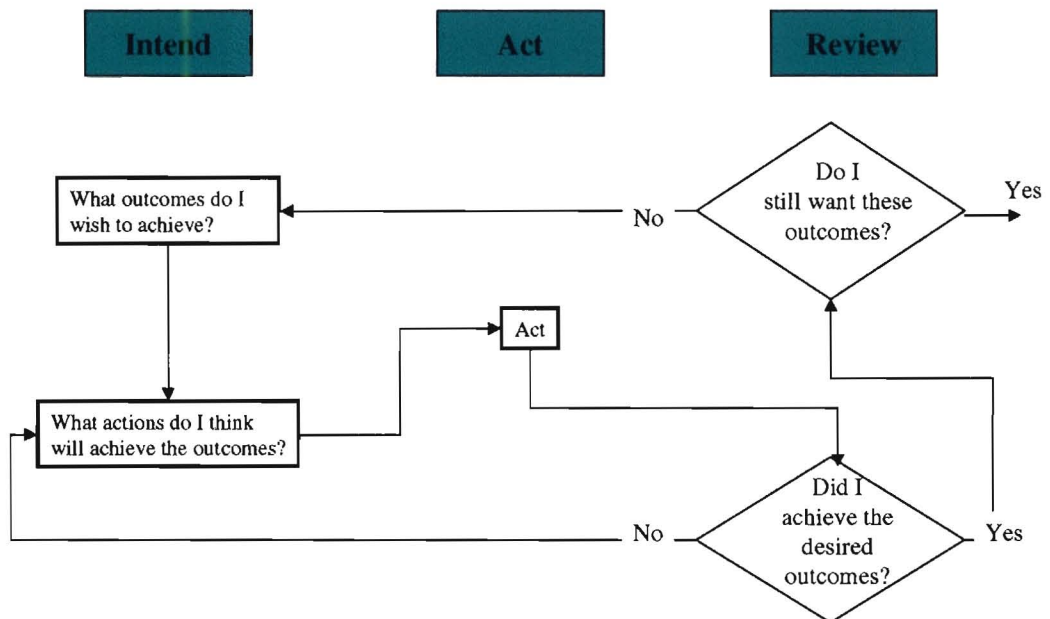
Initially an exploratory stance is adopted, where an understanding of a problem is developed and plans are made for some form of intervention strategy (the reconnaissance and general plan)  
 Then the intervention is carried out (the Action in Action Research)  
 During and around the time of the intervention, pertinent observations are collected in various forms (monitoring the implementation by observation).

The new interventional strategies are carried out, and the cyclic process repeats, continuing until a sufficient understanding of (or implementable solution for ) the problem is achieved (reflection and revision).



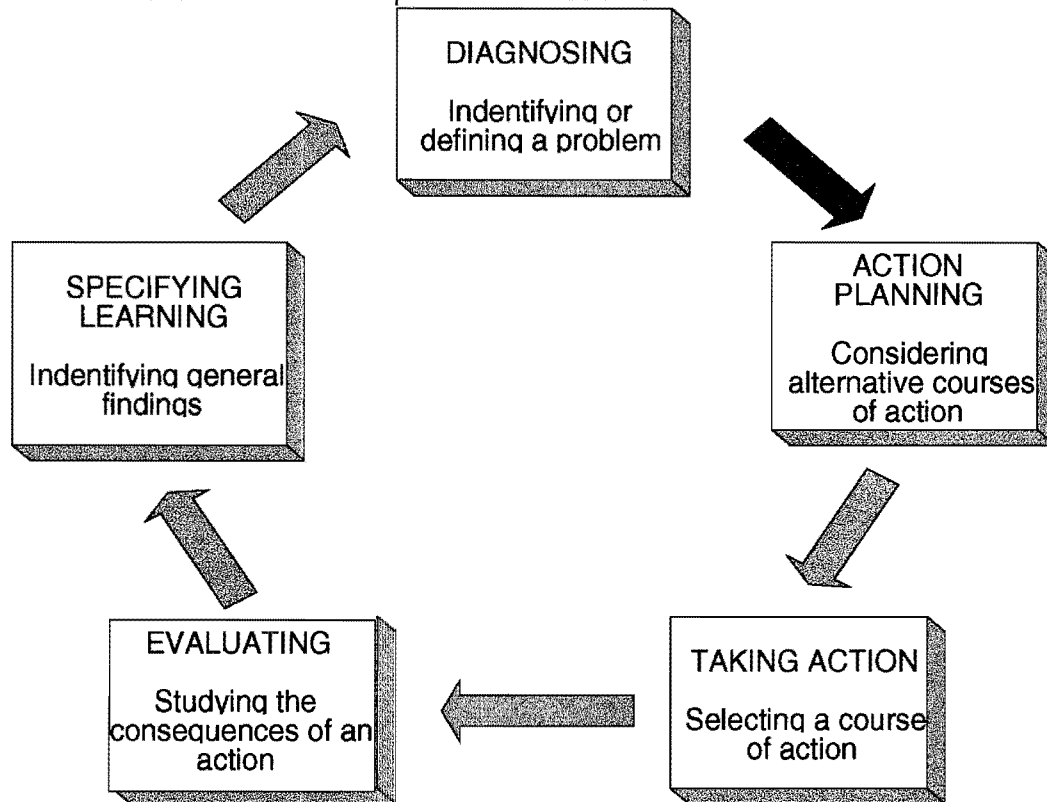
**Figure 4: A representation of the on-going Action Research cycles (MacIsaac, 1995)**

This can be viewed in a slightly more mechanistic fashion as in Fig 5 below which highlights the decision points encountered when conducting Action Research.



**Fig 5: A Flow diagram for Action Research**

Susman (1983) gives a more elaborate view of the cyclical process and distinguishes five phases to be conducted within each research cycle. Initially, a problem is identified and data is collected for a more detailed diagnosis. This is followed by a collective postulation of several possible solutions, from which a single plan of action emerges and is implemented. Data on the results of the intervention are collected and analysed, and the findings are interpreted in light of how successful the action has been. At this point, the problem is re-assessed and the process begins another cycle. This process continues until the problem is resolved.



**Fig 6: The five phases of Action Research as proposed by Susman (1983)**

## 2.7. Principles that guide Action Research

Winter (1996) provides a comprehensive overview of the six key principles:

### 2.7.1. Reflexive critique

An account of a situation, such as notes, transcripts will make implicit claims to be authoritative, i.e., it implies that it is factual and true. Truth in a social setting, however, is relative to the teller. The principle of reflective critique ensures people reflect on issues and processes and make explicit the interpretations, biases, assumptions and concerns upon which judgements are made. In this way, practical accounts can give rise to theoretical considerations.

### **2.7.2. Dialectical critique**

Reality, particularly social reality, is consensually validated, which is to say it is shared through language. Phenomena are conceptualised in dialogue, therefore a dialectical critique is required to understand the set of relationships both between the phenomenon and its context, and between the elements constituting the phenomenon. The key elements to focus attention on are those constituent elements that are unstable, or in opposition to one another. These are the ones that are most likely to create changes.

### **2.7.3. Collaborative Resource**

Participants in an action research project are co-researchers. The principle of collaborative resource presupposes that each person's ideas are equally significant as potential resources for creating interpretative categories of analysis, negotiated among the participants. It strives to avoid the skewing of credibility stemming from the prior status of an idea-holder. It especially makes possible the insights gleaned from noting the contradictions both between many viewpoints and within a single viewpoint.

### **2.7.4. Risk**

The change process potentially threatens all previously established ways of doing things, thus creating psychic fears among the practitioners. One of the more prominent fears comes from the risk to ego stemming from open discussion of one's interpretations, ideas, and judgements. Initiators of action research will use this principle to allay others' fears and invite participation by pointing out that they, too, will be subject to the same process, and that whatever the outcome, learning will take place.

### **2.7.5. Plural Structure**

The nature of the research embodies a multiplicity of views, commentaries and critiques, leading to multiple possible actions and interpretations. This plural structure of inquiry requires a plural text for reporting. This means that there will be many accounts made explicit, with commentaries on their contradictions, and a range of options for action presented. A report, therefore, acts as a support for ongoing discussion among collaborators, rather than a final conclusion of fact.

### **2.7.6. Theory, Practice, Transformation**

For action researchers, theory informs practice, practice refines theory, in a continuous transformation. In any setting, people's

actions are based on implicitly held assumptions, theories and hypotheses, and with every observed result, theoretical knowledge is enhanced. The two are intertwined aspects of a single change process. It is up to the researchers to make explicit the theoretical justifications for the actions, and to question the bases of those justifications. The ensuing practical applications that follow are subjected to further analysis, in a transformative cycle that continuously alternates emphasis between theory and practice.

Action Research is clearly a qualitative tool and is also empirical i.e. it is responsive to the evidence. Because of this, the evidence must be used critically. The quality of evidence can be increased by the use of multiple sources of data within the cycle of investigation. One of the advantages of Action Research is that it is a methodology whose flexibility allows both learning and responsiveness.

### **2.8. Criticisms of Action research:**

The methodology of Action Research within the general paradigm of action –orientated research is not without its detractors. Some of the criticism suggests that the “classical “ notion of scientific research, such as ‘knowledge’, ‘justification’ etc. has been abandoned and there is a lack of methodological rigour. Elliott cited by Dash (1997 ) suggests that “the fundamental aim of action research is to improve practice rather than to produce knowledge”. This , he contends, leads the serious question of the autonomy of research. In addition, the descriptive language used to relate situations is a lot more problematic than the “language of variables” associated with physical sciences. Another concern is that AR , without an intellectual framework in terms of which learning will be defined, will be indistinguishable from mere action (Checkland, 1991).The role of the researcher is another criticism of AR, where what enters the research process is subject to judgement and negotiation.

### **2.9. How AR can achieve high levels of rigour**

Most conventional research methods gain their rigour by control, standardization, objectivity, and the use of numerical and statistical procedures. This clearly sacrifices flexibility during a given experiment - if you change the procedure in mid stream you don't know what you are doing to the odds that your results occurred by chance. In Action Research, standardization defeats the purpose. The virtue of AR is its responsiveness as it allows the improvement of action and research outcomes through a process of iteration. As in many numerical procedures, repeated cycles allow you to converge on an appropriate conclusion. Action Research is clearly a qualitative tool and is also empirical i.e. it is responsive to the evidence. Because of this, the evidence must be used critically. The quality of evidence can be increased by the use of multiple sources of data within the cycle of investigation. One of the advantages of Action Research is that it is a methodology whose flexibility allows both learning and responsiveness.

The benefits of AR are often cited as being responsive and flexible and the following explains how AR can simultaneously achieve high levels of rigour:

A scientific claim is an assertion, not a fact. What makes it scientific is that, in the words of Phillips (1987) quoting Dewey (1938), it is "warrantable". In the course of a typical AR or change programme, many assertions must be made. The difficulty is to make them adequately warrantable.

An assertion is an interpretation of evidence. The evidence is drawn from the data in the study, and from the literature. To be warrantable the interpretation must have been reached only after attempts to exclude other interpretations. Further, it must account for the evidence as well as, or better than, the alternative interpretations.

The interpretation can only be as good as the evidence on which it is based. The evidence therefore must be an adequate sample of all the evidence which might have been collected.

In a typical action research format, Dick (1994) presents the following scenario:

- Firstly, at each cycle, the researcher may try to disconfirm the emerging interpretation. The use of many short cycles allows more change to disconfirm.
- Secondly, at each cycle, the methods used can be critiqued and refined.
- Thirdly, data collection and interpretation can be included in each cycle, and so can be tested in later cycles.
- Fourthly, divergent data may be specifically sought out. This increases the chance that any piece of data or interpretation will be challenged by other data.
- Fifthly, literature can be used as a further source of possible disconfirmation. The researcher who has deliberately sought disconfirming literature, and failed to find it, has a more warrantable assertion than could otherwise be claimed.
- Lastly, the planned changes which emerge from the action are derived from the data and interpretation. That change offers a further opportunity for disconfirmation.

In a complex situation, where flexibility and participation are required, Dick (1997) claims that AR meets the threats to research methodology better than any convention research methods.

I believe Action Research provides the features (section 2.4) I sought in a methodology because:

- My experience would be a "real world" concrete social situation in which variables would be impossible to control,
- The cycles of action and reflection provided for data collection and interpretation

- The reflection phases enabled me to determine in what way I could seek disconfirming evidence and challenging data,
- Its cyclic nature enables me to identify and implement action that will lead to further learning,
- It provides flexibility to respond to emergent situations and permits me to use my data to choose further action (which will further improve the clarity of the system under inquiry).

By accepting these features, I recognize that I will not be able to control some variables that may give better precision to planned outcomes. In addition, I will be unable to replicate my action plans, and that I will be developing outcomes that ,certainly initially, will have local rather than universal relevance.

## 2.10. Data collection methodology

In doing action research I had to find a method of data collection as well as a way to improve the quality of my reflection. We are all familiar with the use of conversations and observations as a way of acquiring information about our organizations, the way we work and how we interact with colleagues and friends. This type of observation forms the primary data collection strategy in the selected research methodology called 'ethnography'.

Ethnography is interactive research which requires the systematic observation and recording of processes as they occur naturally in the selected site of the research. There are common strategies employed by ethnographers such as *artifact collection* , *interviews* , and *participant observation*. It is the latter methodology that I have chosen, where the researcher is purposefully acknowledging their role as a participant in the unfolding sequence of events and actions.

The ethnographer systematically works at deriving meanings of events, by seeking to understand people's construction – their thoughts and meanings, feelings, beliefs, and actions as they occur in their natural context.

During the time of my study, a daily ethnographic research journal was kept in which I documented the significant issues and decisions taken during the day, and the results of the decisions taken previously that that been translated into action (**Appendix 1**). Ethnography emphasizes the observation of details of everyday life as they naturally unfold in the real world (Trochim,1997). This process of planning, acting and reviewing formed the basis for exposing learnings during the process. Learnings that emerged during the reflective cycles were then incorporated into the next cycle of action and reflection.

The use of an ethnographic journal is recommended by a number of researchers in qualitative research design. Maxwell (1996) advocates

the use of memo's to include reflections on ideas and courses of action. Miles and Huberman (1994) regard this form of data recording as an essential technique for qualitative analysis. They do not just report data but tie together different pieces of data into a recognizable form, and as such become an important "sense making" tool. Corbin (cited by Sankaran, 1997) remarks that there is "no other way than field notes and reflections for the analyst to keep account of developing theory and to compare and verify findings as he or she proceeds".

After the conclusion of the period of research the Ethnographic research diary was systematically evaluated. To surface the various distinct learnings a technique of Affinity Diagrams was employed where individual learnings were clustered into similar themes, which formed then formed the basis for underlying structure of the system that I was observing.

## **2.11. Summary**

In this chapter I outlined the ontological, epistemological and human nature assumptions that led to my choice of action research as the methodology. I explored the match between the features I sought and action research as my chosen methodology. I concluded the chapter by describing the method of action research including some criticisms as well as why I believe it has sufficient rigour as a valid research methodology. The following chapter reflects a summary of the learnings from the period under study and reflects three distinct phases or cycles of learning;

- Pre-change management
- Post-change management
- Learning to use change opportunities

The first two cycles contain learnings that are roughly in chronological order, and the third reflects a more holistic view of the change experience. The focus has deliberately been around managing change in the work context, and only where I have thought it necessary, have I included aspects outside of the work place.

### 3. Action Research Learnings

The following three sections summarise the Action Research process and the emergent learnings that are documented in Appendix 3. To better understand the three main AR cycles, they are shown diagrammatically in Fig 7 below. The figure shows how the major cycles of planning, acting, observing and reflecting link together in the three main cycles. The more detailed AR cycles within each major cycle are presented in the following two chapters.

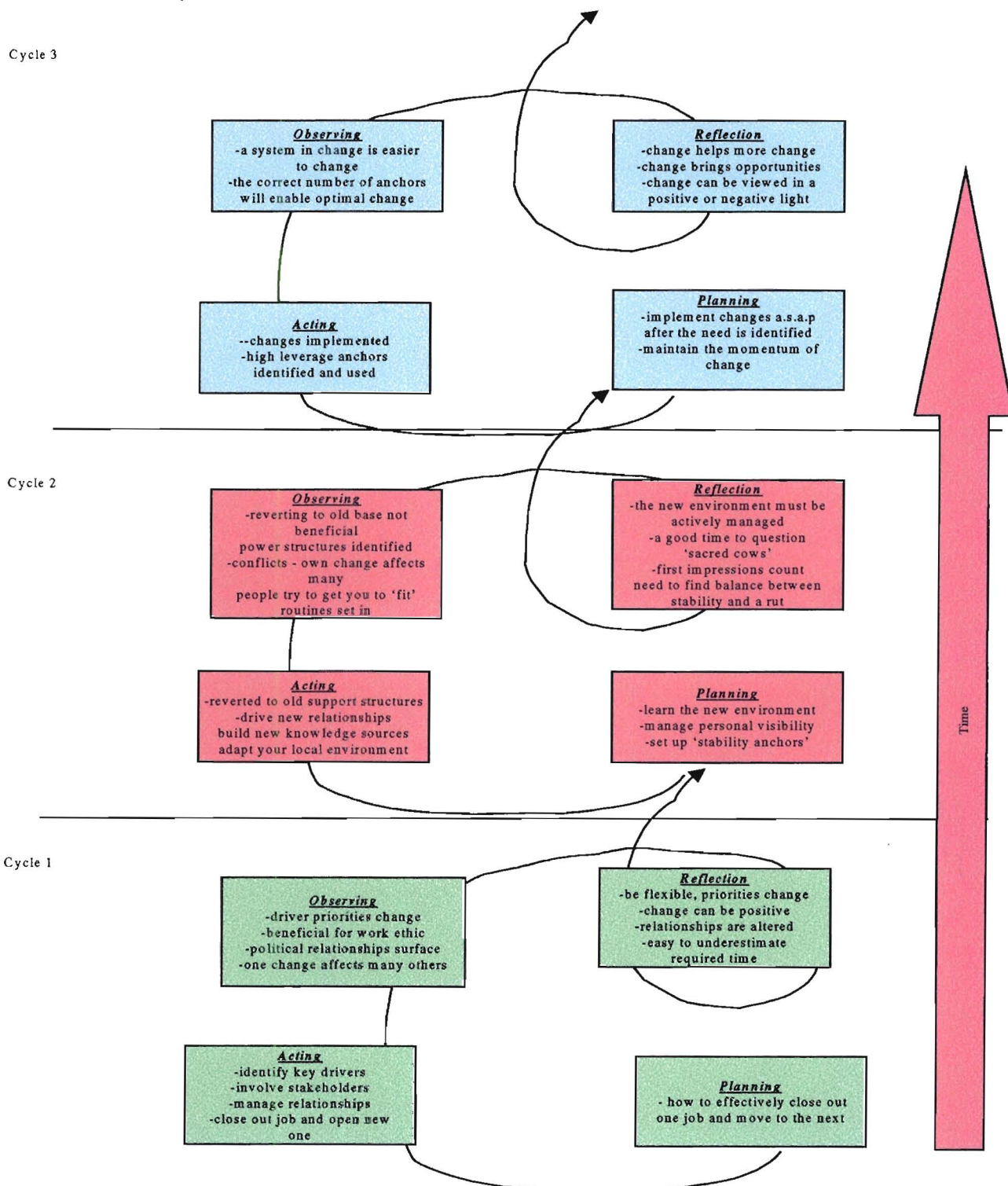


Fig 7: An overview of the operation of the three main Action Research cycles.

### 3.1. Cycle One

Figure 8 below summarises the Action Research process and emergent learnings from the start of the notification of change to the time of leaving the old job. The 'specified learnings' are detailed in Appendix 3.

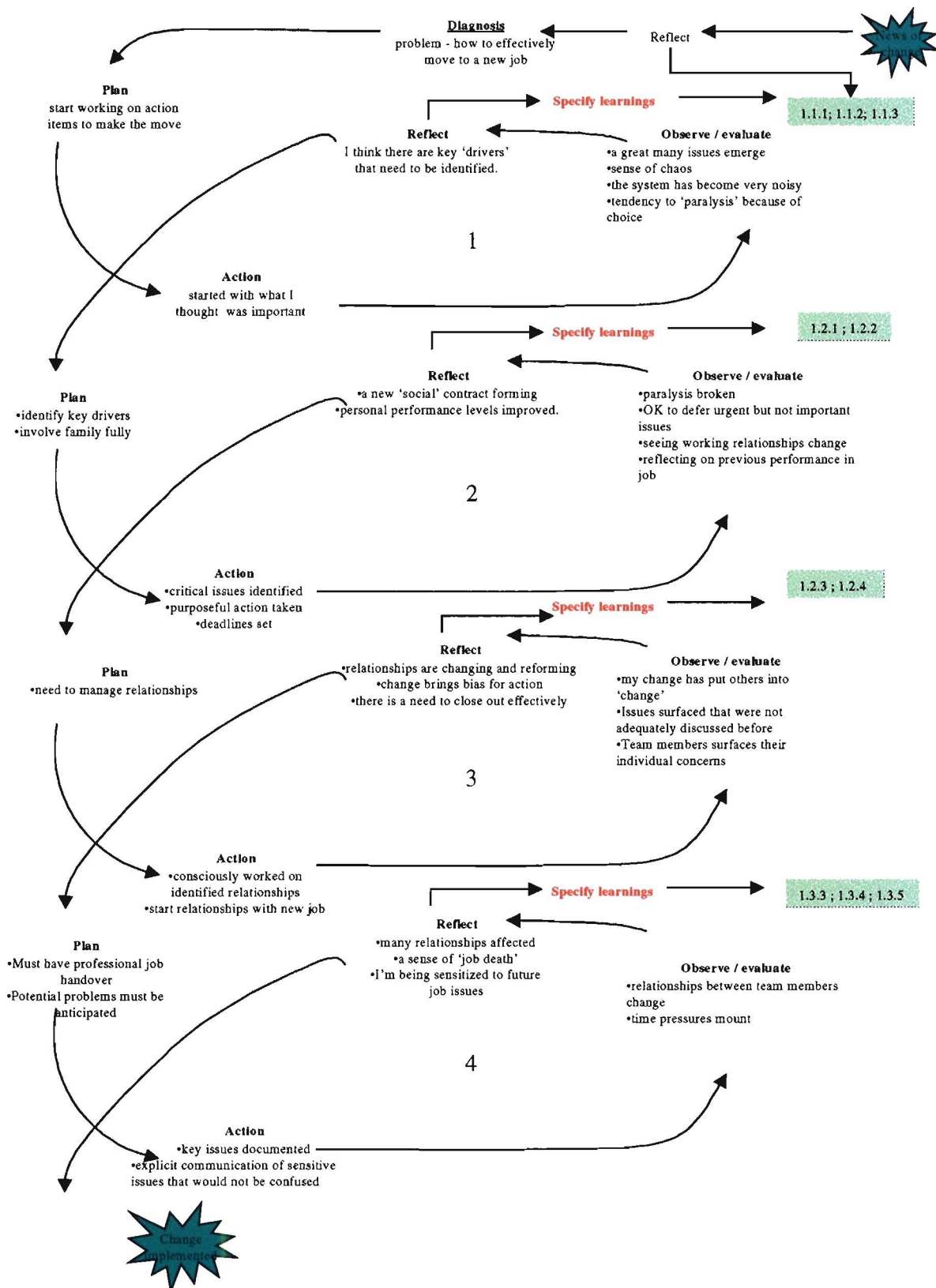


Fig 8: Details of the first Action Research Cycle

### 3.2. Cycle Two

This cycle deals with the Action Research process from the time of commencing the new job until the end of the research period.

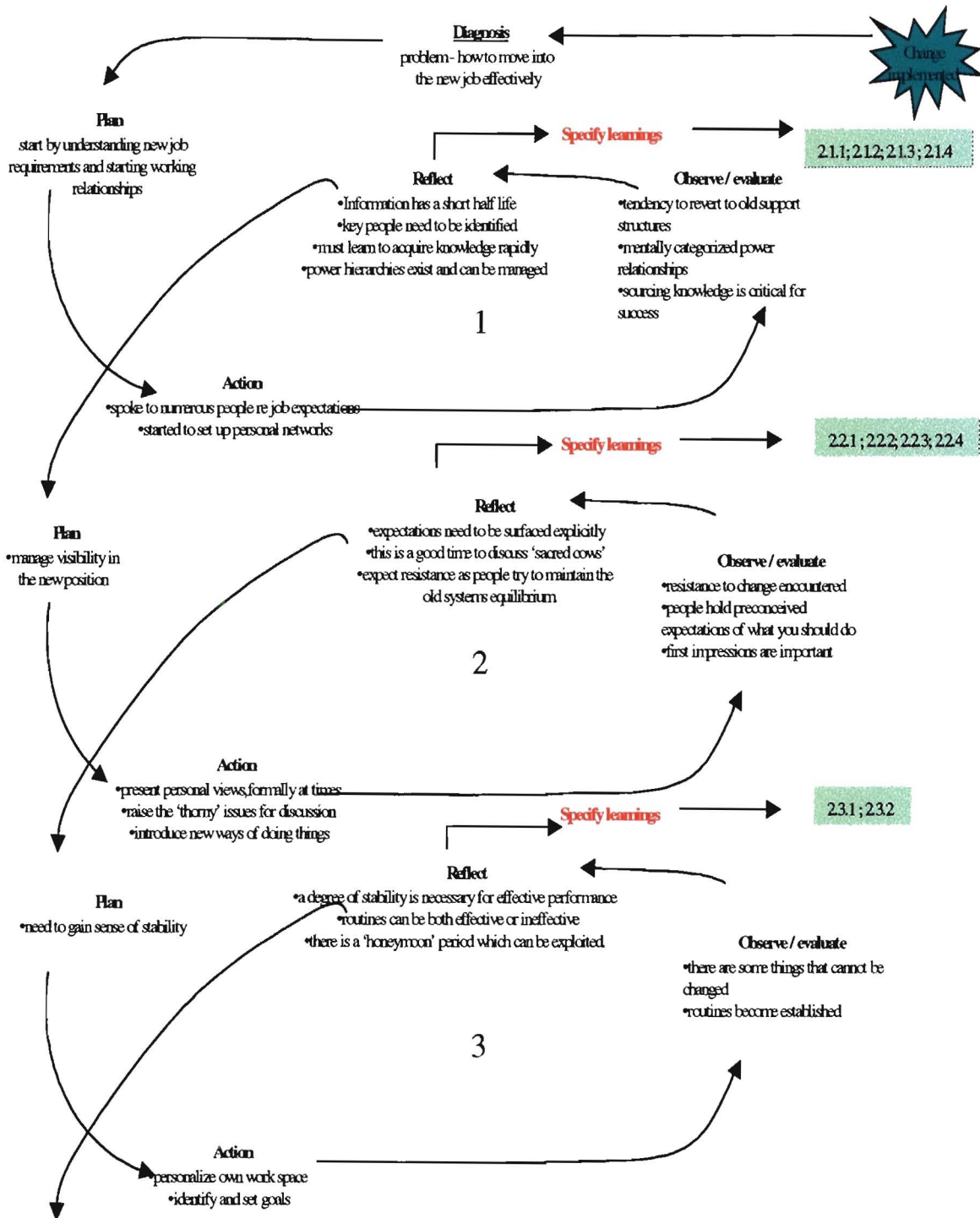
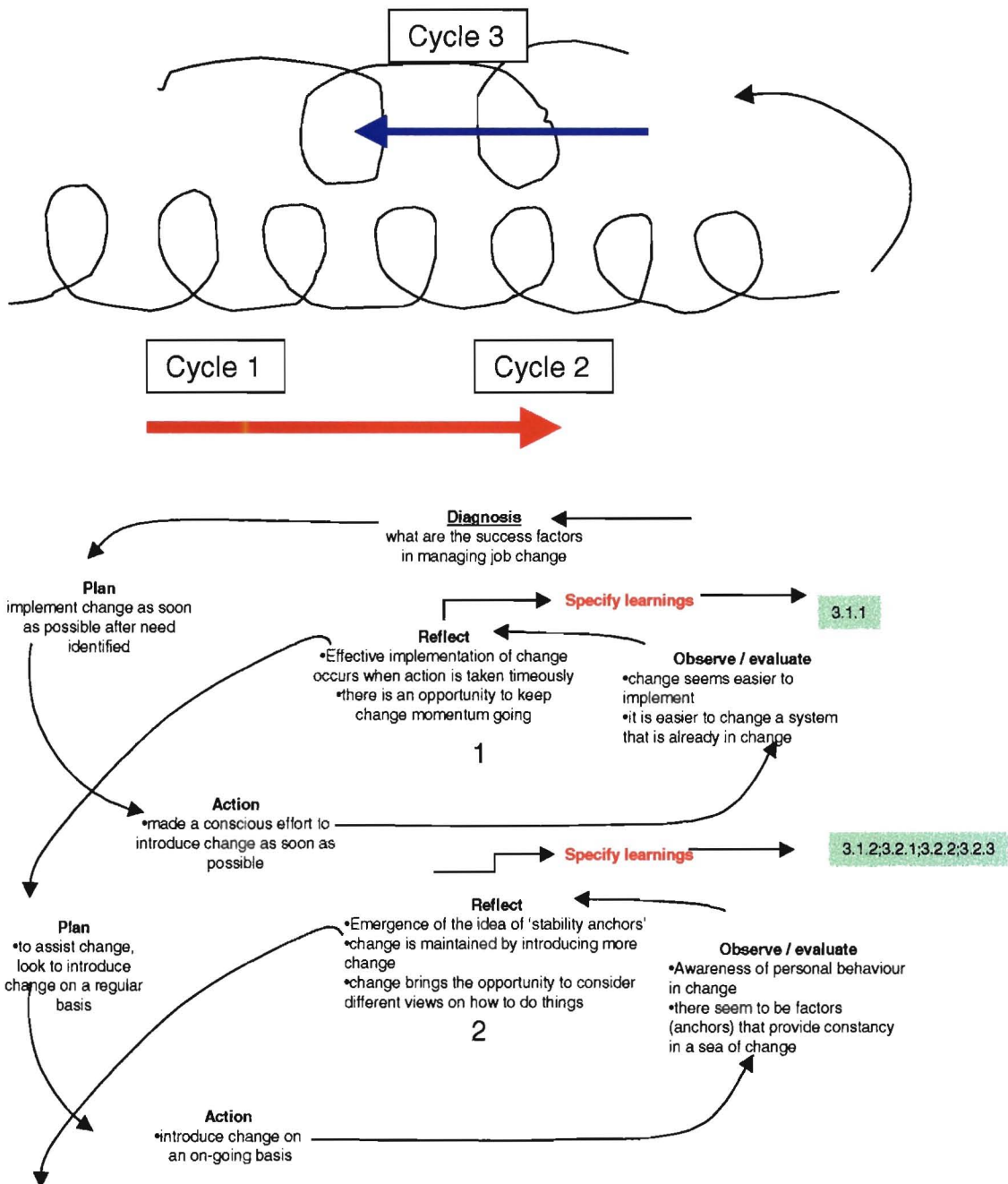


Fig 9: Details of the second main Action Research cycle

### 3.3. Cycle 3

During the overall process of job moving and relocation, several elements were observed that, when understood, could enhance any change process. In many ways, this third Action Research cycle was strongly reflective in nature and so ran in parallel but in the 'opposite' direction to the first two cycles.



**Fig 10: Details of the third Action Research Cycle.**

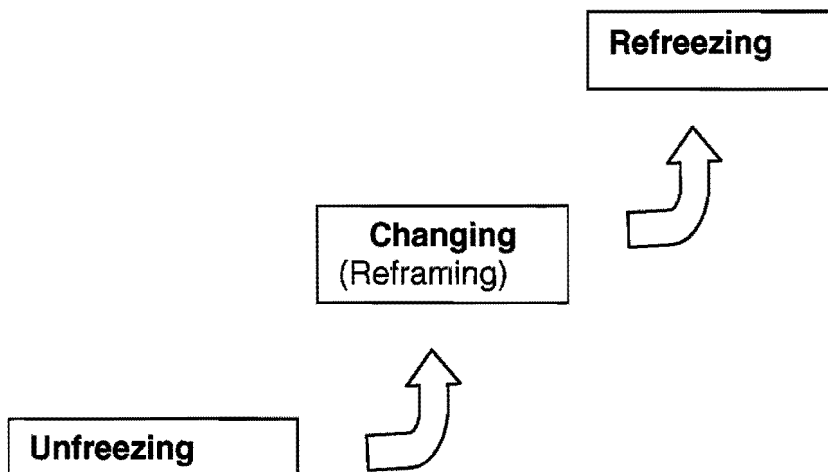
The following chapter examines three different general models of change, and these together with the above learnings provide the basis for a model towards understanding and managing job change.

## 4. Models of change

In this chapter I will examine three models of change that are widely referenced in literature as a starting point from which I can position my own model of managing a job change. It is clear that the majority of work published is situated at a method or methodological level of understanding change. There is a proliferation of work on how to manage change through various action steps and how to implement the change viewed from various paradigms, many in the area of problem solving. Methodologies such as Soft Systems Methodology (Checkland, 1981), Interactive Planning (Ackoff 1981), Critical Systems Heuristics (Ulrich, 1983) and Client Led Design (Stowell, 1994) are some of the more common approaches to the issue of change management. However, only a few authors deal with understanding the process of change at a more fundamental level.

### 4.1. Lewin's model of Change

Perhaps the best known and enduring model of change is that proposed by Kurt Lewin (1951, 1952). He proposed that there are three basic elements to change, as shown in Fig 19 below.



**Fig 11: Lewin's Theory of Change**

In the "Unfreezing" stage, Lewin proposes that all forms of change start with some form of dissatisfaction or frustration generated by data that disconfirms our expectations or hopes. In order to become motivated to change, we must accept the information and connect it to something we care about. The disconfirmation must arouse what has been called "survival anxiety" or the feeling that if we do not change we will fail to meet our needs or fail to achieve some goal or ideals that we have set for ourselves.

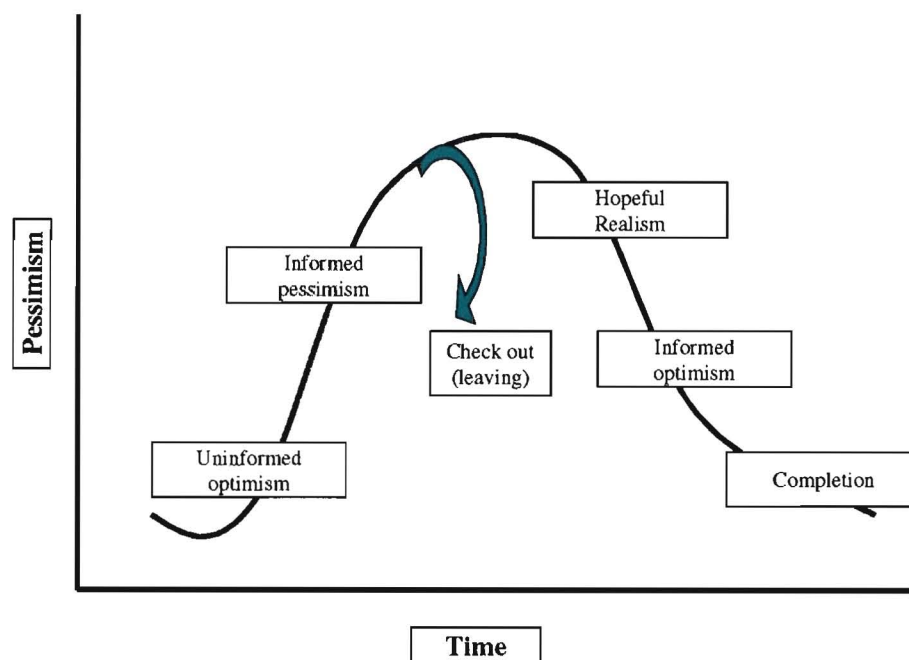
What typically prevents us from accepting the disconfirming data and causes us to react defensively is a second kind of anxiety which is called "learning anxiety". This is the fear of losing our effectiveness, our self-esteem and maybe even our identity by admitting (to ourselves and others) that something is wrong or imperfect and requires the entering of a learning or change phase.. Adapting poorly or failing to meet our

creative potential often can look more desirable than risking failure and loss of self esteem in the learning process. Dealing with the learning anxiety, then, is the key to dealing with change. Effective change management becomes the ability to balance the amount of threat produced by disconfirming data with enough psychological safety to allow the change target to accept the information, feel the survival anxiety, and become motivated to change

- **Changing (or Re-framing)**  
Once the person experiencing change has become unfrozen (i.e. is motivated to change) they have opened themselves up to new information. This new information may be acquired by identification with some role model (something that is aspired to) or, in the absence of a role model, by learning through a trial and error process based on scanning the environment for new concepts. Once the learning of new behaviour has been seen to be effective, it must be “refrozen” in order for the change to remain stable.
- **Refreezing**  
The new behaviour must be to some degree congruent with the beliefs and behaviours of the person going through the change. If this is not the case, it will simply set off rounds of disconfirmation that often leads to unlearning the very thing one has learned.

#### 4.2. Conner Model

This is the only model of change that could be found that dealt with the notion of change as having the quality of being ‘positive’.



**Fig 12: The Connor Model of Managing Positive responses to Change**

At the beginning of the change process, Connor (1992) asserts that there is the phase of 'uninformed optimism' which is characterised by a naïve enthusiasm based on insufficient data. After a period of time, the quality and amount of data increases and there has been time to reflect on both the meaning of the change as well as what the latest data 'means'. At this point 'informed pessimism' sets in as there may be significant costs that were not expected.

At this point, Connor warns that there is a real danger of the decision to 'check out' or leave the process. This may be manifest as taking action to get out of the change process altogether, or the manifestation of superficial calm which covers undiscussed conflict and resentment. Even with the notion of positive change, this is clearly the area of resistance to change which has so often been referred to in change management processes.

Once this phase has been managed through, 'hopeful realism' is reached where there is true understanding of the costs of the change together with what the perceived benefits will be. This gives way to 'informed optimism' that the change is achievable and in fact a great deal has already been accomplished, and finally the change can be regarded as complete.

#### 4.3. Kubler-Ross Model for managing negative responses to change

This is based on the work by Kubler-Ross (1970) and is frequently referred to as the 'grief cycle' and is frequently mentioned by change management experts when modelling the responses to change that is typically referred to as 'negative'.

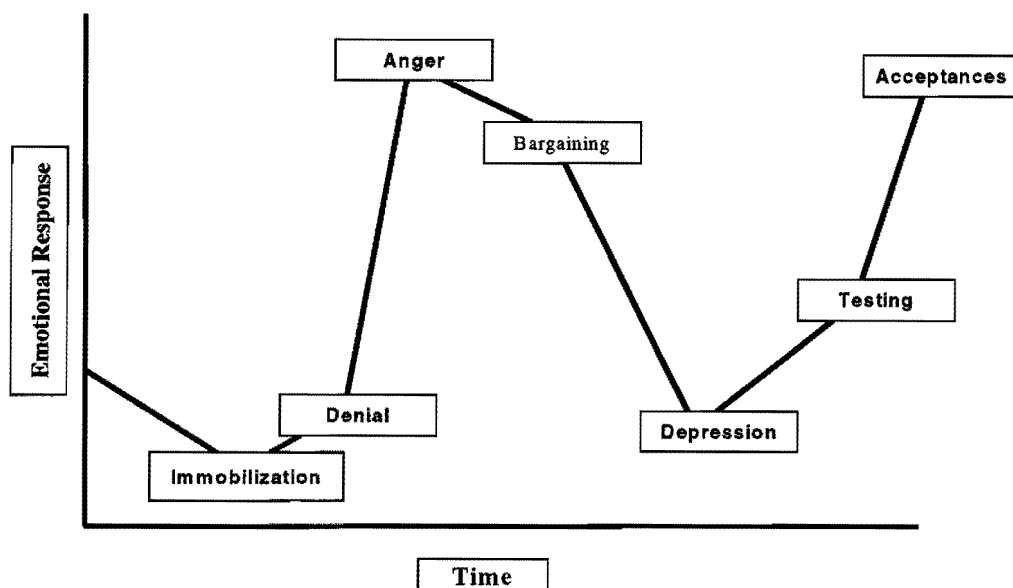


Fig 13: The Kubler- Ross Model of Managing Negative responses to Change

Once the news of (negative) change has been communicated the first reaction is shock, with the person literally immobilised in the capacity to take action, decisions etc. because the nature of the change is may be so unreal that it can't readily be comprehended. Following this, is the stage of 'denial' where there is avoidance of the issue and a reluctance to deal with the change issue.

As the reality of the change is reflected on and the implications that it carries are realised, there is a phase of frustration may become openly manifest as open hostility to others, whether involved in the change or not. As the reality sets in, a new phase of 'bargaining' commences as people begin negotiating ways to minimise the impact of the change. Once the bargaining has failed, there is the onset of 'depression' as the person comprehends that the change is both real and permanent and there is not going to be any alternative than to go through the change process.

After this 'reality check', there is the start of a learning process, where the person accepts the change and starts to explore ways how to succeed under the new conditions. As the learning experience matures, the new learned behaviours are fixed in place and a sense of stability returns.

#### **4.4. Surfacing the key elements**

Checkland (1991) in his description of Soft systems Analysis (which is a methodological approach to understand the various systems at work in a complex social environment) uses a "CATWOE" checklist to confirm that the definition of the system is complete. CATWOE is a mnemonic which stand for the various aspects of the definition of the system that should be checked.

In this instance, three relevant models or systems of change have been presented from literature. It is my intention to 'filter' these models through CATWOE to distill out the essence of the systems referred to in the models and to see how closely this approximates my experience of change.

**C** stands for 'customer of the system' and in this context it means those who are on the receiving end of whatever it is that the system does, be they beneficiaries or victims.

**A** stands for actors, meaning those who carry out the activities envisaged in the system being referred to.

**T** is the 'transformation process', or what the system does to the inputs to the system to change them into outputs

**W** stands for *Weltanschauung* or worldview. This forces one to be explicit about the way in which the system is viewed

**O** stands for 'owner' of the system, and identifies those who have sufficient power over the system to cause it to cease to exist.

**E** stands for 'environmental constraints', or what are those elements that constrain a system that you have taken as a given.

## **Customer**

Lewin – this could be the owner of the system such as the manager wanting to introduce change in order to achieve a specific objective, or it could be the individual who initiates change so that they will be the beneficiary.

Connor – the customer here is generally the individual who is driving change, and the reason is so that they will be ‘beneficiaries’ of the change.

Kubler-Ross – the customer is the individual involved in the change process, and the general view is that the customer is the ‘victim’ in the situation.

## **Actor**

Lewin – this could be individual directly involved in the change process or could be those people who are the recipients of the change process. For example, a manager who initiated a change process, may have subordinates who are actors in the process.

Connor – again this could be the individual concerned in the change process, or could be those people who both influence and are influenced by the person going through the change process.

Kubler-Ross – the individual, as per the customer

## **Transformation**

Lewin – the transformation is from one steady state to another. This move is made possible by the ‘unfreezing’ of one situation, a reframing, and then the ‘refreezing’ to form a new steady state.

Connor – the transforming of a system that essentially receives ‘dissatisfying’ data inputs to one that receives ‘satisfying’ data inputs.

Kubler-Ross – the disrupted equilibrium of a system is transformed to one that is sufficiently stable to allow the system to operate.

## **Worldview**

Lewin – given sufficient motivation, change will be initiated. The motivation aspect is a construct of the person initiating the change, and not everyone receiving the same data inputs will arrive at the same degree of motivation for change.

Connor – change is basically selfish, and we change in order to get a better deal for ourselves. We can opt out of a change process if we perceive that it is not going the way we want it, or it takes too much effort to change. This suggests that the person in change can go ‘back to the beginning’.

Kubler-Ross – Change happens, and we are unwilling recipients of a probabilistic system.

## **Owner**

Lewin – in most cases, this is also the customer of the process.

Connor – the individual involved. Implied in this model is that the person going through change can ‘opt out’ of it.

Kubler-Ross – In many cases there is no owner. Once the disruptive change has occurred or been initiated, the customer has no option but to go through the process until completion. In some cases, for example, organisational re-structuring, the owner could be the executive of the company or the change process.

These three models represent quite different perspectives of the process of change. I would propose that the common feature in all of them is that change is a disruption to a system, and the process that then ensues is one geared at restoring a sense of stability (Lewin = refreezing, Connor = completion, Kubler-Ross = acceptance). The three models were chosen to represent three different perspectives of the mechanism of change:

- Lewin: This is a fairly neutral stance which does not really apply a 'value' to change that could be perceived as 'good' or 'bad'
- Connor: This is explicitly directed at managing response to change that is generally perceived to be 'good' or 'positive'. In my particular experience reported here, my perception of the change happening to me was 'positive'.
- Kubler-Ross: The view is definitely 'negative' or that the change encountered was never designed or desired.

Whilst the above models do have some features in common with the action research findings described by my research, I believe that they do not adequately explain the some of the systemic issues of change. The following chapter deals with how I have constructed my own model towards the better understanding and managing of (personal) job change.

## 5. Towards a model for managing job change

This chapter builds on the findings of the Action Research cycles (which largely reflect *events* and my interpretation of the emergent *patterns*) in an attempt to understand the underlying *structure*. From a Systems Thinking point of view, the understanding of the structure will provide the real benefit in improving the practise.

Causal loop diagrams (CLDs)(Goodman et al.,1997) have been used extensively to analyse qualitative data, and they are particularly useful to examine and explain phenomena that are inter-related and happening at the same time. In short, this is a useful Systems Thinking tool to understand and expose the workings of the system under review. Shibley (1998) provides a useful template for constructing CLDs: firstly, the data is gathered (in this case by ethnographic research) and assumptions are surfaced and acted upon (the Action Research methodology). A "story" is then constructed using the key variables and these are then linked and looped together as necessary where relationships are seen to occur. Common practise dictates that variables that support another variable are designated with an 's' on the diagram, and those that oppose are shown with an 'o'. By considering the various relationships and loops, reasons for why the system behaves as it does can be revealed.

### 5.1. Causal Loop Diagram 1 (Pre-change)

This CLD considers the pre-change system and is based on the first major cycle of the action research. The CLD starts with the news of the decision to implement change, rather than the process leading up to change and those events that cause change to be triggered.

After the notification of change there is a vast increase in the normal amount of variety concerning the level of decision making that a person normally faces. There has to be some mechanism to deal with this heightened level of variety and as revealed in the AR, there then followed a period of reflection where the positive and negative aspects of the change are considered (appendix 1.1.1). The positive elements promote the desire for change, whilst the negative ones counteract this and the nett effect of the combined loops either helps or hinders the change process. This is a personal reflection process and when the positives outweigh the negatives, then the overall move is supported. Should the negative out weigh the positives, then , depending on the nature of the change, there will be tendency to get out of the change process ( go back to the old system), and should this not be possible, then the change process will be conducted with a very unwilling participant. In the context of this AR, the positives outweighed the negatives and so there has not been direct experience of a negative response to change and only possibilities have been considered (appendix 3.1.1).

Once the change is underway , key drivers are sought that will leverage the change. Once again these are highly personal (AR learning appendix 1.1.2) but their presence is important for the change process. If these are ineffective, they reduce personal

performance, which both impacts the team performance, as well as *increasing* the amount of variety. This particular loop emphasises that if drivers are poorly identified, then the number of issues actually increases which impeded the effective introduction of change.

The identification of key drivers then leads to a number of reinforcing loops involving personal performance, effectiveness of communications, team and business performance. These in turn help reduce the number of issues to be dealt with (reduce variety) and so the change process becomes easier.

The CLD clearly reflects the notion in the AR (appendix 1.3.3) of one change affecting many others, with both individuals and teams having to adjust to changes in the system. In addition, the importance of managing relationships, effective communication and quality of a handover are shown by their role in loops that promote both individual and team performance as well as business performance.

Communication effectiveness has implications at a business as well as a domestic level and it must be recognised that whilst the study has tended to focus on work-place events, in reality these cannot be separated from the life of the individual as whole. The implications of change on an individual clearly impact a lot more areas than just in the work-place, but this was not the focus of this research.

The overall output of the system depicted by CLD1 could be measured in a number of ways, but I propose the three most important ones are:

- **Variety reduction:** Faced with uncertainty, the most natural thing we do is to try to predict the future. This is true for the person who is the direct subject of the change, as well as for the others who are influenced to a greater or lesser extent by the change. In many ways, the reducing of variety and the identification of key drivers are ways of reducing uncertainty of the whole system. In addition, communication activities such as finding more about the environment where the change is leading to, and discussing and making plans for managing once the person has gone, are all behaviours geared at trying to make the future more certain.
- **Team performance:** A successful management of change when a person leaves a team is when the performance of the team is not negatively impacted. This means that the team performance is maintained both before and after the person leaves.
- **Personal performance:** a well managed change process will minimise the impact on the person prior to the change being implemented and will provide an effective platform to launch from once the change has been implemented.



## 5.2. Causal Loop Diagram 2 (Post-change)

The initial impact of the change being implemented is that there is a dramatic lowering of the requisite knowledge levels by the individual because they have entered a new system

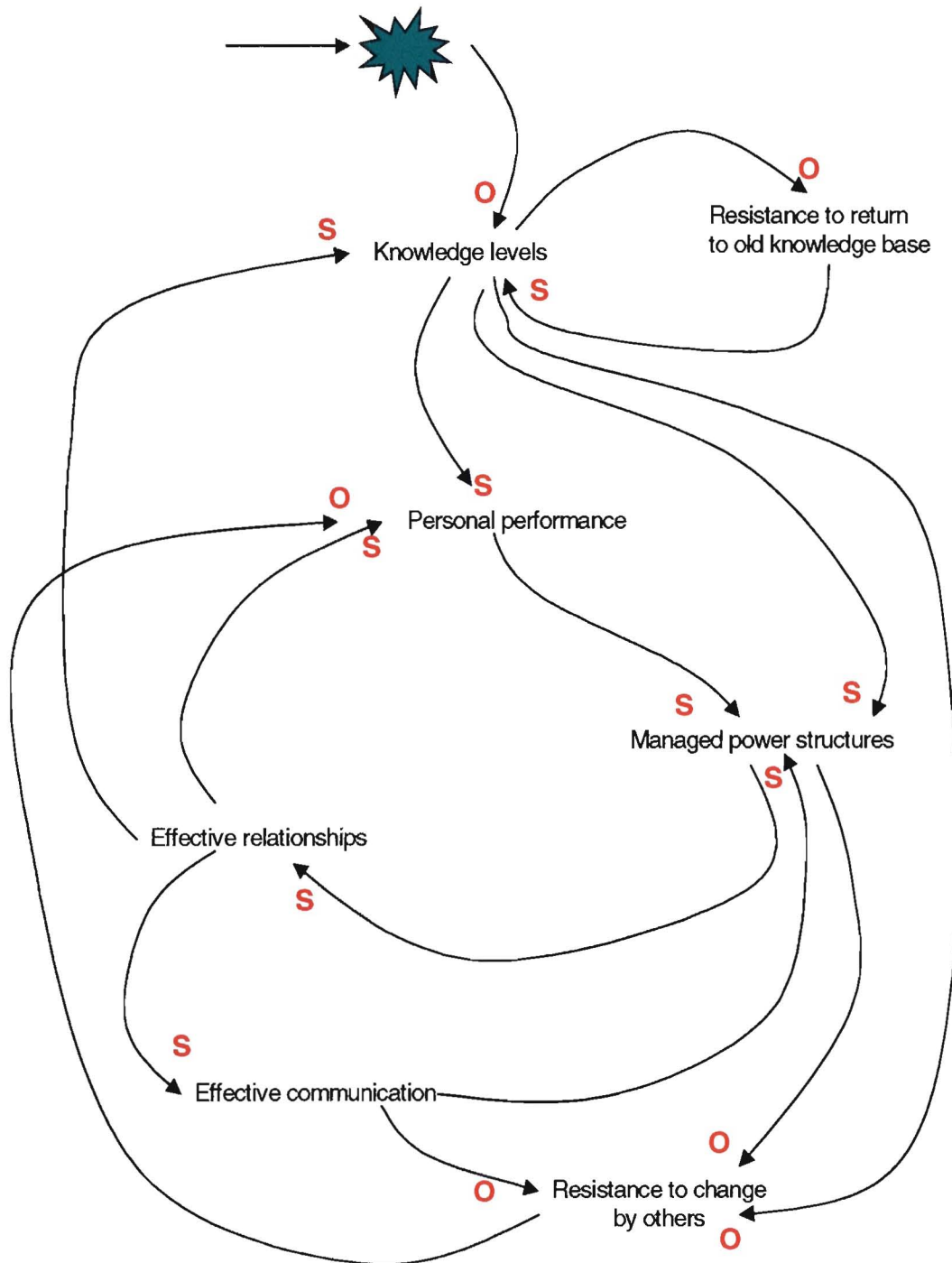


Fig 15: Causal Loop diagram 2 – derived from the second major Action Research Cycle

Initially, because of the low requisite knowledge levels, there is a tendency to return to the old system where knowledge schemes were well understood (AR appendix 2.1.1). This is not helpful and as the knowledge of the new system increases, so does the resistance to returning to old schemes, and this loop eventually becomes of little significance.

I have proposed that knowledge levels have a direct and profound effect on personal performance based on the results from the Action Research. The various facets of personal performance in turn affect how well important power structures are managed, driving effective relationships, which both aids personal performance and also knowledge levels. This is a very important reinforcing loop which is vital to optimise for change to be effectively managed.

In a similar manner, the importance of relationships and communication is essential to manage the 'resistance to change' brought about by the arrival of a new person in the team who brings with them actions and behaviours that others need to adjust to. The consequence of weak managed power structures and a poor knowledge base is shown in the CLD as having a direct effect on resistance to change, which in turn opposed the improving level of personal performance.

Given the system depicted in CLD 2 I would propose that the critical outputs of the system described are as follows:

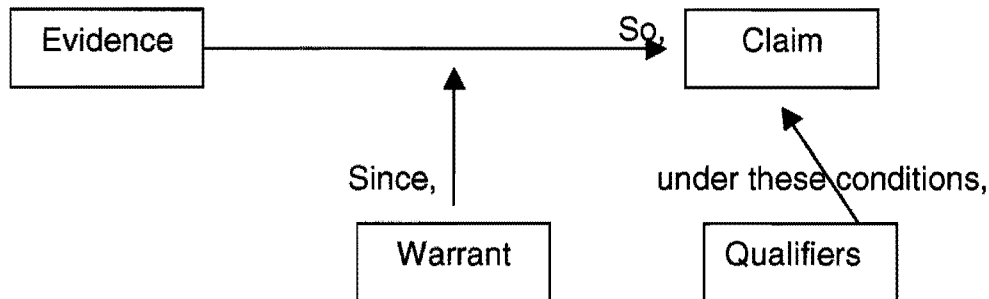
- **Stability of the system:** this has two components, namely the person undergoing the change and the system that has been joined. The person who has experienced the change is seeking to find a stability level that will promote personal performance. Similarly, the system that has been impacted by a new person joining must regain a measure of stability in order to function effectively. If the person joining causes serious and on-going disruption, the system will not have an effective output until a measure of stability is restored.
- **Personal performance:** in managing personal change, the main goal must be to drive personal performance to desired levels as quickly as possible. There are several contributors to this such as overcoming resistance to change by others, effective relationships and achieving requisite knowledge levels. These are, however, critical inputs to achieve the main output.

### **5.3. Proposed: A model for managing personal job change**

Whilst the Causal Loop Diagrams are useful to demonstrate the relationships between the findings of the Action Research, they do not in themselves integrate the whole experience of managing a job change. In this section I present my proposal for a model to explain the necessary elements and processes underlying a successful job

change, using the three models of change presented earlier as a source of evidence to support my claim.

In arriving at this model, I have formulated my reasoning around the Toulmin argument model (Paul, 1993), and the relationship between the argument components is shown in Fig 16 below.



**Fig 16: The Toulmin Argument model**

The components of the argument are made up as follows:

- **Claims:** these are disputable statements that are the focus of the argument and in my case this will be a model and its components to explain a certain research phenomenon.
- **Evidence:** This is information and data that is offered to support the claim. These are the outcomes of my Action Research .
- **Warrants :** These are authoritative works, common knowledge or reasoning and inferences that connect the evidence to the claim. In most cases I have used the three models of change as the base for my warrantable assertions. In some instances, however, I have used the *absence* of information as a warrant i.e. I have sought disconfirming information and not found it.
- **Qualifiers:** these are hedging statements that indicate limits to the claim and thereby enhance its validity.

The structure of my argument is therefore given the *evidence* that I have presented, and since there is *warranted* support, under certain *qualified* conditions, I am making a *claim*.

Claim:

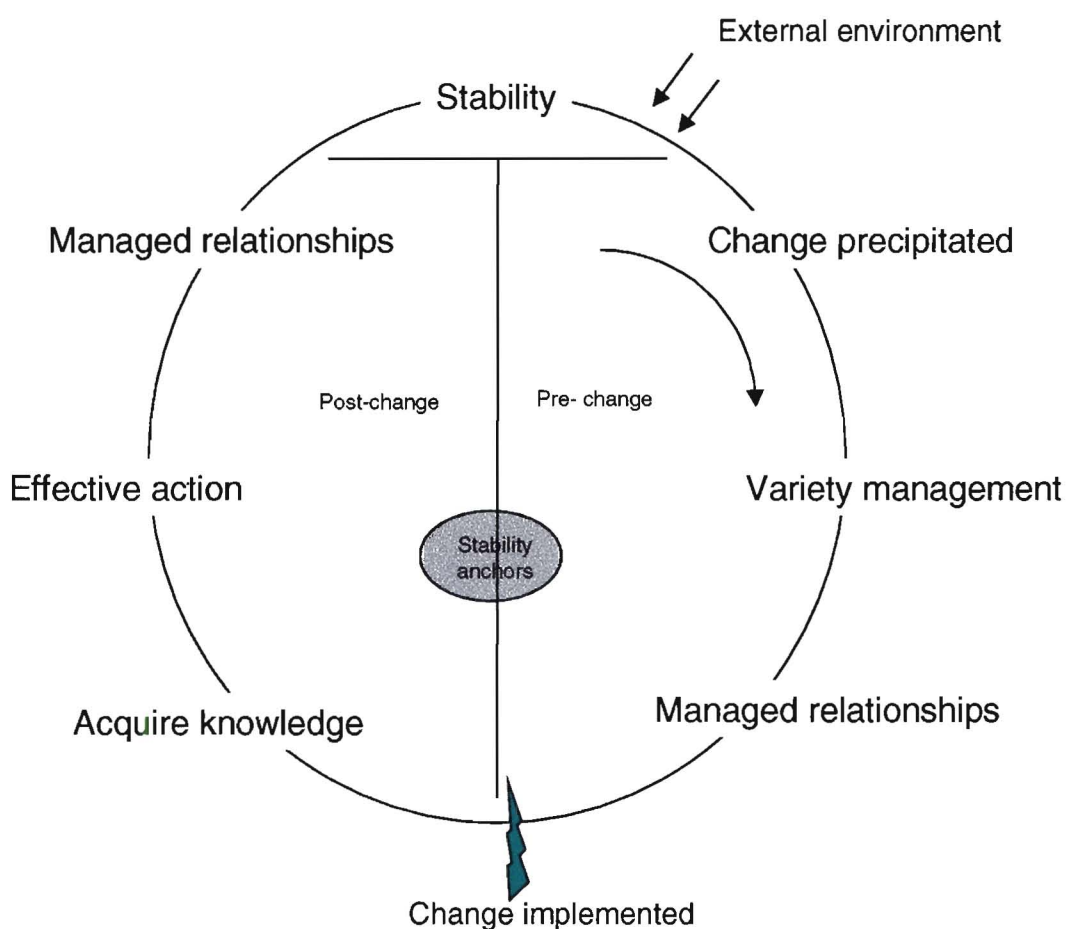
This model is qualified in that it is not proposed as a general model for change, but rather one to promote understanding and practice in a job change situation.

My own experiences with using Action Research clearly revealed that there were two distinct phases when dealing with the management of personal job change. The first (revealed in the first cycle of AR) had to deal with the pre-change management which consisted of setting future direction, closing out the current position and dealing with the complexity that the arrival of change had brought. The second phase (second AR cycle) dealt with the implementation of the change and how to adapt to the changed environment in an effective manner. In making this claim, I acknowledge that the process leading up to the decision to change is a vital part of the whole experience of change,

and I have explicitly included it as part of the pre-change process. Lewin has described it as a stage in itself, and then he proposes two following stages which are similar in nature and content to the stages that I am proposing. In the context of a job change, I would propose that there are different driving forces for each part of the model: The first part is *deadline* driven, which means that everyone (in CATWOE terms, the customer, actors and owner) knows that at a particular point in time the change event *will* happen. This means that there is a fixed period of time to accomplish the necessary outputs.

The second part is *performance* driven, meaning that the person who has gone through the change is expected to reach normal performance levels as soon as possible. There is no fixed deadline for this, but as performance usually has a strong link to remuneration, this is a key factor in expediting this part of the change process.

A model describing my claim is shown below. Whilst I have decided to represent it in a circular arrangement, it must be noted that the return to stability is in a *different* place from where the change was initiated, and so could possibly be represented as a spiral rather than a closed loop.



**Fig 17: A proposed model for managing job change effectively**

### **5.3.1. Stability**

In almost any situation, there is a sense of disruption that is felt when change is proposed. During the action research phase, this phenomenon was recorded and it had a marked effect in leading to a heightened degree of 'noise' in the system. This idea is supported by Lewin who, when describing how a system must do certain things to change, he describes the status quo as being 'frozen', and in order to change it must be 'unfrozen'. Clemson (1984) refers to this characteristic of a system as the 'basins of stability' principle where complex systems have basins of stability separated by thresholds of instability. It is a characteristic of complex systems that they 'self organise' and that they seek stable levels that require them to use as little energy as possible to function. I would propose that, within a systems thinking framework, that change is the moving from one basin of stability to another, and that it is best accomplished when a minimum amount of energy is used to effect the move.

### **5.3.2. Change precipitated**

What causes a stable system to change? As indicated on the model, there is a constant impact from the external environment. In a job situation these impacts are many and varied, but combined they lead to a force for change. In my own situation, personal dissatisfaction with my job content was providing a driving force. Lewin recognises this as 'survival anxiety' and Gleicher has proposed a change formula (section 1.3) that suggests that change occurs when dissatisfaction exceeds the cost of making the change.

### **5.3.3. Variety management – or managing the chaos.**

The decision to change (or when change is announced) causes a large disruption to the stable system, and ways need to be found to restore the system to stability. I would propose that during the early parts of this phase is where the perception and weighing up of the news of change occurs. My AR findings (appendix 1.3.1) reveal my initial positive reaction to the news of change which was tempered a bit later by the reflection on what the 'cost' of this change was going to be. This is the same finding as the first two stages of the Connor model. In the same way the number of issues that emerge can be extremely difficult to manage. In my research findings I noted "... (change) introduced a paralysis of action due to the vast number of things to be done". This is a pattern similar to that in the Kubler-Ross model, where reception of news of change (in this case negative news) causes an immobilisation. Ashby (1964) talks about the 'Requisite Variety' law for systems which basically states that

regulation of a system is dependent on the variety of the regulator (in this case, how much complexity a person can handle ) and the channel capacity between the regulator and the system (how much information of the system can be received at any one time). Given that change introduces a vast amount of variety, and many reactions indicate that we are incapable of handling this variety without doing something differently, I propose that variety management is a critical part of change management.

#### **5.3.4. Relationships managed**

During the process of preparing to leave one job situation and move to another, there were many relationship changes taking including closing relationships, opening new ones and modifying existing links between team members. From the position in the CLD my Action Research has identified that the importance of relationships is to drive team performance and communication effectiveness which in turn is linked to reinforcing loops supporting both personal and business performance.

None of the other change models I have examined have this element of managed relationships in them, and yet , given the important role, I would contend that this is a vital element for successful change management in a job situation.

#### **5.3.5. New knowledge**

Once the planned change event has been put into practice (i.e. in this case the move to the new job) the consequence of the change is to dramatically lower the knowledge set of the individual, and to function effectively, this must be restored to effective levels as soon as possible.

In CLD 2 the increase in knowledge levels is critical in driving personal performance and in fact helps drive down resistance to change and supports effective relationships. Lewin recognises the importance of this phase of change management during his 'changing 'stage which is characterised by the opening up of the individual to new information and the active experimentation to acquire the requisite knowledge in the environment. Similarly, Connor refers to this in the 'informed optimism' stage where information is sought that will support the change, and Kubler-Ross identifies a 'testing ' stage. This testing stage is an exploration of the new system to find out information that will allow the person to cope in the changed environment, and is all about acquiring relevant information. I would therefore claim that this is a critical phase in the management of a new and changed work environment.

A particular approach at this time in the change process is to ask the 'dumb questions' which are those that either everyone else fears to ask (political 'sacred cows') or those that are fine for a newcomer to ask but would not be expected of a more experienced person. Pullen (1996) suggests that "*in too many companies it is still not all right to be seen asking for help, especially in the case of the senior executives who are expected to know it all already*". From a managerial role of seeing someone into a new job, it is important to provide early effective action which will result in the employee becoming effective quicker. Part of this includes listening – identifying the unspoken issues, assumptions, identifying power structures etc.

### **5.3.6. Actions**

In moving into a new job, it is clear that you will be assessed by what actions you take and these need to be effectively executed. The importance of personal performance is well illustrated in CLD2 and is a main pivotal point of several interacting loops. The learnings from the AR (appendix 2.2.2 , 2.2.3, 2.2.4 and 3.1.1) all support this view. Lewin supports this view that the behaviours (actions) of the individual are critical to the success of the change process.

From a practical application point of view, there are possibly two issues here – one is to make an early impact, the second is not to rush into decisions without all the information. However, once the need for change has been recognised and the action required is clear, then the action must take place as soon as possible to gain the maximum benefit.

### **5.3.7. Managed relationships**

As with the pre-change part of the model where relationships were determined to vital to ensuring and effective change, so the post-change phase also has a heavy emphasis on relationships. Clearly, in an organisation, individuals never work in a vacuum unconnected to fellow employees, and the management of inter-personal links or relationships is essential to become effective. From a systems thinking viewpoint, a person joining a new system will both cause disruptions to that system, and the system will then seek to restore a level of stability. Implicit in this is the creation of relationship links and balances. As with the earlier claim regarding managed relationships, I was unable to find either confirming or disconfirming data from literature.

### **5.3.8. Stability**

The final stage of a change is the recovery to a position of stability. Lewin refers to this as the 'refreezing' stage with the notion that the learnings gathered from the new position after change are firmly fixed in place. This means that the results of the change remain stable. Similarly, Kubler-Ross speaks about

an 'acceptance' phase where there is a sense that the new status quo has been instituted and accepted, and Connor speaks of 'completion' where levels of pessimism have returned to pre-change levels. As noted earlier, I would emphasize that the return to stability is not the old stability, but a new place of stability. From a systems thinking view point this is the idea of moving a system from one basin to another – stability is returned but this is now in a different 'location'.

- Stability anchors – central to the model of managing effective job change is a notion of 'stability anchors'. This is a proposal that emerged from my AR fairly early on in the AR cycle and that was able to be tested a few times during the subsequent AR cycles. Throughout the process of change, and at every stage, there is a great deal of variety that needs to be managed. In fact, the sense can be that *everything* is in a state of change, which can lead to the kind of immobilisation reported in 5.3.1. My findings were that if certain key factors can be identified as being 'constants' that were not changing, then these could act as 'anchors' during the process of change. The value of these anchors is that they provide constancy of purpose and significantly reduce the amount of chaos that surrounds the change process. In my particular case, examples of these were the securing of accommodation and schooling at my new location.

#### 5.4. Model Reflection

In reflecting on the proposed model towards understanding and managing job change better, certain questions need to be answered:

- **How is it different to the other models?**

In order to examine differences and similarities I have "filtered" it through the CATWOE analysis to reveal my underlying assumptions and to seek disconfirming information from the three models of change previously examined.

- Customer - As with the Lewin model, I consider the customer in my model to be either the person directly undergoing the change process, or at another level, it could be the manager (and by further implication the organisation) benefiting from a good leaving or joining process.
- Actors – I would consider those people that the customer (the person going through the change) influences or is influenced by to be the main actors. This is probably in direct contrast to the Kubler-Ross model where the individual going through the change process is the actor as well.
- Transformation – In agreement Lewin with my model refers directly from moving from one steady state to another. Both Connor and Kubler-Ross make the inference of a steady state.

- **Worldview** – in describing the model as a spiral I am proposing that the change process is mostly driven by the person going through the change (as per Connor), that the change process is not reversible (unlike Connor, and similar to Kubler Ross).
- **Owner** – in most cases, this would be the person going through the change, or it could be the recruiting manager.
- **Environment** – I have assumed that the model has direct applicability in an organisational context, and that the organisation itself is in a reasonable degree of stability (i.e. it is possible to build relationships based on mutual trust).

My model looks at the factors that initiate a change from a steady state, and by reference to the supporting causal loop diagrams, reveals underlying structures.

- **Is it useful?** I would argue that this model's usefulness derives from several factors: firstly it has emerged from a researched process involving active experimentation rather than a purely theoretical approach, secondly I believe that the techniques employed support the 'validity' of the information (in as much as it is my personal construct) and thirdly, it is referenced against other well known models of change. I 'know' that by going through an active learning experience where I have formally captured my learnings, that my next experience of managing job change will be improved through use of this model. I would further propose that the model has application in a general sense of job change management because of the Systems Thinking approach to examine fundamental structures as well as the inclusion of some points from other change management models.
- **Is it better than the other models?**

Unlike the other models reviewed, this model is specific in the area of managing job change, and it does not offer a general approach to change management (although there are several principles which have wider applicability). Given that it is more specific to the situation, I would further argue that it is better than the other models because it examines the underlying structures that go a long way to explain *why* certain behaviours and actions cause the effects that they do. The power to explain with reference to underlying systems goes a lot further than presenting the *patterns* which other models offer. To a degree, this could allow a degree of prediction to occur as to what would happen next in a particular system.

In conclusion, I believe that the proposed model is useful and relevant in better understanding and managing the process of a job change, and to a degree, change in a more general sense. The next chapter concludes this thesis with an overall reflection on the research process.

## 6. Conclusion

As I described in the introductory chapter to Action Research, the purpose of the research has been two fold: firstly to manage the *Action* which was essentially the situation I was in regarding a job move, and secondly to *Research* the move to improve understanding of the process. This has direct organisational relevance as managers are changing roles much more frequently than in the past. Pullen (1996) cites a survey that shows that in one third of companies, half of all senior managers had changed roles in the last two years. This trend is likely to continue. Corporate flexibility is essential and so the successful management of these role changes will be critical to sustain and grow dynamic organisations.

The choice of Action Research was in many ways driven by the research question in hand – the situation of a job change demanded responsiveness during the research project and this was a major benefit over more conventional research methods. Action Research is often perceived as being ‘local’ in nature, with the outcome having relevance within the context of the particular situation this means that outcomes are not usually extended other than where conceptual generalisations are appropriate. I would suggest that whilst the specific outcomes definitely had only local relevance, the examination of the underlying structures and systems relating to change provides a base to improve future practices concerning the management of change.

In going through the Action Research cycles and watching learnings emerge that changed my behaviour during the research phase, the question of validity of the research was always front of mind. The issue of validity of this action research is important when reflecting back on the research and presentation of findings. I would propose that the purpose of action research is not to “prove” anything, but to better understand a situation so that both personal as well as others practice, can be improved. In order for this to be achieved the process and findings need to be subjected to certain questions; Is the explanation comprehensible? Are the assertions sufficiently supported by evidence? Does the explanation live in the sense of containing an evaluation of past practice and an intention to create something better of the future?

As I discussed in presenting my methodology, I recognise that my responses to the various situations that I have been through and my sense of making sense of these (or ‘knowing’) is an interpretative act. I have attempted to ‘validate’ my interpretations by referencing to others interpretations (a bit like creating intersecting sets in a Venn diagram) and that these shared interpretations reflect ‘communal’ interpretations as so support a stronger claim to ‘knowledge’. When immersed in the Action Research phase, I had to keep asking myself at what point of the cycle was I in, and in what way were improvements in my practices being demonstrated?

I believe the Systems Thinking approach to this work has added greatly to the usefulness of the research. It has not only assisted in improving the situation (the actual job change), but has improved my practice (of managing change in general) and has revealed much about underlying structures and interactions. The cybernetic laws as described by Ashby in Chapter 1 proved fundamental

in providing the explanatory power to the systems at play. The principles of self organising systems was well demonstrated in my leaving of one team and joining another – the results were not as a result of a purposeful management interaction, but were the result of the interaction of a great many systems. That systems seek a level of stability, is a key factor in the operation of my proposed model. Similarly, the law concerning feedback is well demonstrated through the use of CLDs and illustrates how systems can absorb a lot of inputs with their outputs not necessarily affected much (which partly explains why change is often resisted – the system simply ‘buffers’ attempts to change it). The law of requisite variety also plays an important part in my model through the idea of stability anchors. These anchors are ‘variety reducers’ which help the system to cope when there is a large increase in the inputs to the system.

This study has revealed much learning about the overall nature and management of change, as well as behaviours and patterns that can be worked on to improve the overall effectiveness of change. The key themes that have emerged are that there is a period of leaving (pre-change management) and period of joining (post-change management), and there are many opportunities that arise in the workplace environment (mainly) to enhance the effectiveness of change.

The learning experiences presented here reflect the process of change as experienced by myself, and no attempt has been made to validate the ideas through other investigative methods. The knowledge acquired, however, will be useful in two regards: It has allowed me to construct a framework to help me better understand the mechanism of change, and this will allow me to improve my management practices by improving my own responsiveness to change, as well as leading others through the process more effectively.

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**APPENDIX 1**

**Managing Responses to Personal Change:  
Ethnographic Research Journal**

S. Wade

## Introduction

This ethnographic research diary covers a period of change in my working life involving a change in job (within the same company), but necessitating a relocation to another city. The period under review basically covers one month before the move (from the time that it became clear that I had the new job) to approximately six weeks after the start of the new position (i.e. covers the management of change from the conclusion of one job and the commencement of another). The focus has deliberately been around managing change in the changing job environment, and only where I have thought it necessary have I included aspects outside of the work place. The context is that I originally came from one area of technical expertise (brewing /production), moved into the quality / world class manufacturing environment, and the new position was a senior position back in the brewing area in the head office.

## Fri 30/5

- I was informed of my successful appointment to the Head office position late in the afternoon. I've had no real time at work to digest the implications but my first impressions are very positive due to the personal need that I've felt for quite some time now to move into a bigger, more stimulating job.
- Aware that the news will be received with mixed feelings by the family and that I will have to communicate this as positively as possible. A difficult domestic situation will only make the move into the new job that much more difficult.
- Informed of the appointment by my manager (B) and still have to speak to my new boss in Jhb (A) to try to sort out some details around timings etc.
- Reflection of the news is raising plenty of questions all at the same time
  - What will be the impact on the family
  - Logistically how will the change in job and location be done and how will this fit in with both domestic and work arrangements
- The initial impression is that there is an overwhelming amount of things to consider and do, and not sure what to do first. This change is really good news for me and I'm very upbeat about the prospects of the new job ...the issue of re-location does not really worry me that much.
- Reflecting later, I've decided to concentrate on the few important issues that are short term and a couple of longer term ones, and then accept that things will unfold. I will deal with those issues when the time arises...just the sense that I can't deal with everything at the same time, and the fact that I'm making decisions / actions on a few issues gives me the sense that I'm moving forward.

## • Monday 3/5

- I'm finding that I'm viewing everything with a "new" vision and the activities and patterns that I am so familiar with now take on a new meaning now that there is a definite ending in sight, and a new future (although this is somewhat unclear at this stage!). I'm feeling charged up and looking forward to the next few weeks even though there is a lot to be done.
- This positive feeling I'm recognizing as being due to the fact that I've wanted a change and the move will be very good for me personally. I'm aware that the issues of change here are positively based (mostly) and experiences of change would probably be different (opposite??) if the change had negative consequences. *Thought...hence the importance from a managerial point of view to look for the positive issues in change and to sell these!*
- I've decided to communicate the decision to accept the job and move to Jhb with the rest of my team today. Communication with issues like this has been an issue in the past in the Co. with information "leaking" out rather than being announced and leading to rumours and unhappy people.
- Meeting with the team went fine and they were pleased that they were the first to know. They did not really ask too many questions and I did not get "how does this affect me" although I anticipate that I will get more of this

later on, especially from some team members. I've asked them not to discuss the issue with others at this stage (not all divisional feedback completed).

- The regular dept meeting today had a different feel and some of the action items now had a clear imperative to be completed by the time that I am going to leave. It seems that the impending change has given a focus that wasn't there before and whilst my departure date is not finalized, some priorities have clearly emerged.
- *Thought...is this possibly a personal management weakness? In this case the deadline is absolute and cannot be changed...should I not treat all deadlines like this so I can be more resolute at achieving them?*
- **Tues 4/5**
- Phoned A and discussed the details of the move. Wants me up at the end of the month, so I will have to move fairly quickly on a number of issues. I have learnt from other moves not to assume anything and so asked plenty of questions as to how I should go about the logistics of the move and also got a copy of the relocation procedures from HR so that I did things by the book. I've also seen how others have made things complicated for themselves because of not understanding the "rules" of relocating and I don't want to fall into the same trap.
- Asked A if there was anything that I should be doing before coming up from a work point of view so that I could start to get things prepare so I could hit the ground running. He seemed a bit unclear at this stage and so I'm basically going to do my own thing. A is clear that he has put a new team in place and wants to do things a bit differently from the way that they have been done in the past. I suggested that he get the team together before we arrive in Jhb so that we can start to align the thinking and come with a shared vision. He thought it a good idea but date still to be arranged.
- Last two days have been a bit unreal with the positive aspects of the new job dominating the thinking and discussions with others, but today was a bit of a stock take. The positives were all there and I'd thought them through, but the down sides were now starting to come through and I'm finding myself into a more balancing thought process where certain things that I will be giving up will be off-set by the gains. It is becoming clear that there are definitely compromises and not everything is a gain and there are certainly some losses. In some cases the losses can be regained but other s will be gone forever, and replaced by some new gains.
- Moving into new area of uncertainty is not too daunting and generally feeling quite secure in the idea of change. One of the concern areas is that I've been out of the mainstream of brewing for a while now and my initial concerns are around:
  - Do I have the latest technology knowledge?

- How much have I forgotten (that I quickly refresh)
- How easy will it be to get back into working relationship with some of the people that I've not had direct dealing with for the past few years?
- Decided that the first two issues were the main ones, and intend to get some reading done in the next couple of weeks, and if possible, to spend some time in the plant looking particularly at the filtration operation as this is an area that A has indicated that he may want me to concentrate on for the group.

### **Wed 5/5**

- spent some time with B discussing possible replacements for me. He wants to look at an AA appointment and so I'll need to use contacts in industry to see if I can find a suitable candidate. Interesting that when I had written up the job advert to see how the job had grown over time. Thought that in future I should review my status quo more regularly.
- Meetings with suppliers today who were appraised of my impending departure. They raised numerous queries re succession and continuity plans which I couldn't really answer at this stage, but clearly this will have to be addressed in the near future (both this area of suppliers and probably others as well).
- I'm finding the news of my departure is galvanizing a number of people into action:
  - Shop stewards who have been dragging their feet on a grading issue suddenly want to discuss / resolve the issues after months of silence. My feeling on this is to treat the approach as a normal request and process it thru the regular scheduled meetings...if I have moved by the time a decision is required, my replacement can do the necessary work...I'm not rushing thru an issue like this.
  - I've had requests today for training input from various depts. I will see what time pressures will allow me to complete.
  - In the last couple of days I've had personal approaches from various members of staff in the dept looking for input and direction around issues like career development, skills development etc. It is not that these issues are not discussed formally in the dept, but there seems a more personal approach now that they know I'm going!

### **Thurs 6/5**

- General discussion with Z today re the implications of change. My moving is creating what he perceives to be an opportunity for him, and he wants to apply for the position. My personal view is that he is not ready for the position and should ideally work in another plant first. He is also traditionally quick on the "what's in it for me" and I thought it best to have this conversation early rather than later.
- I discussed with B what he had in mind with regard to replacing me, and he also shared my feelings on Z. He now wants me to go ahead and include looking outside to find my replacement.

- It is clear that the filling of my position is going to take a while. I require some one to “caretake” the day to day issues and hence it is vital that Z is prepared to operate in this mode.
- Had a long discussion with Z re what my plans were, and what needed to happen in the dept over the next while, especially once I had moved. Made it clear to Z that the re-appointment was going to take some time and that I expected him to act in my position (as normal with leave etc). I made explicit that the recruiting process would be done along the standard divisional procedures. I’ve seen it many times before that when a person moves on there are often inter-personal conflicts because of poor communications and what was NOT said, so I was particular in being on the level and not raising any false expectations.
- For the first time, I really discussed my long-term (3-5 year) plans and philosophies for the dept with Z to ensure continuity of ideas. Whilst quite a bit had obviously been discussed at goal setting sessions etc, this was the first time that I explicitly articulated my ideas with someone else in the dept.. Comment: it was a pity we had to work together for so long before having this discussion in this kind of depth and detail! Definitely a personal learning for me for next time...spend some time on a regular basis discussing the broader thoughts that shape the day to day activities.
- Got the feeling that quite a few of the activities over the past few days were a preparation for “job death”...putting affairs in order, arranging a smooth hand over, discussing things that often assumed but never articulated, getting ready to cut ties!

- **14/5 Friday**

- Had an informal meeting with one of the head office personnel...almost corridor talk. He is one of the more experienced consultants in the dept. that I’m moving to and so understands the job requirements / context of the consulting job that I am moving in to. He told me that “you will have sufficient lee way to plough your own furrow” – the general sense conveyed was that there was quite a bit of political interference in achieving certain goals, that this was a problem to him, and so he avoided the issue and did what interested him! This sounds like a total misalignment of organisational goals – I’m not too comfortable with this. It could be that he operated like this with his previous manager, and that now he has a new manager (A) he is not comfortable with someone telling him what/ how to do things (going thru a change process himself?). What is clear is that it seems that there is more freedom to get on and do things at head office but feeling a bit uneasy about the idea that you just get on with something that you feel interested in. I will have to address this, as I prefer to work in a more openly defined environment.
- Spent quite a bit of time making arrangements to travel to Jhb next week to see schools and to arrange some accommodation. Change is clearly happening and impacting on both a personal and work level and the two can't be separated.
- Why do I want to make the trip? Suppose I am trying to anticipate the future by looking ahead (reduce the uncertainty /fear of the unknown??)The idea certainly seems good – i.e. if you can reduce the level of uncertainty, then the process of change will be that much easier.

- **Mon 17/5**

- I decided to request Z to start running my meetings now (especially the weekly dept meeting). I wanted to see what he would do and how he would perform when he was in the leadership position, and I will steer as necessary (am I being too controlling??). Interesting that he took complete ownership and started to run things his own way. I think that the knowledge of my going has given him the confidence to do some things that he had been wanting to do / say for some time but he had never raised / voiced the issue before (change has created a new environment where things can be tried out?).
- Several other members of the team clearly have issues over this change with AK leading them and a couple of direct comments were made in the meeting that they rejected some of Z's approaches in doing things "his way in the dept.. *Thought - the issue of change clearly has a future component (which I am concerning myself with mostly) but also a "here and now" component (which are new issues that have arisen as a result of the impending change)*
- I had to steer several issues in the meeting today around the "friction" issues that Z seemed to generate. I don't know how this will work out but I will speak to Z later and give him suggestions re managing the team...he is battling with the difference between team leadership autocratic leadership styles...both he and the rest of the team will have to do some adjusting!
- I am aware that time is now a major issue and it looks like that I may not get everything done by the time that I leave. Time seems to be compressing as the date for departure draws closer and I'm finding I'm under increasing pressure to complete tasks etc/.
- I've spent quite a bit of time trying to get the software project that I've been working on completed. I will be disappointed if I do not have this finalized by the time that I leave as there has been a lot of effort put in and I do not think there are the competencies in the region to complete the job if I leave it half done

- **Tues 18/5**

- the last few days have seen quite a few instances where I have been "closing off" personal contacts with key people who I interfaced with both in the region (SAB) and outside the company. I've also almost decided that certain people will remain useful as contacts to me in the next position that I'm in and so I've tried to ensure that I will be able to maintain contact.
- I had discussions today with various external suppliers in terms of my final departure and ensuring continuity of operations here. The reactions have always been positive and I'm sure that my own staff will get the support required. I am conscious that I must leave with everything running well and capable of being sustained. To this end, I've spent quite a bit of time ensuring that filing etc is fully up to date and that computer files are in good order / updated.
- I've been conscious of the need to think forward to my final day of work here and not to just drop things. I know that IB will want a formal handover list and I need to get this into shape in good time. Other issues that need

attention will be issues of personnel, farewells, and a smooth dept hand over in relation to all other depts.

- I've organized to go up to Jhb later in the week to prepare the way for the move. I need to address the perceived critical areas on the personal level – schooling and somewhere to live where the family will feel positive. At this stage of the change, I'm feeling the most pressure on the personal level rather than the work front (for future, recognize that these two elements are inextricably linked and that I cannot behave like a schizophrenic and deal with the issues separately). I've decided to take the kids on the trip to help them with the anticipated move.
- *Thought...involve all key stakeholders in the plans for change. If this is not done, one person could become a major stumbling block.*

- **Wed 19/5**

- I've been finding that motivation on the job and to complete things is becoming a major issue. I'm consciously keeping enthusiasm going in the dept, as a breakdown in momentum will take a lot more work to restore it. However, I'm personally feeling demotivated and just want to close out the existing job and move on. I'm not initiating new things, I'm winding up old things, handing over routine items and basically working myself out. I've had a reasonable amount of notice for this change and any more time would really have been a problem
- *Thought: in managing change, the right balance must be found for giving adequate preparation time for change vs. giving too much notice which can lead to boredom, disinterest, demotivation and that would be counterproductive to others who are not directly involved with the change.*
- The trip to Jhb is organized for tomorrow. I'm preparing a list of things to do and sequence of tasks to accomplish. Thinking about logistical issues of the move has raised many questions and generally few answers. Generally, my own level (as well as family level) of uncertainty and apprehension has risen and hopefully this trip will address most of the issues. Again, I'm aware that for the change to be successful I have to satisfy both the work environment as well as the domestic environment.

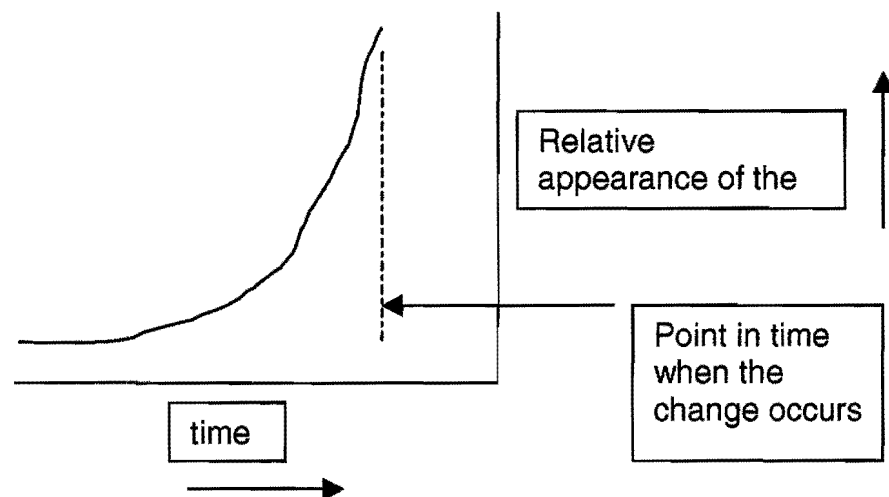
- **Thurs 20/5**

- Trip to Jhb. This generally went well. Saw schools etc and started the process of accommodation hunting. The process has generally raised a whole new set of questions. On reviewing this situation, it became apparent that many issues are contingent on the outcome of a few basic decisions, and that it was those vital few decisions that needed to be addressed first. Once those were done, the next set of issues would unfold (unfolding vision??)
- There was the sense that we would not have all the answers and that it was going to be necessary to live with a degree of uncertainty. This was OK as long as there were a few "anchors" such as the house and the schooling sorted out.

- *Thought: the capacity for change could be enhanced by a couple of good anchors that provide a degree of stability These anchors may change over time but when they are there they allow change in a lot of other areas i.e. not everything needs to be in a state of change. It may be important to identify the important anchors, manage those and they allow the other "non anchored" issues be free to be changed. (high stability in continuous change?)*
- Spoke to A again today about the possibility of getting the new team together before we actually start to get some shared / common vision. He still wants to get this done but I time will be too short now.

- **Mon 24/5**

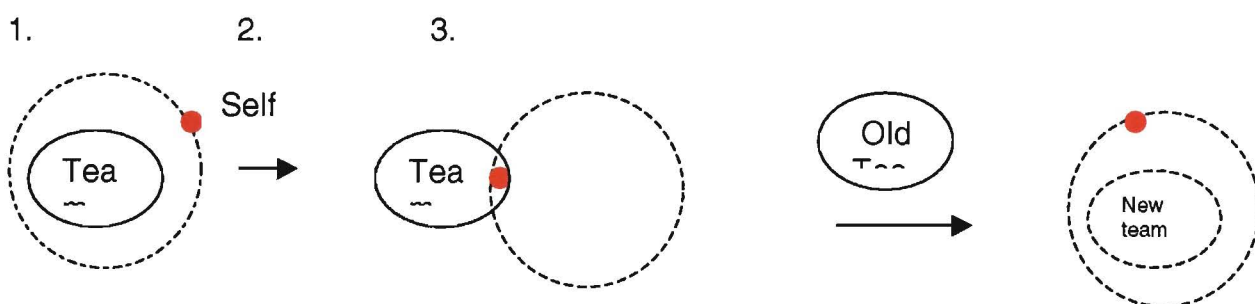
- This is the start of my last week on the job here. I am acutely aware of the deadline and I need to ensure that there is closure on a number of outstanding items. This would be a lot easier if I was doing a face to face hand over with my successor but as I've known for some time, this is not to be, and I will have to document as much as possible.
- There seems to be a general collapse of time and the closer the deadline approaches, the less time there is to complete the necessary issues



- As a learning, this changing nature of time needs to be built/ factored / acknowledged in the management of change, and as the deadline approaches one should be aware of this phenomenon.
- Spent most of the day completing performance review feedback where I both addressed previous performance as well as gave comment for the future with someone else at the helm. Everyone raised various concerns that they had in their jobs as to how my moving off was going to affect them personally. Issues raised included:
  - Would the new person support their current personal development goals
  - Continuity issues in the dept
  - Financial recognition for their performance with a new "assessor" coming in
  - General uncertainty about their roles (was the new person going to change things causing them insecurity).
- I tried to address most of the issues and committed as many responses to writing so that what was said / what was not said was captured and did not

become a “grey” area of uncertainty once I had left....causing problems to the employees, the new incumbent and myself (did not want to get dragged back to an old job situation once I had moved on.

- The documentation of these issues also meant that both the employees and the new manager would have a good recording of what had been discussed so that issues that I could not deal with could be acknowledged and dealt with.
  - At this stage, I’m really feeling like I’ve moved out of my job, but I’m still here!
- 
- I get the sense that I’m in stage 2 of what I think will be a 3 stage process:3 stages
    1. Stage one. Normal job interactions with team
    2. Stage 2 Still interacting with team but pulling away and in an interim phase as the change is prepared for.
    3. Stage 3. Change implemented. Pulled away and new job started...team continues to operate



- **Tues 25/5**

- I’m starting to think ahead to the new job more and more and I’m conscious of the need to “prepare” the ground ahead to facilitate the quick introduction into the new job. I spoke to my new secretary and organized to get my PC set up, e mail addresses setup and to arrange for the forwarding of information from my old PC to my new PC
- I spent much of today dealing with numerous personal issues such as schools / houses / municipalities etc and this has been a major distracter and consumer of time. I have probably underestimated the impact of this (or the size of the task) and this is putting considerable work time pressures on me (didn’t consider the whole picture when estimating time , and considered work issues only and not the impact of personal issues)
- I’ve having numerous frustrating experiences where I am driven by a sense of urgency that is not being shared by others. The impending change has definitely put me into an “ action positive “ mode and my rate of accomplishment of tasks and outputs is higher than normal. I’m really enjoying this performance and sense of accomplishment, and I wonder if it can be sustained
- *Thought: can this momentum be sustained by continual change?? Small incremental change to maintain the bias for action??? (or conversely, too much stability leads to a low bias for action?)*

- **Wed 26/5**

- Today was the last suppliers meeting that I attended / managed. I have a sense of almost unreality dealing with issues that would continue (and even be initiated) after I have left. In many ways, I ran the meeting in “automatic “ mode. I wonder how many times I’ve acted like that??...there was a clear expectation of how the meeting would progress and I haven’t questioned for a long time how things might be changed or improved. Has the impending change opened up things in my own thinking that I had not considered / not wanted to consider before???
- As experienced before, there is almost a sense of “dying” – saying goodbye and putting affairs in order before departing!
- Last meeting with the union today which I chaired. I was generally feeling very positive / confident and entered into more “personal” engagement than usual with the union. The knowledge of soon moving and not having to deal with the less pleasant aspects of plant management is still refreshing and having a positive effect on me.

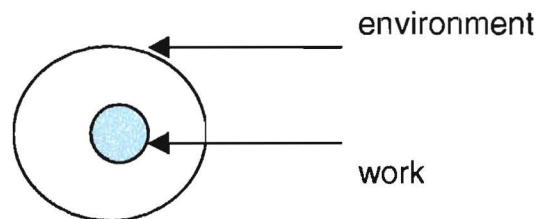
- **Thurs 27/5**

- Today was the last production meeting that I will attend. I had the impression of being a spectator and a bit like the feeling earlier in the week, I was “still here, but already gone”.
- Issues that I would normally address were designated on the minutes as for my “ successor” and my involvement (together with interaction from the team) was distant and lacking impact. Not a very useful meeting from my view and I have this great sense of being in transition.
- These last couple of days that are left before I leave means that little has been initiated and I’m acting solely in a “maintenance” phase...just keep things ticking over until I leave. Not a particularly productive phase which I’m acutely aware of and not feeling so good about it as this is not the way that I’m used to working.
- I’ve tried to use today to get forward intelligence on the issues that I will be facing next week in my new position, and I have tried to get as many current reports as possible so that I can get up to date. Used various sources such as the company Intranet.
- I’m aware that I’m getting more attention from the brewing staff than in the past...Having been in brewing then out of it for some time, I get the feeling from interactions that people are trying to “include” me back in the family. The local brewing people are starting to develop / renew contacts with me on a level that never existed before....change is impacting them???...they are taking actions that they perceive to be beneficial to them in time to come?? I am also doing this and supporting various contacts (!) with the same view in mind.

- **Fri 28/5**
- Last day!
- From a work point of view today was very unproductive
- Most issues have been around making sure that hand over plans were gone thru again with B and Z and that there were no misunderstandings
- IB requested me to return in the next two weeks to do additional training with his team. I'm not too pleased about coming back to complete "old" work when I'll be getting going in the new job.
- Most activities today centered around ensuring that administrative details were sorted out (so that I would not have any problems next week) and saying goodbye to people on a personal level.
- It has been so time consuming completing "here and now" tasks (both work and home) that I have not had the chance to do preparation work for when I go into the new job on Monday. I'm a bit anxious about this but there is nothing else that I can do now.
- I'm quite satisfied with the quality of the handover and I'm confident that there will be no serious problems over the next few weeks after I've gone.

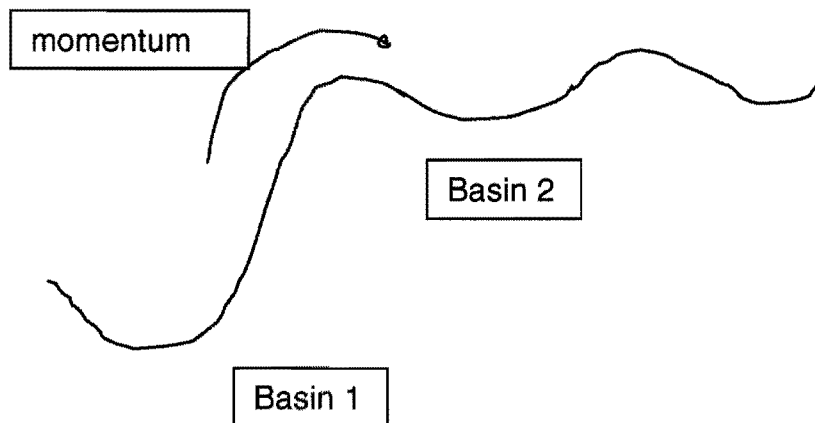
## Monday 31/5

- First day in the new job! Not too many concerns at the start – I do know the geographic location of the buildings and have seen where my office is located before the move
- My first concern was to get into my office and then to get thru the admin of moving in – from past experience I know that with the move there are a lot of routine things that need to get done in order to get the more important items to progress smoothly
- Q took me thru building and introduced me to a lot of people. I realise that it is necessary to find the key contacts and then to develop a relationship so that I can get things done. Walking around it became obvious that there were some people who Q deemed important and others not (seniority not a factor!) – became obvious that political affiliations must be maintained.
- A number of issues that were not directly work related were more pressing on the mind:
  - e.g. what time to leave for work, how to manage the traffic, what route to use etc



This groundwork had to be done in order to support the other aspects of change

- Mentally, my expectations of the day were met. I am feeling very positive about the move. People keen to ask me how I felt about moving away from CT, knowing that this was a promotion for me. Wonder if they would have asked so much if the change experience had been of a more negative nature?
- On reflection, the general sense is that the change has “freed” me up. I feel I could quite easily take on more change right now and that it would not worry me too much i.e. once into change, it is easier to do more change
- Why is this? If you are static, you put down “comfort” anchors that are not easy / pleasant to break? Also aware of the idea of basins of stability...i.e. once you have expended the energy moving out of one basin, the momentum (or the addition of only a little more energy can keep you moving into the next basin. From an understanding of change, this may be useful as it implies that the energy you need to continue change is far less than the initial energy required to initiate change in the first place (idea of inertia)



This also suggests that it is more economical to keep changing (moving) in the long run!

## Tues 1/6

- It is apparent that there has been little structure around on the first couple of days – previously I had got used to an almost predictable set of routines and personal interactions that I felt comfortable with. These had been developed over time and there were patterns that I had formed – not sure whether they could be labeled as good or bad...in numerous cases they were MBWA routines which allowed me to get into the plant, gather live “intelligence” and socialise/interact with a wide variety of people.
- It became clear today that I had to “re set” the personal interaction routines and needed to get relationships going again.
- I took a conscious decision not to get “boxed” into the office and to walk around and make contacts. I felt that this was particularly important with a change in my role from one of an operational function to more of a staff function.
- As a result of this decision, I went up to see the R&D people and also renewed contacts with the Packaging fraternity.
- It became evident that there is a real silo between functional areas, which is clearly not healthy. How did this develop? Are the people aware of it? Why can I see it and the others cannot – or if they do see it, that they don't try to do something about it.

*Thought: change brings the opportunity to “looking glass” a system i.e. the person who is new can reflect how they perceive behaviours and practices and the benefit can be gained if this is drawn out of them .  
Inference – the people who have become used to the status quo have a diminished capacity to reflect*

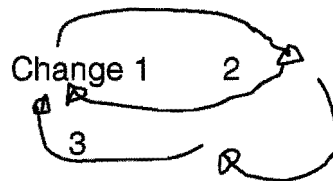
- Throughout the day I continued to set environmental conditions around me. Communications / data / data information systems are critical to working effectively and so quite a bit of time was involved on computer set-ups, filing systems etc.

- **3/6**
- Several calls from my old work place regarding the closure of issues and new problems that require resolution.
- I took a conscious decision not to get involved in day to day issues as I'm aware that many issues are situational and I do not have the relevant up-to-date information to deal with matters timeously (with this sort of change, the relevance of information is lost fairly quickly even with the short passage of time - half life of data is short)
- I found myself sending various "intelligence" e-mails back to my previous work colleagues in Newlands (e.g. improvements, interesting articles etc. I did this to strengthen ties with the Brewing people who I would be working with in the future. Also, even though I'm not specifically consulting in that area, I found myself supporting my (old) home base. I think this is probably a transition phase of holding on to things that I have been familiar with, and that these contacts will probably diminish in the future (as I develop new contacts here).
- **Fri 4/6**
- In this new location I've got access to a wide variety of information from individuals as well as from the divisional library. A/Q are away so I spent most of the day familiarizing myself with details etc of current technical standards and creating summarized reference documents (whilst I can commit a certain amount to memory, I will need the right information when I'm working in plants away from home base).
- Also spent time locating **where** to source information and **who** can get it for me. I will need to be able to source information rapidly in the future.
- The change in the environment from production to a head office environment is dramatic. I'm used to high activity, urgent, mostly short-term decision making and the change of pace make me feel a bit uncomfortable. I suppose I will get used to the change in pace of work – the shift to more strategic vs. operational activities!
- **Mon 7/6**
- Went through the divisional standards manuals as they pertain to my new area. Change means that I need to upgrade my "knowledge set" in order to compete with other consultants and colleagues. Having been a leader in my previous allied field, ? I am now aware that I need to get up to speed fairly quickly...change has heightened the need to compete.
- In the absence of A (manager) I still have not had any firm direction as to what my short term goals are and what it is that I need to set as priorities. I'm not necessarily uncomfortable with this as I do know basically what the consultants have been doing in the past and I have taken the view that the direction will unfold over time. With the formation of the new team, the one remaining team member is away so I'm not really able to get any clues from him.

- Spent most of the day arranging the office and systems to suit my own preferences - a case of managing the environment and changing it to suit my own work habits...did this because generally didn't feel ownership of my own personal space after office vacated by previous incumbent
- I "personalized" my own work space so that I both felt on home ground and that others will know this is my space
- This also indicates a degree of stability and permanency, rather than being transitory (going thru change and looking for stability??)
- A sense of knowing the terrain and knowing what is mine. - sense of belonging??
- **Tues 8/6**
  - Informal discussions with D - went thru to his office and had a general chat around his thoughts on export issues and beer quality. He is clearly one of the senior members (and of the old guard) and thought the chat would be a useful introductory discussion.
  - Quite surprised that he suggested that I accompany him to Durban tomorrow to see if I could add any value - I was pleased with this invitation, however, given the problems that the centre was having I was concerned that my input, as a new comer, may not be viewed too favorably. I insisted that the trip was cleared with my new manager (A) and the centre - quite a few stories had been related to me before concerning the interference value from head office and I wanted to ensure that I didn't mess up the "political" correctness issues on the first visit that I had ...concerned that if I did do that, that would create barriers in the future that would take unnecessary time to overcome.
  - The trip certainly raised issues as to how I was going to deal with a whole new set of people in the region that I was visiting - I had concerns as to how they would accept me (as SW) as well as the value that they would ascribe on my input (would they decide to listen to it, me being the new consultant on the block)
  - Trip given go ahead all Ok by A- generally happy that I handled the decision re political correctness well, as A did mention that he was happy that he was consulted first.
  - Had to deal with issues from CT that were still occurring and required my input - quite a feeling of belonging in two worlds, with the sense of concern for my input in the previous region being somewhat less now.
- **9/6**
  - trip to Durban. This was my first bit of consulting in my new role and I had considered the day ahead and mentally prepared for the day with the Durban personnel and the issues that I would have to address.
  - I needed to build credible relationships with people
  - I need to be able to deliver on what I say I can do (I'm aware of the general perception that some consultants have been labeled with that bias for action is not always so good from Central Office people).

- I was pleased that I had D along on the trip and that I hadn't been thrown in at the deep end - this was beneficial in a way in that he could act as a role model for me; however, is this necessarily good given the fact that A has assembled a new team, and wants change ...will I become stereotyped???
  - Had the experience of having to break old habits...used to catching the CT plane and had to re-adjust to different centers.
  - Had a long talk on the plane to D - tried to elicit his ideas as to how things were done, and how he thinks they should be done. It was obvious that he had a lot of experience, and that he had done the same things in the same way for a long time. He made it clear that he was not very excited about the team being restructured around him, and it was clear that in some ways he had been sidelined. He obviously picked this up, and whilst didn't say that he would not support the team and me, made it clear that he was going to carry on doing things his own way.
  - I was aware that this is going to be a potential conflict area. I am coming in myself to introduce change and not just fall in line to some other people's expectations
  - The day went reasonably well. I found myself listening rather than contributing too much - I need to be aware of withdrawing (I do this when I don't feel confident in the subject matter...didn't want to expose any weaknesses that I might have on the technical front on my very first visit!)
  - I made a point of meeting as many people as possible and introducing myself. As I have been out of the functional area for a few years, thought there might be some resistance, but none really encountered.
  - Return trip discussions with D were again quite enlightening re relationships. Made it clear that he (and one other consultant) had been pretty well side lined from the main stream consulting and focus as the pacemakers in the brewing decisions for the company. New consultant had taken leadership, which they had not contested, and as such the power in the team had shifted to the 'new team'. Sort of mental note about the two power structures in the team - and that I had to fit in to the mix.
- 
- **10/6**
  - meeting with H regarding job positions in organisation redesign
  - Needed info to complete the task - wanted to go back to my previous knowledge base in CT to access the data but not allowed. The change in position has meant that I now need to build up a new base with a new network of people who can give me the info that I require. I perceive this as being very important, and aware of the need to actively manage sources of information.
  - Met ICS - Australia - international traveler and spoke about the rate of change that he is experiencing everywhere he goes. Issues that my company are experiencing are clearly issues in many other organisations in different parts of the world

- Sense of **having** to change no matter where you are, because one is essentially on a "treadmill" and the moment you stand still, you fall off – how does one handle this? ICS is basically pulled by the flow. Made me aware of the need to actively manage the situation of change.
- New Position calls for me to meet and interact / represent the company with many overseas visitors. I feel mentally stimulated and I enjoy these interactions - change has brought a sense of well being - - interactions and challenges are positive at the moment...possibly living in a fragile 'bubble', and the first real obstacle may have the opposite effect?
- During the day had many conversations, and I'm generally aware that people are actively seeking me out to give me their ideas as to how I should be doing things "this is how certain things are done around here...they work and I suggest that you don't change them"
- In fact, quite a few people have the expectation that I'm not going to change anything .The fact that I can see the need for some changes and that I intend doing something about it is definitely going to make a few people uncomfortable
- I'm not too sure how people will react, but I'm aware of the need to manage this change. Sense that my disturbance and change has impacted on others - generally they are doing their best to maintain their own area of comfort...which suggests that they are not going to be too receptive to new ideas and ways of doing things.
- Idea; the system once disturbed will have to find a new equilibrium change at 1 impacts 2 /3 and their subsequent interactions



- **Fri 11/6**
- Meeting with A and team. General team meeting, apparently held every Friday. Had no idea what the purpose of the meeting was, so asked. Is informal and for dept exchange of information
- I was quite confident in interactions with people etc, interactions and contributions
- Communication in the dept seems poor and not much commitment - D clearly not interested, and effectively boycotted the meeting - said he was too busy and didn't have the meeting scheduled...resistance to change(??) as this is the re-instatement of the meeting now that the team has been re-formed.
- Far less structure in the meeting than I am used to - no minutes, action items etc. I am generally uncomfortable with this - will have to see how things go, whether to fit in by accepting or look to drive a bit of change.

- Made a point of going to see K...clearly a pivotal person and who has a direct line to the directors...I perceive him as being important politically and hence want to may sure we share understandings on roles etc. Discussed with him the role of consultants (my position). Became aware that the change in myself coming has resulted in some uncertainty in K's mind as to how his own dept interfaces with the consultants, and what the role of the consultants is (clear that my own change has caused other people to experience change that they have to deal with).
- I have generally found that this is a good time to be asking "dumb" questions and it is easy to do. New on the block and people and not so judgmental. The change process has freed this up and is a benefit that I intend to carry on using...no pressure to know all the answers...this period will only last for so long, Can ask "sacred cow" questions
- Interesting to note the various personal interactions that change in day to day interactions e.g. tasting sessions today, aware of some people deliberately interfacing with me in a different way presumably of my new status – seems that this change alters personal relationships that are work related...other people go to the effort of nurturing what they perceive as important new relationships
- Required to contact CT today over work issues. Still a positive relationship maintained which I was pleased about. I've noticed that with the new job I have spent little time looking back / thinking of previous job and interactions...occurs to me that the past quickly fades/looses interest...for this reason, never expect to get someone back form a new job to finish something that was not finished before the person departed!!
- **Mon 14/6**
- Meeting planed with A to discuss career development;
- I sketched out some of the development needs that I felt I had with the change in job focus. From total (?) competency in one area, the change in jobs meant that a whole new set of competencies had to be acquired. A a bit closed to new ideas...for example some techniques that I had used in different applications from the current environment he had not heard of, and so didn't think they would be particularly valid. As he is an expert in his own field, he presumably didn't think there was much validity in something that he had not heard of before...silo mentality??/
- In terms of future development, it was quite clear that the change, whilst opening up a new set of horizons, did impose some restrictions with respect to future career development and career paths. In fact this move pretty well places me on to a more "specialist" route and away from future operational (hands on) type of operating. Whilst this does not make me feel uncomfortable, it was the first time that I had really taken a longer term view of where this move would be taking me. I probably should have thought about this more at the time and asked more questions as to where I saw myself going. Clearly I'm not locked into one company but good to get another persons views.
- A made it clear that future progression would be based on own performances and probably one major promotion left within organisation

before typical ceiling reached. Made me think longer term in terms of what I wanted...achievements vs. costs.

- Spent a bit of time trying to get straight how he sees our relationship. Clearly wanted an informal arrangement, and even the scheduled monthly progress meetings would be informal, which I am not used to...I will probably keep my own notes for the time being and see how things progress from there.
- I felt dept was still a bit fragmented i.t.o. operation and pushed A to have a team meeting to discuss roles and responsibilities. Idea of making explicit what everyone thought that they knew!
- Discussed and raised performance issues such as how the team is to function on a day to day basis cleared up that Q was essentially the leader...although all report to A..A delegated routine responsibilities to Q. This now explicit and confirms the understanding that the older consultants had and that they were not in charge!... get the sense of the other consultants complying, rather than supporting.
- Also discussed how success is measured and who has what responsibility. The meeting surfaced quite a few issues and there was good agreement w.r.t. accountabilities and responsibilities. A possibly using the appearance of new team members to ring changes that he had wanted to do for some time?...seems like a good time to introduce change...i.e. if one thing is changing, add a few more on at the same time! (more efficient??)
- A stressed the importance of visibility. This “political” concept was quite new to me, having come from an operating region where visibility has now an issue. Emphasized the need to “sell” yourself and your progress to the process owners (CATWOE link??). A further explained reasons for appointments
  - Strengthen team (technically)
  - People skills...driving change in the operating regions without getting to a point of antagonism
  - Ability to support A – he is looking to an excellent team that will support him in his own goals
- With the discussion dynamics that took place, quite clear that Q is A's no2 and holds power. Found myself assessing who I thought were power owners and assessing how I would interact with them
- With the job requirements now discussed, I want to get my own structure into my job (the way I see it going), to physically share that mental model with others and to get on with implementation of certain things.
- After the meeting I felt there was still the need for the consultants to get together and agree certain things...our own structure (informal) as to how we would interact, how we will share information and how we can learn

(idea of organisational learning). The team is clearly defined (unofficially) as Q, self, R and S. Other two consultants do not feature and have almost deliberately taken themselves out of things. A bit concerned as this may lead to problems later re communication and effectiveness of operations.

- End of day left with a clear impression that knowledge is clearly power here. I **must** develop networks to tap into information that will support my long-term goals (individual and team).
- Reflection...have felt at this period of change, I could handle even more change...not sure, but could possibly be partially supported by events in the external environment...period around general elections with general uncertainty...i.e. not all the change feelings are necessarily ascribed to personal circumstances.
- After meeting with A and team, decided to pick up with T regarding task force work. In getting into a changing environment my view is to get into issues as fast as possible as I perceive that there is a "honeymoon" period. Doing this
  - Allows to put your own stamp on things early on (what better time to indicate your authority and ownership ...much easier to do it now , rather than later)
  - You are in control (i.e. use the HM window to seize the initiative)
  - The others are static; **you** are changing (you are already biased for action and learning – seem to be able to change course if need be a lot easier than when set in a rut)
  - You can ask all the "dumb" questions including questioning the sacred cows of political relationships
- Tried to establish what work my predecessor had done. Response was not much, and what had been done was too theoretical. This confirmed my earlier thoughts that some of the outputs of consultants were questionable in terms of delivering against hard numbers and helped to shape some ideas as to how I wanted to run things in the future.
- Assessed T as being an important ally. I clearly need his support in order to succeed at what I want to do. I shared some of my thoughts with him so that he knew some of my preliminary thinking and also probed for some of his ideas. Generally felt support was there and comment was "this dept has needed some new blood"...generally he felt that things needed to be done differently and was prepared to support the change.
- **15/6**
- Returned to CT to do training and to close specific gaps.
- Going back, it was easy to get the sense that I had never left and nothing had changed. However, discovered that even in a short period of time, certain things had changed and I did not have the necessary knowledge to

deal with it. Realized that you assimilate a lot of “background” information that is used for decision making on a day to day basis. This knowledge seems to have a short half-life, but is important in understanding the whole picture.

- Although I felt that I had made an emotional break with the region, I did make the mistake of a couple of times of referring to “us” and assuming a CT identity. I was quickly reminded that I was now a visitor!
- I was aware of the need to develop/strengthen relationships with the brewing fraternity and made a point of making contact with key people. They, in turn, also seemed to be aware of the political need to maintain relationships with me. A special “brewing” farewell took place in the afternoon with senior brewing staff that further reinforced that idea.
- Had some discussions with M who was previously in head office. Got the sense of being told what to do because he had “been there, done it”. Got quite irritated and explained that the new team will be doing things differently. Didn’t go down too well and can expect some resistance in the future.

### **16/6 public holiday**

### **17/6 moved family to Jhb**

- **18/6**
- Picked up from the discussion on Monday...up to me to make things happen.
- Initiated contact with Pietersburg (U) to start the relationship and to discuss the way forward. U was an unsuccessful applicant for the position that I have, and also unsuccessful in the Brewmaster application at Pietersburg. Clearly this change on my part will influence U and relationships
- After initial discussions on the phone it is difficult to know how things will develop especially as U thinks that things are going extremely well in his plant and became very defensive over some of the potential issues that I raised. I made a point of having some issues before hand to discuss that I had sourced from divisional reports (e.g. metallic taste)...get the sense that U doesn’t really think he needs a consultant (who is not as good as he is??? U thoughts) and is quite happy doing what he is doing. Anticipation of potential conflict, and I’m wondering about how to deal with this/building relationships etc.
- Initial thoughts at handling this is ;
  - Develop a relationship involving both my credibility and understanding of his brewing team and operations
  - Manage upwards in the plant environment by getting PM/Gen. Mgr. buy in and support
- Picked up with V re what he saw as the role of the task force that I was going to be running (conscious of trying to get quite a few perspectives before I committed some for public consumption). This discussion again turned to quite a political discussion as to that was doing what, what each person’s particular piece of turf was, and who were the important play makers.
- The purpose of the discussion from my side was to elicit intelligence re what was going on (relationships) as well as technical developments

- It is clear that there is no shared mental model as to how task forces should operate. My initial reaction is to try to establish a model for the task force, and then find the correct people to be members of this team.
- *Thought...the development of the task force with a firm conceptual base will be essential for future success...need to build on this later including showing organisational relevance.*
- **21/6**
- trip to Durban with S to discuss flavour issues.
- Having met M/N the previous week, it is easier now that my position as consultant to this region (following meeting with A on Monday). There was no ambiguity as to who I was or why I was there, and formally introduced to the brewing and management team as their consultant. Generally I felt no one had any particular problems with this.
- Problem solving session initiated. I tried to lead this to a degree, however, I was clear that I thought that the region must "own" the problem and that it is not simply passed to me. I felt this relationship was important to state openly up-front...had been warned at C.O. that the regions will try to make their problems your problems and I wanted to be clear of ownership. No problems with the region accepting this and glad that it didn't remain as an unsaid issue.
- Aware that relationships in my new position are probably more important now more than ever before and I must work to build/ maintain these. Found this extended to informal interactions in the pub.
- Technically I did not have too many problems dealing with the scope of work. Some frustration at the size of teams and I found I had to keep the regional staff focussed on the problem. A lot of the problems overlap into the area of the task force that I will be running divisionally so very useful as a learning environment.
- Spent quite a bit of time in the plant. Felt that with the change that I was able (in time) to show depth of knowledge w.r.t. the local plant....so that I maintained credibility. The general acceptance of my input was positive and got the impression that my contribution had been useful...no negative vibes.
- This was very beneficial in allowing me to settle in. It would have been very difficult to handle both technical as well as relational issues if the support had not been there.
- Got the sense today of growing into the job as the things that I have never done before get done, and degrees of uncertainty are removed. It is still early but I'm getting into the job and also getting better known with other people.

- **Tues 21/6**
  
- Morning with videoconference to Jhb re the problems being experienced in Durban. Reflection - I suppose in some ways I could have led the discussion more - sort of caught in this new position of not really knowing M/N well and as it was clearly their problem. I did not want to steal their thunder. Again, a new situation had me regarding relationship issues - am I being too concerned about these and should I be focusing more on the context of the situation???
- M seemed a bit directionless regarding what to do with current problems, so I consciously dealt with N more.
- Action is clearly required and the process group for problem solving seems to be slow on delivery. I will need to show some leadership here and get things going re delivery of hard numbers. The extent of the problem has reached director level and being new on the block, this is a watershed time...get things fixed up and make a name for yourself...nothing happens and you could quite easily acquire a label. Thought - in change, there will probably be a couple of these situations early on, and the importance of an early win could be vital in securing future performance successes.
- Spent time in the plant getting used to the plant. Found some quite glaring problems that will cause some embarrassment to local personnel - question is how to deal with communication of these issues. I'm aware that previous consultant acquired such a negative relationship with the plant that they refused to deal with him. Made a conscious decision to discuss issues with dept people and then indicate exactly what my communication would be back to Gen. Mgr. so that there was consistency of information.
- Spent quite a bit of time with ESR technician understanding how the new technology functioned...wanted to be able to talk from a position of strength as an "expert". Quite amazed that the local staffs have not taken the time to do the same. Again, found it was very easy to ask the dumb questions and really learnt from doing this. Thought - wonder if others have left asking the dumb questions for so long that they "can't" ask them now...i.e. in the process of change / introduction of innovations, the earlier and more frequently you ask these questions, the better.
- Feedback to GM etc went well and was able to summarize exactly what I had said to people earlier. Made a mental note to follow up discussion with e mail note to all concerned so that content of what was said was explicit (even though it was "bad news" for some of the people concerned) and contained positive suggestions for improvement.
  
- **Wed 23/6 and Thurs 24/6**
  
- Session up at Sun City for the production conference. Quite an important gathering in my view as I would be meeting more people face to face who I had not really had many dealings with before, but who were now much more important to me.

- I was aware of the need not to ignore previously key people even though their current impact in the job is limited (paradigm...they might be useful later???)
- Consciously established some contacts that were important from the Brewing side - these contacts were made with a view to future "investments" - the change brought home the need again to raise my own personal visibility and to develop network contacts that I could effectively use later...enable me to get things done if I could call on people I knew and had a bit of a relationship with.
- Talk by A re departmental key focus areas for progress thru the year as well as recent developments. Obvious that at this level must maintain high **visibility** - this aspect requires personal attention. The presentation highlighted the need to link my own goals with divisional issues. Thought - I need to use these goals to help articulate my own mental models as to how I want to run the task force. Want to use systems principles with this introduction
- Aware that I need to keep the focus on getting things done ASAP - this relates to performance on goals as well as visibility / personal success.
- **Mon 28/6**
- Trip to Durban again - Q/S/G. Discussions on plane with Q as to perceived problems with Durban and some people issues. Still regard Q as an important political animal and important to nurture relationships.
- Met with M and later with N as Durban. Bit frustrated with the slow progress and there seems to be a lack of bias for action here. M is not showing particularly good leadership and this is evidenced by poor problem, solving...How am I going to deal with this???
- The issue of change has me wondering how I will perform as I take over from Q how has been consulting to this region for the past 3 years. Today I'm finding him in my space and I'm finding it difficult to do things my way when he is still effectively leading. I'm managing this at the moment by;
  - Learning from Q - this is very useful as I'm picking up from him the style that he uses as well as what the issues are (or have been) at this site...almost building on what he has learnt, rather than starting from scratch
  - Also been trying to form personal relationships with the Durban personnel to build up a good network - this particularly so because the task force will not continue for much longer.
  - The issue of WQ being in my space seems to be a temporary one and at this stage I'm not sufficiently concerned to want to address it Q.
- Concerns at the moment with all the activities around this task force are how to get back to a regular meeting schedule with the region and address some of the other burning issues.
- I want to do a process evaluation with the team which is something that I don't think they have ever done - the question is timing - when do I do it??
- I'm still new on the block, but I want to introduce change to this established and stable team
- *Thought - introducing change would be a lot easier if they were in a state of change themselves*

- **Tues 29/6**

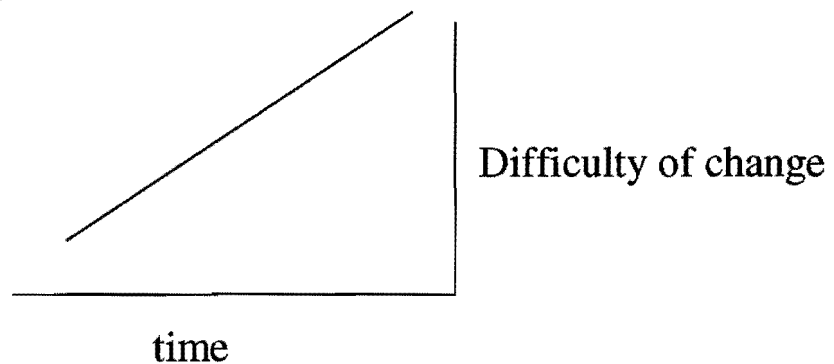
- Back in the office for the first time in a while. Conscious effort now to keep the momentum going on my new goals and I've taken a conscious decision on 2 fronts;
- Short term - get up to Pietersburg as soon as possible. My concern is that I have got going well with Durban but Pburg is still untouched. The longer I leave it, the more difficult it will be to get established, and build credibility / relationships. U seems very independent and I clearly need to make some headway here. Aware that I need to keep up the momentum of change that I am personally experiencing (thought the corollary to this is that inertia is a major impediment and I cannot allow this to develop - simply is a waste of energy allowing things to run to a low energy state and then having to get things going again at a high energy cost).
- Long term - need to get started on the task force project work by starting with data collection. The brewmaster meeting is on the 7/7 and I would like to have a position paper out by that time.
- I plan to use a model of how I see the project being tackled and then possibly look to structuring the task force around VSM principles. I wonder how the implementation of this will go. The target audience is heavily technically focussed and I suspect that the mechanism of HOW the team will function will probably not be appreciated.
- Rest of the day out at Training Institute with trainees. Learnt plenty from the discussions with T. Its quite clear that I need to gain up to date technical knowledge in a number of areas and brush up on other knowledge. A solid technical knowledge base is critical, and being a bit weak in some areas, I am not able to contribute / lead as I should. I need to address this asap by catching up on articles / reviews etc.+9+

- **Wed 30/6**

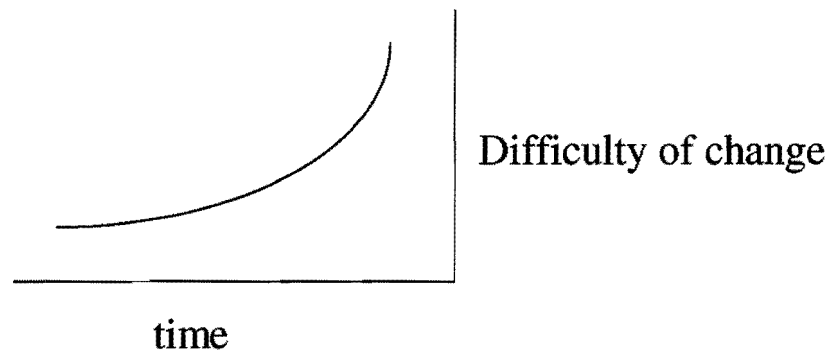
- Maintained focus on the Durban problem. Made effort to see R&D staff - again, the aim was to both increase my own knowledge and to build relationships with key staff. Also, as this was my specialized area of responsibility, I wanted to send the signal to as many people that this was my "territory", and that I was both very interested, committed and owned the process.
- I still have the feeling of being in a hand over phase - Q still seems to have the ownership of the Durban problem and whilst he doesn't actually seem to be doing too much, he is the one who is doing all the high level communication...basically taking all my input and communicating it...I feel I should be doing this - difficult though, as he has positional power and I don't feel this is a big issue and certainly not one to challenge the positional power.

- This issue was revealed again later in the day regarding a particular theory that I had and the analyses from Durban through up something interesting - I suggested a course of action in informal discussions with Q and the next thing I found was that Q had set up the esp. with other staff making it look like it was his idea. Problem - being new, how does one appropriate your own visibility...also don't want to behave like an individualist when the success of the dept depends on the members working together as a team.
- In a way this has galvanized me into action for the position paper on the task force that I will be leading. I decided that I would "adopt" the rules of the environment in which I was operating i.e. generate your own visibility by e mailing and networking with the right' people.
- **Thurs 1/7**
- Found myself getting into a routine...first time that I was aware of it and with all the change, was a bit disappointed that in a sense there was a bit of stability emerging. I want to preserve the momentum of change that I am finding very invigorating and I'm not sure that the idea of routine appeals to me at this stage.
- Still keeping in telephonic contact with Durban - I'm still trying to find the correct balance between getting involved / showing interest and doing too much / interfering. Made contact with Pietersburg with the same intention. I'm trying to really develop ownership for the regions and strengthen my working relationships.
- Meeting with some other support staff re techniques / approaches to some divisional issues. Interesting that thinking was quite stereotyped. I introduced some alternative ways of looking at the issues and generally got a "we don't do things like that here" response, and I think what I'm going to do is identify the "thought leaders" and talk to them on a one on one basis outside of the meetings.
- **Fri 2/7**
- Regular Fri meeting did not take place due to some key players being away and the others just showing a bit of apathy. Decided to push the issue and got the meeting going. I felt this was important in terms of ownership of the new job and putting my personal stamp on operations. Generally had the impression that team commitment to the dept was weak.
- Again had the sense that with change the longer you leave something that requires the initiation of action or even change, the more difficult it is to do...sense of strike while the iron is hot and keep the momentum going.
- *Thought that if it is valid that the longer that something is left, the more energy is required to accomplish it / initiate the change, the thought is that this is a log. Relationship rather than linear.*

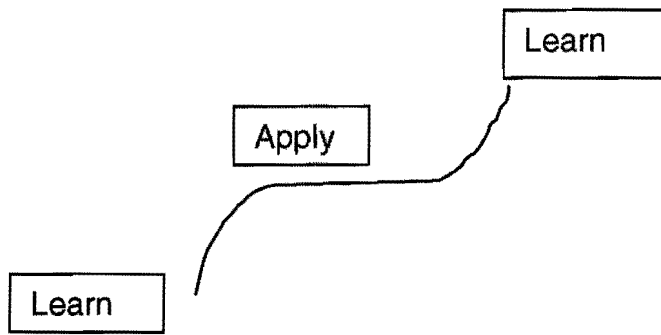
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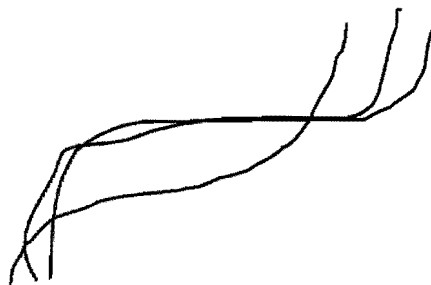
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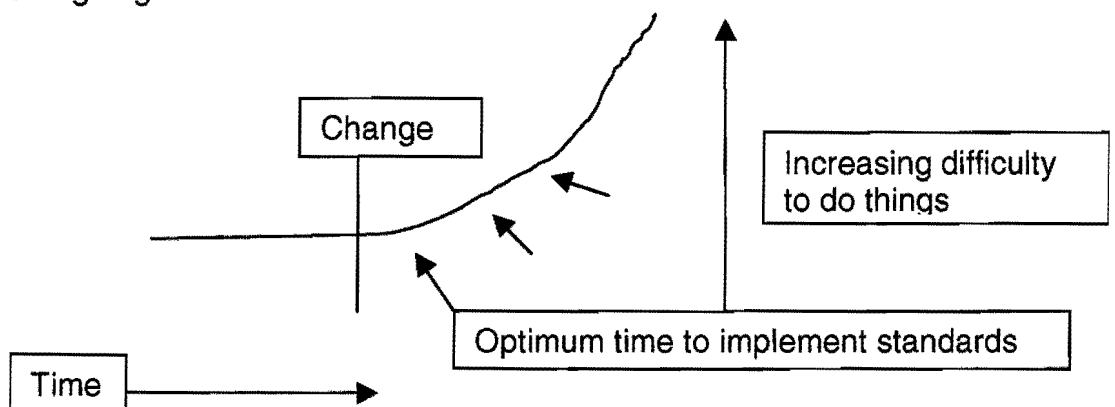
- Went to discuss some results with T - wanted to re-emphasize my ownership of the process. Quite a useful discussion and T's parting comment was that it was good to have some energy and fresh ideas in the dept...things were getting done. Pleased with this as I had earlier identified T as being important in terms of my success.
- **5/7 Mon**
- Visit to Durban today by myself, which was the first time. I was familiar with the people and I was able to get going doing things my own way.
- Seems like there is a general accepting of my role and position, and general interactions were positive and people helpful.
- Got the feeling of hitting a plateau of familiarity today...I did not have the feeling of such a steep learning curve and had hit an area of more ' comfortable " operating where I was more concerned about adding value rather than just learning



- This is just one area and I expect the pattern to be repeated. i.e. plateaus all over the place in the work place as I learn.



- the plateaus are useful places of stability, but I don't want to stay in this stability for too long.
- I made the effort today to see V,M, J, E (executive team) and tried to set the pattern for future visits. Once the pattern and expectation of certain good practices have been set, it will make the functioning of future visits a lot easier.
- Once again I had the feeling that the sooner you set the things up the way you want them after a period of change, the easier it is to keep the momentum going



- If this is true, the implication is that for this to be successful, one should have a good idea of what you want to accomplish before the change...it will allow you to get the implementation of change done soon after the change and the sooner that change is done, the less the energy expended in doing the change.

- **6/7 Tuesday**

- Back in the office. Decided to put into use the principle of taking action on new things as soon as possible. The new feedback report that the team had put together last week was completed. I was the first to do it and I made a point of discussing the feedback and other various points with the other consultants. It was clear that Durban staff expected rapid feedback on the visit and I was able to do this and so enable them to close gaps quickly.
- Had informal discussions with A. It was clear that he was not up to date as much as I thought he was. I'm going to have to make a point of including him more in what I'm doing (informally, so that information can be used usefully).
- The publicizing of progress is clearly important and something that I seem to be a bit short on. With little recent experiences that can be shared I'm short on material! I need to work on this. With the change, I need to promote / advertise myself more.
- Afternoon fully spent on marketing issues with advertising house. Enjoyed taking on completely new things. Felt reasonably comfortable talking on the technical issues as the depth was not an issue. Tried to make a point of being involved and making presence felt.
- This new position means learning to make impressions with new people...probably not that successful yet at this stage...some key work people still do not know me by name...important for future impact.

- **7/7 Wed**

- Brewmasters meeting. This was quite a new experience with all the main players in the brewing field present.
- Own behaviour - contributed early and made a point of taking a position on certain points. Found myself categorizing people in the room as I interacted, and my categorization in a way influenced my interactions with the people;
  - T - authority figure w.r.t. technical issues - influential
  - C - nil influence
  - K - detailed; influential; pedantic
  - N - hot air - not taken too seriously by others
  - S - authority
  - A - authority
  - R - nil
  - Q - influential
  - D -influential
  - F - nil
  - M - authority
  - G - nil
  - H - nil

- As these were people that I had not had together in one place before, I was mentally sorting out who I needed to develop further networks with and to follow up the influentials !
- Generally felt OK on the technical knowledge (not out of my depth) but felt it was still early to take a leadership role in the group - and also I need to build my technical knowledge before this happens.
- Aware that there was a bit of a sub culture in the group "this is the way that things are done here" attitude and I had to judge when to remain quiet and when to present a different point of view.
- This was probably the last important meeting for people to meet me for the first time, to know who I am and what I'm doing i.e. in some ways the introductory 'honeymoon' phase is over now - now comes the more regular, routine base on which I need to build.
- Going up to Pietersburg tomorrow. This is the first visit and made a deliberate attempt to plan the visit.
  - Going to see U
  - Aim to feedback issues from today's meeting
  - Want to see L (Gen. Mgr.)
  - Want to meet as many of the staff as possible and get a good understanding of the plant layout.

- **8/7 Thursday**

- Visit to Pietersburg. Expectations were generally met in terms of what I had planned yesterday. Clear that today was an information gathering session for me, and I absorbed as much as possible on the plant issues. Being brand new, I did not venture any suggestions just yet on what possible issues.
- Decided to share as much information with the whole team from the meeting yesterday. Not really feeling so concerned, as in the past as to how I would be accepted. Why?? I'm feeling more comfortable in my own role as a consultant and I have met some of the people before. I'm also getting better at some of the plant status issues as well as some of the operating conditions and standards
- Made an effort to develop relationships with entire team - lunch with U's team went down well from a personal interaction point of view.
- Discussed with team what they wanted from me in terms of service and support...useful to discuss the issue on the first visit and this will have to be developed further.
- Reviewing the day, aware that feeling far more into the job -not really connected to CT any more.

- **9/7 Friday**

- Regular dept meeting. 2<sup>nd</sup> one with A and feeling more confident this time around. Discussed goals - these were the same as presented at the conference but in a slightly different format. The way that goals are

organized here are very different to how I've seen other people doing them in the organisation...amazing how this place seems to espouse one thing and then do another. With this in mind, do I continue with doing goals in the rigorous way that I've done before or do I simply fit into the easier style adopted here?

- I'm feeling a lot more compartmentalized than I thought I would...almost get the feeling at times that I'm working for myself...not much synergy within the team and this is clearly something that will have to be worked on.
- Generally in this meeting I'm feeling more confident with respect to technical input and no problems with management issues. I still need to develop my own expertise in some technical areas and develop high visibility.
- Had a meeting later with all the consultants - I'm OK with the point that I'm leading quite a few things and bringing suggestions around new ways of doing things. Getting people to try new things still depends a bit on attitude...still some of 'this has always been done this way' still exists.
  - This may be a bit of a personal learning...I should be prepared to try different things even though I may be more experienced in the situation...not get a closed mind to trying different approaches
- Some problems with D – almost malicious compliance with some of the ideas / suggestions that the “new team” has come up with. Also H to a lesser degree. I'm pushing the new team quite hard with ideas that generally seem to be received positively but the split of old vs. new is very apparent. Not too sure how this will work out in the future – conflict or compliance? D/H clearly not pleased with the impact of change into “their” territory.
- **Mon 11/7**
  - first really good meeting with the team of consultants. The process owner is clearly Q and is clearly manipulating the system - forming a tight network with the three of us and excluding D/H
  - It was interesting to observe quite a bit of groupthink and the tendency to think in a "conventional " paradigm. I suggested there could be other ways of doing/ thinking about things but there was little buy in to looking at things differently!
  - *Thought...the opportunity of change...you bring in the possibility of new things to others even if you yourself are going thru a process of change*
- **12/7 Tuesday**
  - Completed work on the MDT position paper (Appendix 2) and issued it via e mail to division. Change has meant that I am no longer head of my own dept with everything that emanates from it having my stamp on it. I'm now part of this team and my personal contributions seem to take on the Q identity. How do I handle this change?
  - I did what A said regarding keeping high visibility...made sure that the position paper was issued from my desk and not via the secretary! .Also

plan to discuss the original with A and let him know who it is that is doing the originating

- Also missing the power that went with heading a department
  - No discretionary spending...a bit disempowering
- Made a conscious effort to contact G to catch up on progress in Durban. I want to keep interest going and to maintain focus.
- Took visitor from Aus. around - went to Alrode brewery which was the first time I had been there in my new capacity. As before, I was conscious of the need to maintain / develop people contacts. More and more the people contacts are proving to be very important
- Media function in p.m. Also important in terms of people contacts and also discovering "political rules"...e.g. how long you stay (at the pub) for a function is important!

- **Wed 14/7**

- Monthly review meeting with A
- His observation was that my progress seems to be going fine. I have attached meaning to this in that my management of change so far has been reasonably successful (a narrow view?)
- Politically awareness made me decide to show A own work and some of the progress and some of the development on my own goals.
- I made a point of exploring what A was expecting around further goals...getting a clear understanding (mental model).
- He also has a somewhat narrow view and I can see great application for certain techniques (QFD) in the dept; he is very reluctant to enter into an area that he is not familiar with. I've secured the OK to do a "thin slice" exercise using QFD which I'm pleased about and it gives me the opportunity that I've been looking for to do something different in the dept.
- Also secured the OK to get my secretary to do some intranet web page development which was very positive, and so decided to get this application going as quickly as possible (learnings from change earlier in the move).

End of ER journal

## Appendix 2. Position paper for task forces (edited)

An example of making explicit 'mental models' and sharing them.

### Brewing Services MDTs Position Paper

In preparing to get the four divisional MDT's fully functional and effective in the organisation, this position paper is being presented in order to present a common approach to MDT work that should align thinking, improve synergy, stimulate debate and get commitment from the various players.

#### 1. Position in the Organisation

The scope and operation of the MDT's falls very broadly within the general umbrella of the Manufacturing Strategy and the link within the Brewing Dept as well as the Organisation as a whole is illustrated in Fig 1 below

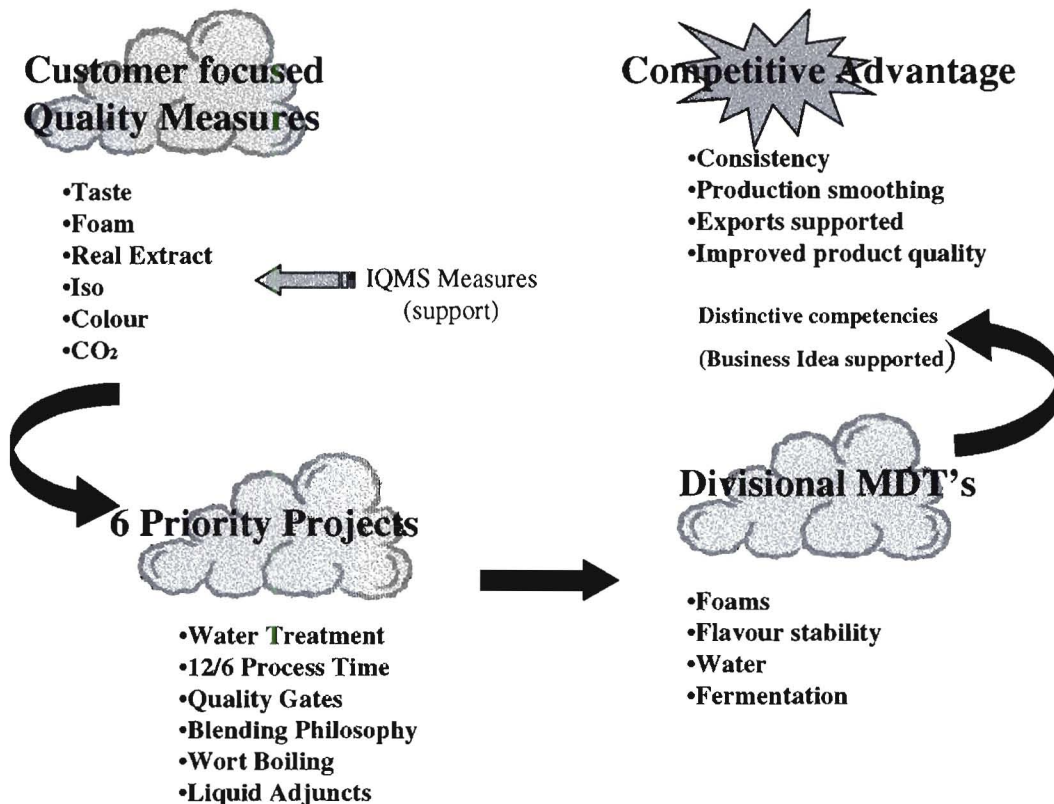


Fig 1. MDT links with Brewing Dept. Goals and Organisational "fit"

#### 2. Aims of the MDT's

**Foam:** (Leader: )

"To achieve a sustainable improvement in Castle Lager foams, and to rollout successes into the remaining SAB brands". This improvement must be sufficient to satisfy the demands of the consumer.

**Flavour stability** (Leader: )

"To achieve a stable product that stays fresh for longer." This will be achieved by both developing and implementing proprietary technology as well as establishing and entrenching B.O.P. with respect to flavour stability across the value chain.

**Water** (Leader: )

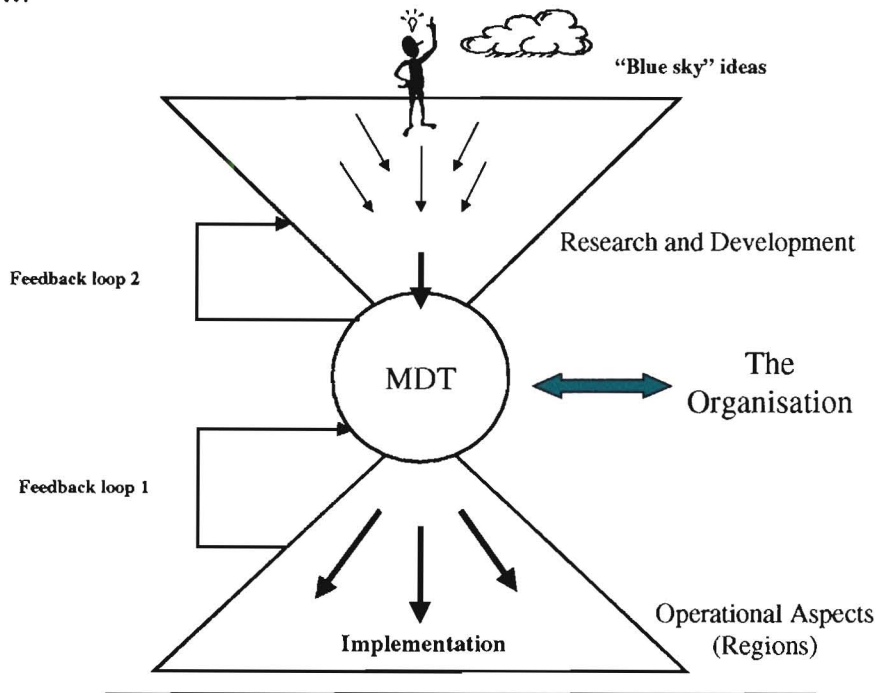
To support product consistency by achieving a consistent water quality both within a brewery and across the group.

**Fermentation** (Leader )

To assist in leading the drive towards consistent and predictable fermentation patterns. This will be achieved through the transfer of knowledge from R&D to the production regions and by acting as a forum to share learnings and discuss problem areas. The MDT will also play a role in skills development of SAB's brewing community.

3. **Functioning of the MDT**

A simple model proposing how a MDT fits into the organisation is shown below.



The MDT is positioned between R & D and the day to day operational aspects of the business. Principles are

1. The MDT has the responsibility for taking developed R&D plans and initiating division wide trials and/or implementation.
2. The MDT will not initiate R&D work, however, it is the forum for the inter-change of ideas and, where appropriate, R&D will react to the ideas/suggestions generated. (Feedback loop2)
3. The MDT is a resource for assisting R&D to get trials expedited in the regions.
4. The MDT is the forum for regions to share information and learn from each other, and to define and agree best practices. (Principle of the Learning Organisation, institutionalising knowledge.) (Feedback loop1)
5. It is the forum for Divisional recommendations on process / plant / analytical techniques and performance measures to be made.
6. MDT members from Regions need to (have authority to) drive improvements in their regions, the impact being at any point in the value chain (i.e. could be from raw materials, brewhouse through to trade).
7. The MDT will recommend priorities when regions are competing for limited resources.

#### 4. **Approach**

##### 4.1 **Foam**

A number of initiatives have been undertaken by the Foam MDT to date. As a result of this, the spread of foam results across Beer Division has been narrowed, but results are still averaging approximately 20 seconds lower than the agreed target of 250 NFS. The strategy of the Foam MDT, should be a focussed approach on a restricted list of Critical Initiatives only, such that a co-ordinated effort can be directed towards bringing these initiatives to a timely resolution.

As a starting point the current position of Beer Division w.r.t. Foam BOP recommendations needs to be reviewed by the Foam MDT, such that these critical Initiatives can be identified.

##### 4.2 **Flavour stability**

There is an abundance of information in literature as to contributors to flavour degradation, and it is not the intention of the MDT to start with a long shopping list and systematically work through it.

ESR work done so far has clearly demonstrated the relationship between lag times and the propensity of beer to stale. It is proposed that this be used as a key diagnostic tool with the initial MDT goal of getting Beer Division above 85 mins. lag time on a consistent basis.

As a start it is proposed to "put the peg in the ground" and establish ESR performance from each brewery based on a randomly selected set of samples. Once established, the MDT would be initiated and after a review of

learning's from Regions (Prospecton & Alrode) and R&D, a firm action plan and timetable to achieve agreed goals will be implemented.

#### 4.3 Water

There is no denying that water is the major raw material in beer. Currently the quality fluctuations experienced in municipal supplies in areas of alkalinity, brewing salts, THM's and metal content have an almost unknown impact on beer consistency, quality and colloidal and flavour stability. This is ever more apparent when one considers that 44% of the final product does not go through the process where the benefits of metal absorption by yeast can be beneficial.

There is a desperate need to know what we want in our water. The MDT has developed a Brewing Water Specification. The Brewmasters' team has agreed that this should also apply to D-water. The MDT now needs to expand its specifications to cover all waters in all brewery disciplines (e.g. service water, boilers, cooling water, washer rinses, CIP, Pasteurisers etc.)

Procedures have been identified for treatment of Brewing water. The thrust is now to develop these for all plants in SAB and to have specific plants installed and commissioned.

#### 4.4 Fermentation

From the consistency audits, yeast handling has been clearly identified as an area that requires focus both from an operational as well as an R&D perspective. For the foreseeable future yeast handling will form the Ferment MDT's central theme.

Since the introduction of SAB5 a tremendous amount of knowledge about this yeast has been obtained. The MDT will act as a conduit to pass on knowledge to regional operations w.r.t. yeast propagation and nutritional requirements that have been determined by R&D.

#### 5. Composition

Regional accountability for the technical support of the Divisional MDT's will rest with the Brewmasters. It is, however, impractical to have every Brewmaster working on every MDT and for this reason each region needs to assign its brewing resources accordingly. As noted earlier, the regional representative on the MDT will be accountable for expediting action in the region.

#### 6 Reporting

Each MDT will work according to a project plan and progress reports will be issued quarterly to co-incide with the Technical Directors report. After each MDT, minutes of the meetings need to be circulated to the other MDT leaders to ensure a synergistic approach is being maintained towards overall Beer Quality.

## **Appendix 3: Action Research Report**

The findings reported below were surfaced from the Ethnographic Research diary that was kept (Appendix 1), and reflects the progression of the action research process as described in Chapter 3. In many ways, these results are not presented as 'events' but rather than as 'patterns' that have emerged after a process of reflection and reflect the meaning schemes that I have attached to the events.

# 1. The first Action Research Cycle – preparing for change

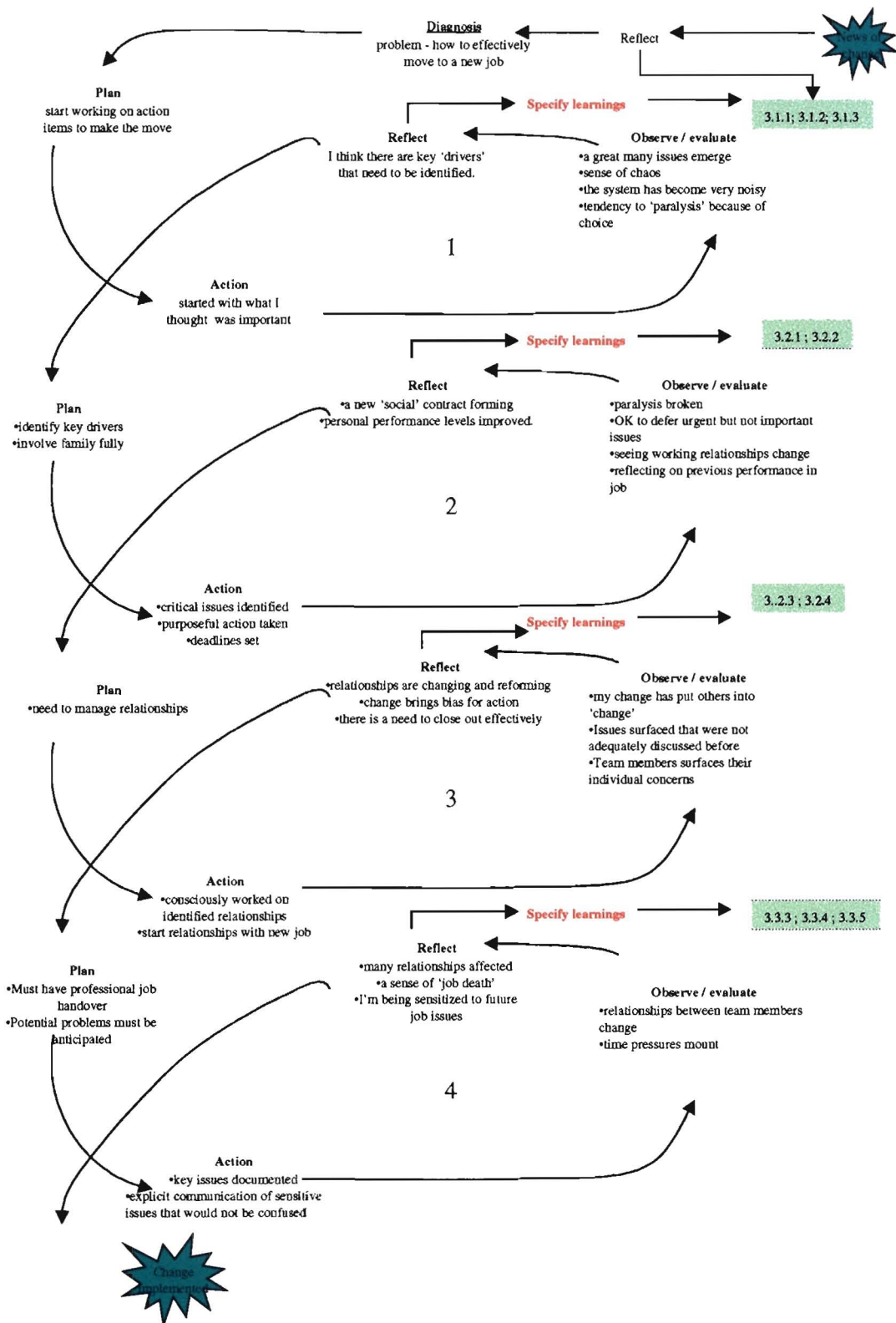


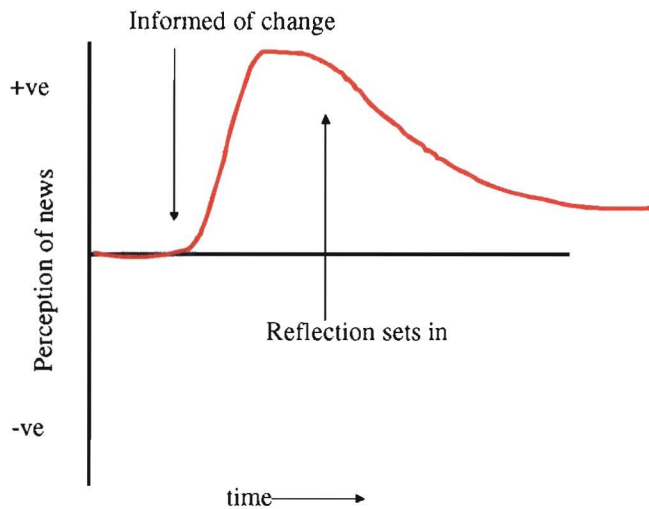
Fig 1: Details of the first Action Research Cycle

## 1.1 Elements of effective change – managing change implementation

The ability to effectively manage change when it is thrust upon one, causing disruption of the current status quo, is essential is being able to move forward into the change.

### 1.1.1 Initial reaction and reflection

The initial reaction of being informed of a job change that in this case was very positive (as this move had been requested) and the general sense was that everything was “good”. This lasted for a short time until a period of reflection set in and the issues of the move started to emerge (Fig 9).



**Fig 2: Reaction to news of change**

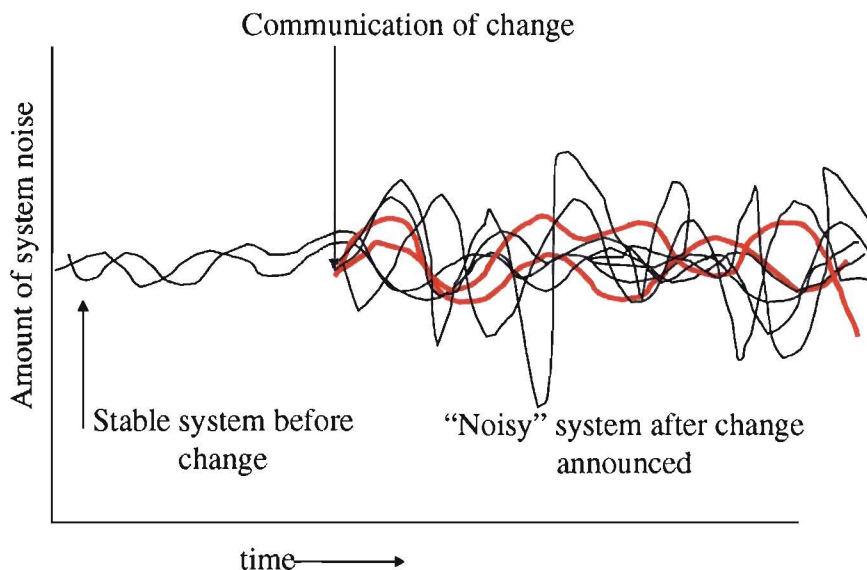
Issues such as the impact on the family and the pressures of the move were some of the negatives and concerns as to managing new job competencies that arose at this time. As time went on, more of the obstacles and negative issues emerged to “balance” some of the initial positive impressions until, after a few days, a more balanced perspective had emerged, which overall was a sense of being a “beneficial” move. The degree to which perception of a change as being positive or negative levels out at is an indication of the impact of the change. The fact that reflection takes place suggests that decisions that could have far reaching consequences should not be taken too early before the period of reflection has been completed.

### 1.1.2 Drivers for successful change

The arrival of the change communication led the emergence of the idea that in order for the change process to be successful there had to be some early key drivers that, if handled well, would facilitate the overall process. The key learning was to include all stakeholders in the communication of the change, stakeholders necessitating both a work related and family related focus. An early learning was that although this was a job driven move, the family had to be fully part of the overall process. Special attention was paid to the communication process at home, as well as to my direct reports at work to ensure effective communication of the news, issues, concerns etc.

### 1.1.3 Deciding what is important

The initiation of change introduced a great deal of “noise” into the day to day pattern of life and the initial sense was that of being overwhelmed by the number of decisions and actions that had to be taken. This disruption from a place of stability (even though being viewed as overall positive) almost introduced a paralysis of action due to the vast number of things to be done. The key learning here was to identify those few critical issues that simply had to be done, and then implement the plan as how to deal with them effectively (Fig 10). In doing this action of planning, the “paralysis” is broken and purposeful action is commenced. In many cases, much of the “noise” in the system is urgent but not important, and can be resolved at a later stage. The issues that emerged as being critical were those that had a longer term perspective.



**Fig 3. Introduction of changes greatly increases system “noise”. Effective change management identifies the critical issues (solid red) and focuses on those.**

The important issues were arrived at by mainly trying to anticipate the future end state, and then working backwards to present.

## 1.2 Managing the news of change

After the initial impact of the notification of change to myself and those I worked with, the period after this (and before leaving the job) surfaced a number of opportunities and learnings.

### 1.2.1 Change enhances performance

The news of the impending job change brought a fresh and very positive outlook to my view of work and the general sense was one of “well-being”. This has to be a beneficial aspect in the work place,

and although it eroded over time, this has to be an opportunity for managing change – possibly even small change on a regular basis (as long as it is perceived to be “positive”) could be excellent for individual performance and motivation.

Other learning from this period was having a due leaving date ensured that completion of certain tasks by this date was achieved and I performed better here than in the past. From a performance point of view, regarding each management deadline as a “leaving” deadline has improved personal effectiveness.

### **1.2.2 Reviewing past performance**

During the period prior to change, this was a period of reflection in two areas:

- Previous experience of change – it was useful to reflect on previous job moves and changes to look for learnings that had made the process either difficult or successful, and then look to build those learnings into this change process
- Own job review – in looking to fill the soon vacant position, it was interesting to see how the job had changed over time. I learnt that it would be useful to personally take stock of my job periodically so as to ensure that the critical areas were receiving the correct attention, and that job “creep” by addition of non-key issues had not occurred.

### **1.2.3 Relationship changes**

The announcement of change brought a whole new set of relationships that had to be managed effectively, and there were three broad categories:

Close-out: These were relationships that had served well in the past, but it was clear that in the new job position they simply would not feature. These relationships, rather than being left to die, were identified and purposefully “closed” in a positive manner so that communication was clear and consistent, and the relationship could be easily opened in the future should the need arise.

Maintain: These relationships were existing ones that may need to be worked on to maintain them ( due to geographic separation), but none the less, were important to keep going

Initiate or strengthen: These were people who could be important in the new position and hence an almost deliberate decision to initiate contact, or to strengthen existing ties.

Of interest was the impact of my change on others particularly with regard to point 3 above. It was obvious that other people, who had perceived that my new position might impact on them, now took the

initiative to start / strengthen their own relationships with me. The initiation of change had brought in a **new** “social contract”.

### **1.2.4 Change drives action**

The impending change brought on positive action both from others and myself who were going to be affected by the move. My own level of effectiveness was enhanced, and numerous others showed a bias for action that had been required for some time, requiring the necessary stimulus to get it going. The broader learning from this is that possibly regular, small change can maintain this beneficial bias for action, not only in the individual but also in the system around them.

## **1.3 Preparing to “pass on”**

This final element of “Preparing for Change” reviews the learning gained from bringing your involvement in a job to an end and the preparation to physically leave.

### **1.3.1 Pre-change management**

The time prior to departing from the job raised some interesting behaviour:

- I was receiving quite a bit of informal “forward intelligence” from people that I was going to be working with. It seemed that this was done to “prepare” me for the new job position, such as political structures, power ownership etc. and who subscribed to what view. The usefulness of this was that it sensitized me to the future issues and some of the individual positions on the corporate political scene.
- This period brought into relief some of the work habituation practices that I had developed. The sense was that many could be classified as a “rut”, and were practices that I would want to avoid in the new position. There was also the appreciation that “ruts” develop imperceptibly and to be aware of them in the future.
- There needed to be the right balance between change preparation and boredom. I was equally tired of the old job and looking forward to the new and had to manage my motivation to concentrate on the daily issues to hand. This may be important in the management of change so as not to communicate impending change too early which may lead to individual boredom, disinterest and demotivation and make it difficult for the next incumbent to move easily into the position.

### **1.3.2 Effective Leaving**

The desire was to ensure that the hand over of key job aspects was done to ensure continuity of performance. Key learnings were:

- Document issues thoroughly. This is to ensure clear understanding between all concerned of what was meant on some issues (i.e. ensure explicit mental models on some issues). This also ensured that there was **co-ordination** so avoiding unnecessary oscillation in the organisation due to poorly communicated issues (e.g. feedback on performance over the past year that would impact on individual salary increases).
- I discovered that despite good goal setting sessions with my team in the past, I had not effectively communicated my broad and long-term plans for the department effectively. It was only during hand-over discussions that these surfaced, and there was a sense that these things had been “assumed” as being known, but never articulated. The importance of communicating long term plans and visions is vital.
- Step back as soon as possible. Effective leaving is helped by letting go enough to let others pick up the reins and rather make the mistakes when you are there to guide and direct, rather than when you are gone. The learning process is far more efficient and the “time to detect, time to correct” cycle is that much shorter.
- It is very difficult to start to do the new job when still finishing the old job. Although there were aspects that I wanted to get started, time did simply not permit. On reflection, the move into the new job would not have been significantly improved by trying to do two jobs at the same time.

### **1.3.3 One change impacts many others**

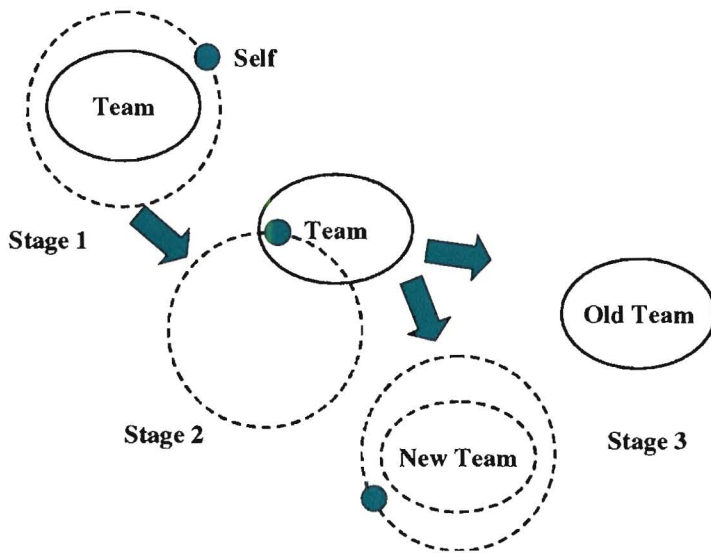
The impact of this sort of change was considerably wider than just me as the individual who was leaving, but the impact is felt in the much wider team (system):

- Team members reflected on their own circumstances and issues and concerns such as "how is this going to affect me?" were surfaced. The relationship manager/sub-ordinate was obviously changed but this also resulted in an employee: employee relationship change.
- The move threw the others into a change mode that they had to manage. Changing relationships, new leader, managing their personal performance and visibility etc, all added stress to the system and the issues had to be addressed.
- Possible expectations have to be managed. Successions are envisaged by employees that may or may not transpire. The processes about dealing with these had to be very clearly articulated

### **1.3.4 Job death**

The idea of being part of preparing for your own (job) funeral was a key feature of this period prior to departure, and could be seen as a three stage process (Fig11):

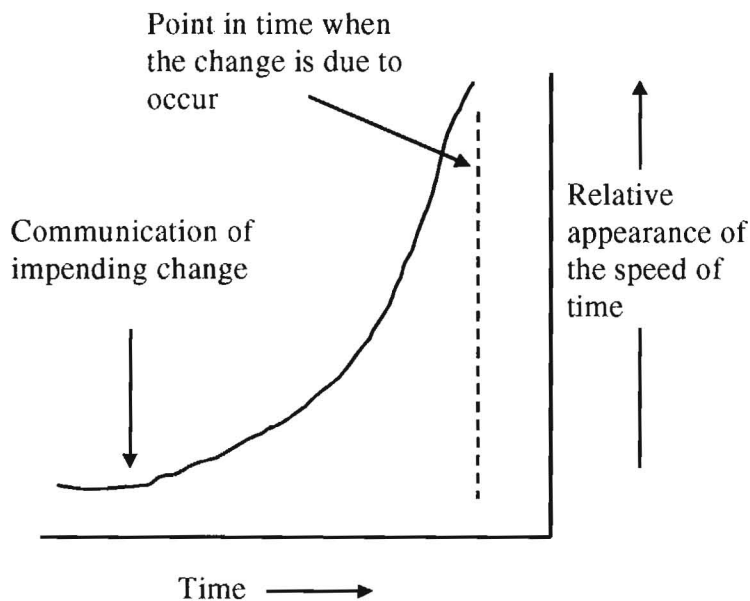
- Stage One. Normal interactions with the team/s
- Stage Two. There is still team interaction but the individual pulls away. There is the sense that you are already absent in some conversations. Your input is sought less and less. You prepare for your departure and make sure that all your affairs are in order, and "hand the baton over" effectively.
- Stage Three. The change is implemented. You say goodbye and leave the old team, which goes through its own adjustment phase as it establishes its new equilibrium, and you set about joining a new team, which itself has to adjust to the addition of a new member.



**Fig 4: The three identified stages for “job death”**

### 1.3.5 The variable nature of time

A significant feature of preparing to “pass on “ was the appearance of the “collapse” (exponential) of time as the deadline for moving approached (Fig. 12). This phenomenon would be featured into planning for any change in the future as it imparted considerable pressure into the move.



**Fig 5: The appearance of time as change date approaches**

Whilst much of the focus has been in the job context only, the impact of change is clearly in the personal domain as well and this

is vital to acknowledge as effective change in one area is dependant on good processes in the other.

In moving both job and location, the impact of having the time to organise personal issues is substantial and needs to be factored into the time permitted to make the move.

## **2. Managing the Change**

The following sections deal with the broad processes after the actual change has been implemented, and looks at learning about the changed environment, creating your own presence and finally looking at how stability sets in.

In Fig 13 below, the emergent AR cycles within the second, larger AR cycle are shown. The rest of the chapter deals with the emergent learnings from this part of the AR process.

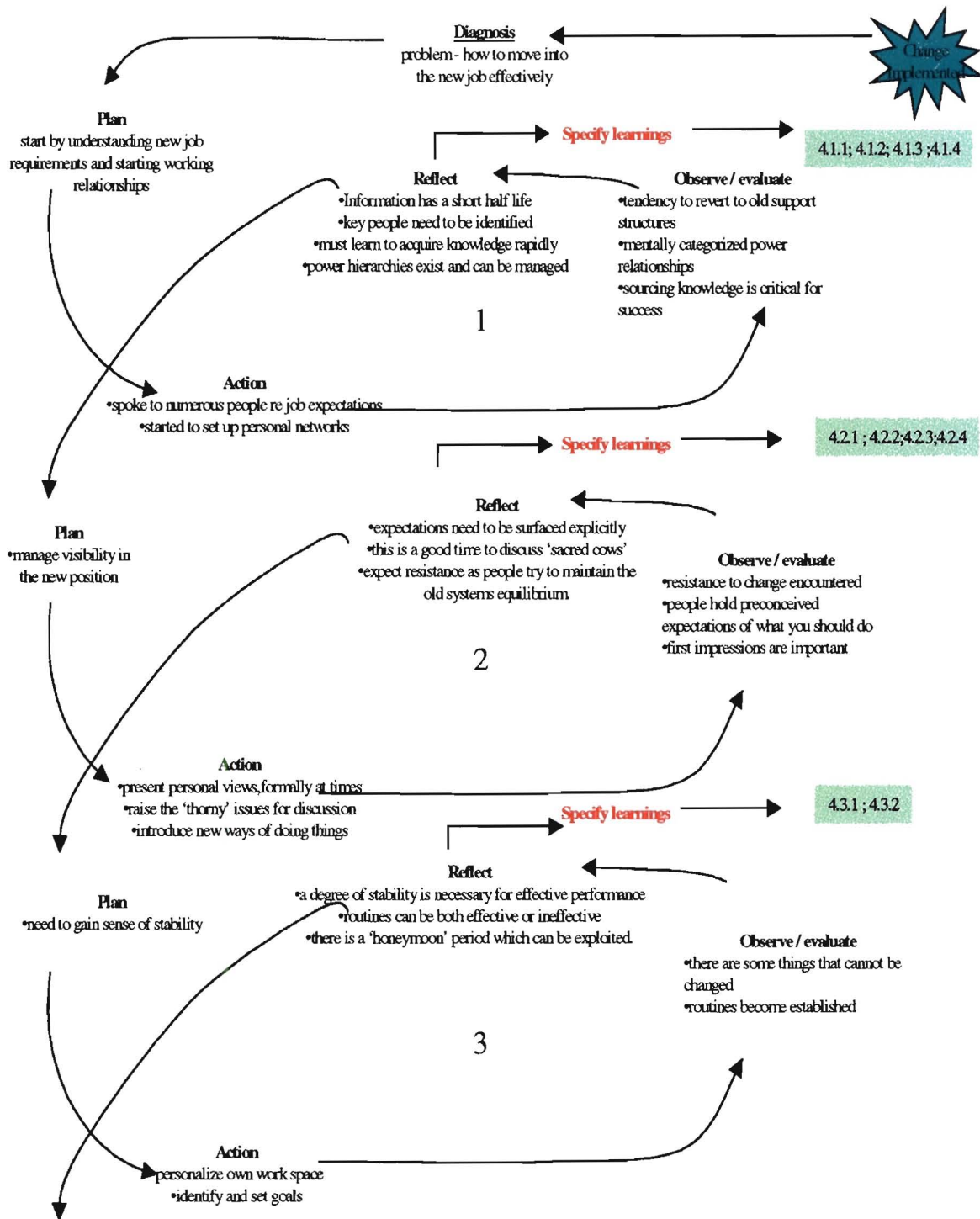


Fig 6: Details of the second main Action Research cycle

## 2.1 Learning the New Environment

### 2.1.1 Going Back

When there is the process of being removed from an environment that you were very familiar with, there is the tendency to "hold on" to the things of the past. The cutting off process appeared to be a gradual process, that was hardest straight after the change, but as

time progressed, there was less and less contact. What became clear was that personal effectiveness diminishes rapidly after moving out of the direct operational sphere. Effectiveness seems to be rooted in having relevant, up to date "intelligence" of what is happening. After a move, the intelligence links are severed to a large degree and since the half-life of operational knowledge is very short, situational issues are very hard to give useful input to. Because of this, trying to "go back" or keep in contact with what is happening is difficult (and probably ill-advised) , with input at a systemic or strategic (longer term) having relevance only for a short time.

Despite this, certain relationships are useful to maintain and strengthen, and these must be identified and worked on.

### **2.2.2 Changing Relationships**

Perhaps the biggest issue in managing change is the management of relationships. New job situations call for new relationships to be developed, and old important ones to be maintained. In making the change, key people need to be identified. There are personal criteria, but certainly people who will help you get the job done, either by doing this for you, providing knowledge or information, or having the organisational "power to" and "power over", make them important in keeping a working relationship going.

### **2.2.3 Managing Knowledge**

In moving into a new environment, one of the keys to being rapidly effective is the ability to acquire relevant information. Most of the formal and informal channels that were used in the past would have been severed in the job change and hence need to be re-built. The requisite information must be sourced by building / re-establishing knowledge networks as quickly as possible. There is no doubt that knowledge is power and the type of information that needs to be acquired probably falls into two categories:

- **Technical:** this is the ability to know where to get technical information that empowers you in the new position. Examples of this are ability to source reports, library information, Intranet documentation, computer system access etc.
- **Relationship knowledge:** This is the identification of who it is who is the subject matter expert or can readily access information through their own superior information / knowledge networks

### **2.1.4 Managing Power Structures**

Whether or not an individual is "politically" sensitive in the corporate environment, there is the requirement to learn the new social system. I quickly learnt that I was mentally identifying power hierarchies and ascribing meaning to those structures. There were

those I perceived who were of little consequence, and those who carried influence and hence were deemed “important” from a relationship point of view. This also gave clues for the future as to who to discuss issues with and who could influence decisions at a later stage.

Similarly, there was awareness of power groupings for example an “old guard” and a “new order” system that worked in the same functional structure, but whose dynamics were completely different. The recognition of these structures was important in preparing to work in that new environment, and allowed a conscious management response to the identified power systems.

## **2.2 Managing Your Impact**

When moving into a new position the system is going to notice your presence in some way or another. The question is, what are the obstacles / opportunities and how can these be managed?

### **2.2.1 Encountering Resistance**

Apart from personality issues, some barriers can arise if you bring new paradigms to the business arena, as many people may not be receptive to looking at issues from different perspectives, or having something that they have done as a habit being questioned. Key learnings in dealing with resistance were discussing issues with individuals on a one-on-one basis (rather than in a meeting context), and also taking the trouble to explain your thought processes and why you are looking at things differently (explaining your mental model, and taking the person down the “ladder of inference”).

### **2.2.2 Managing Personal Visibility**

When moving into a new position, there made be expectations of the individual:

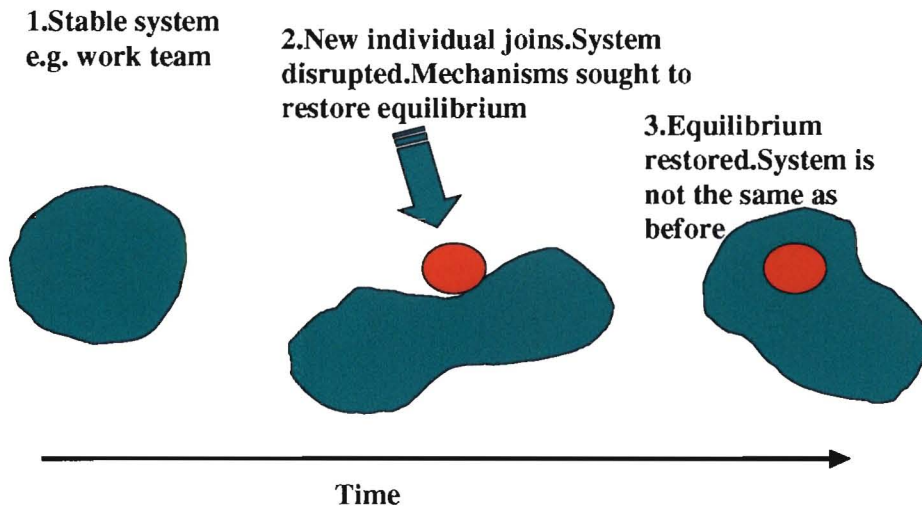
- That there are certain ways that things are done and that the new incumbent should not try to change things
- That the incumbent will be going to do exactly what the predecessor did.
- The manager wants visibility for the new appointment

These expectations, although not always desirable, may be held by a number of people, and need to be managed so that potential issues can be addressed early. The manner in which the expectations are identified and managed can go a long way to improving individual effectiveness.

### 2.2.3 “Rocking the Boat”

Given the two earlier points, the arrival of a new player in a team **will** disrupt the existing system. The great opportunity in this is that it is an excellent time to ask the “dumb” question or to have a go at the “sacred cow” issues before you belong to the system. The earlier the questions are asked, the easier it is, and the longer the delay before asking, the higher the probability that the issues will not be openly discussed.

The response from people who have been impacted by change is very often to try to restore equilibrium (and their comfort) by managing the individual who has brought the change and trying to get them to conform to their own pattern of behaviour (Fig 14). Whilst an equilibrium will eventually be reached, the new system will be different from the old system. The degree of difference will be a measure of how much (or little) the existing members of the system had influence then new arrival



**Fig 7: A diagrammatic representation of the change to a system that a new team member brings**

### 2.2.4 First Impressions Count

The period after a job change is in many ways a “honeymoon” period before familiarity sets in, and is a time of meeting a lot of new people. As there will be the constructing of new social interactions, the first impressions that are made are important for the future.

This may be a good time to formally share your ideas with the organisation as a way of purposefully making an impact and creating a positive first impression

## 2.3 Creating Stability

When impacting a new job and operating environment, there is instability created in different areas. In order to make sense of some of the changes and to operate effectively, there are certain elements that can contribute to the required level of stability for effectiveness.

### 2.3.1 Adapting your Environment

Managing the environment requires that you learn the “rules” and understand the context so that you do not try and change those things that cannot be changed. In addition, customizing one's own workspace both creates stability and puts a personal stamp on it signifying ownership.

### 2.3.2 Stability Set In

As adjustment to the change takes place, new stabilities are created. On a personal level, routines become established and it is important to reflect on these to see the difference between an efficient routine and an ineffective “rut”. Awareness of this behaviour pattern is useful to prevent poor work practices from developing. Beneficial stability practices could be those that allow for effective performance in the current environment, but that do not hinder adaptability to further change at a later stage.

## 3 Learning to use Change

During the overall process of job moving and relocation, several elements were observed that, when understood, could enhance any change process. In many ways, this third Action Research cycle was strongly reflective in nature and so ran in parallel but in the ‘opposite’ direction to the first two cycles. As explained in Chapter 3, these findings reported here are explicitly recognised as my own constructs and interpretations of the events in the research process.

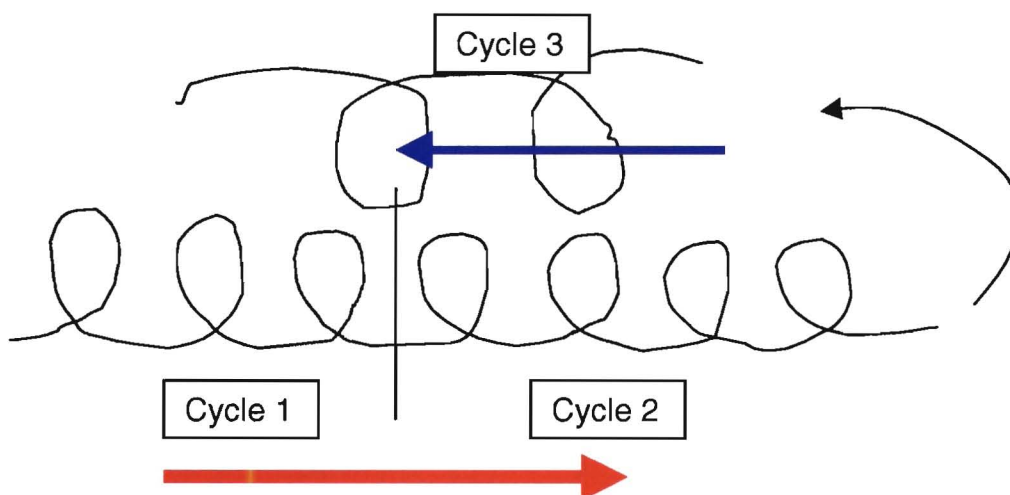


Fig 8: How the third AR cycle integrates to the rest of the process.

Details of the third cycle are presented in Fig 16 below and the details of the emergent learnings are then presented.

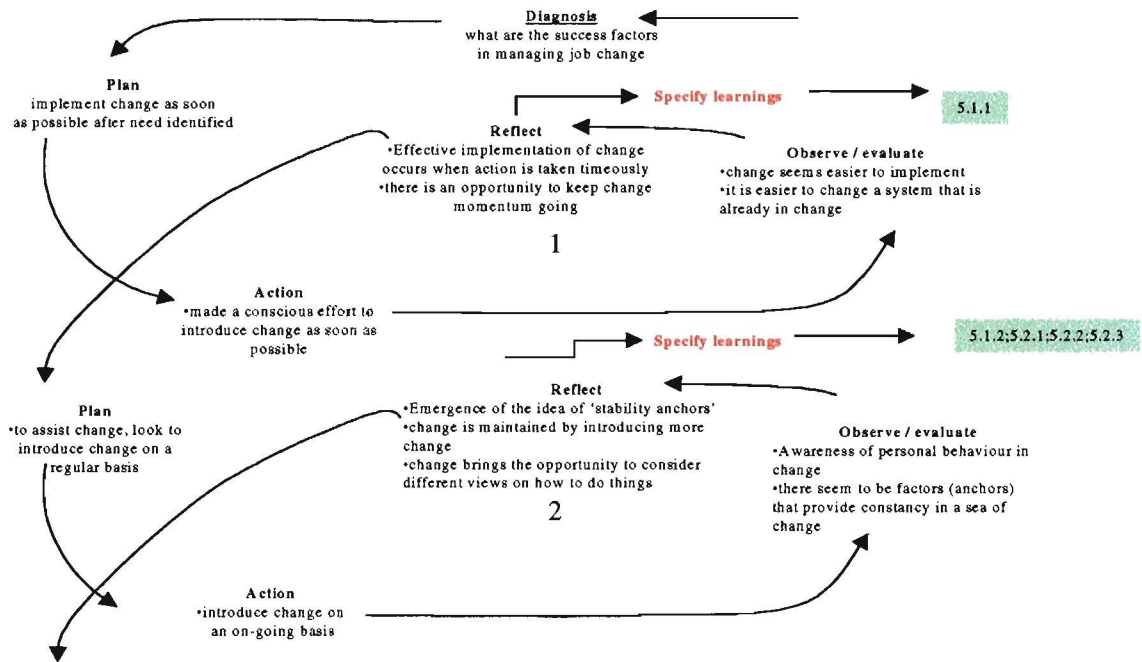
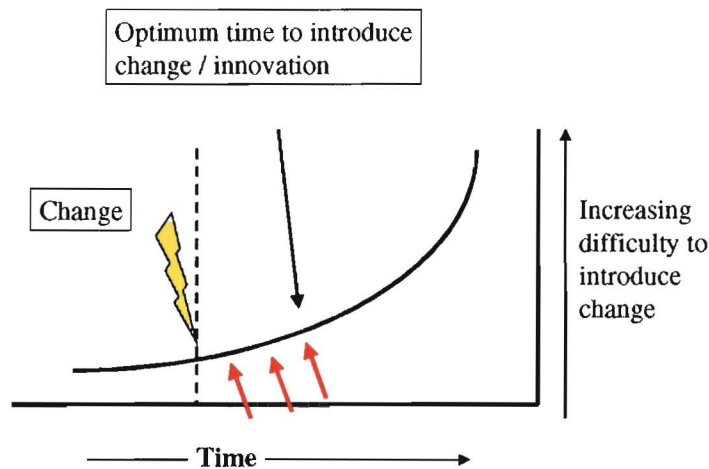


Fig 9: Details of the third Action Research Cycle.

### 3.1 Elements of effective change

#### 3.1.1 Change at the right time

Practical experience suggests that change should be initiated as soon as the need becomes apparent. The longer the commencement of action is delayed, the more difficult it is to accomplish the same output i.e. in terms of energy, it is more efficient to change early, rather than later as more energy is spent accomplishing the same task. It is suggested that this is because stability starts to set in after disruption to a system and once a system is in a state of "disruption", it is easier to introduce change processes.



**Fig 10: Taking action at the most effective time**

### 3.1.2 Awareness of change

Perhaps one of the ways to succeed in managing change is the personal acknowledgement of change as being an ever-present feature. Awareness of this sensitises one for the need to be continually adapting and looking out for the patterns of change.

In the experience studied here, the change was in the main a positive experience and I suspect that many of the observed personal behaviours may be different (opposite) if the change had been negative. Possible opposites of the personal positive change experiences are proposed in the table below. Awareness and recognition of these behaviour patterns may help a person in managing the change process.

<b>Positives experienced</b>	<b>Possible issues if change was negative</b>
Confidence	Fear; unsure
Accomplishment	Unfairness, distrust
Increased risk taking	Diminished risk taking
Encouraging behaviour	Blaming behaviour
Heightened sense of control	Loss of control
Seeking and gathering information	Sense of lack of information
Enhanced status feeling	Diminished status

**Table 1. Possible contrasting behaviours and feeling in a change process**

Depending on the situation, these reactions may be typical reactions to the impact of change

### 3.2 Sustaining Positive Change

#### 3.2.1 Foundations for Managing Continuous Change

During the cycles of Action Learning it appeared that even in the midst of continuous change and flux if a few critical aspects were addressed and in place, then the ability to handle change was considerably enhanced. The resolution and addressing of the many (potential) issues hinged on the critical few, and I have called these "stability anchors" (Fig 18).

If during a process of change, the critical stability anchors can be both identified and put in place, then the ability to manage change is enhanced (e.g. where to live, firm decisions on schools etc.) In managing change, too few anchors result in chaos and too many results in inertia and stagnation. However, the optimum number gives robustness to a system and enhances capacity to deal with change. These "stability anchors" are not in themselves static and would change as the surrounding context and environment changes, but the explicit awareness and seeking of the right anchors is an important managerial tool.

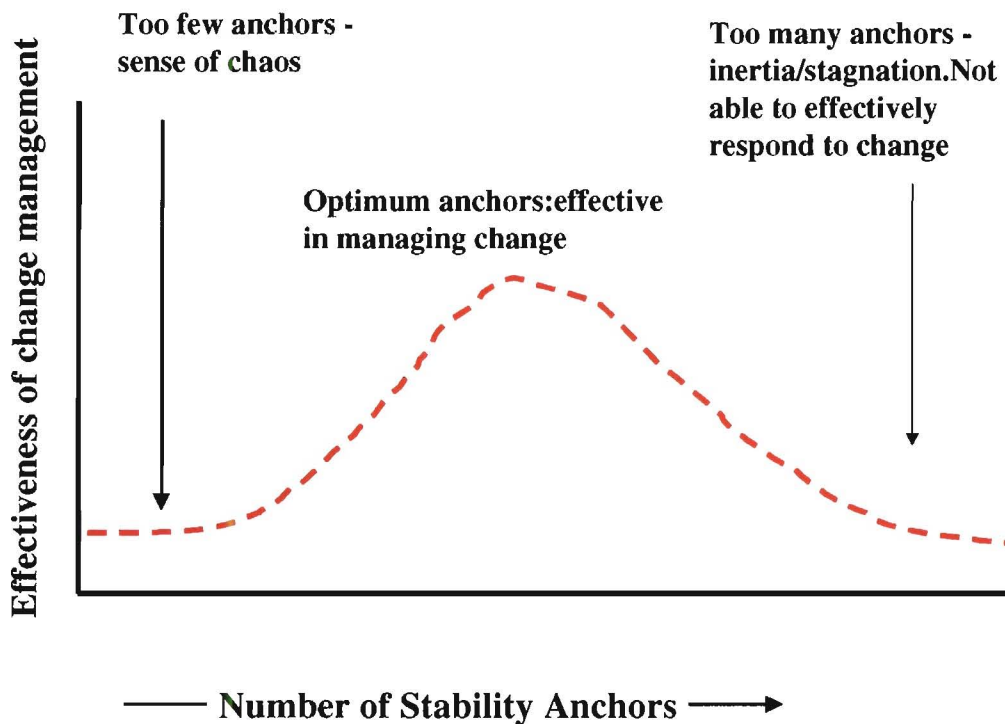


Fig 11: The impact of "stability anchors" in change

Implicit in this idea is that frequently the impression of change management is that **everything** is in a state of flux. This is not so, and even in a state of rapid and dynamic change, the identification of stability anchors will be useful as they create a "reference point" in the middle of a changing environment.

### **3.2.2 Change as a lubricant**

Change brings with it the opportunity for more change, and correctly channelled, the use of regular change can sustain more change with less effort.

It normally requires quite a bit of effort to "push" a system in to change, and after the change, the system seems to drop back until it finds its own equilibrium. If change can be brought at the correct time, the system will be a lot easier to keep going as the momentum from the previous change is still there (the corollary to this is that if there is a change too soon, there could be system fatigue). A system in change (positive change in this case) is a lot more receptive and capable to change than a stagnant system.

### **3.2.3 Opportunities that change Brings**

When you are in a process of change, there are opportunities that arise that are of benefit to others:

The arrival of a new person into a team etc allows that person to act as a "mirror"...because the person is new and not co-opted into the system, they can observe and comment on aspects that the team is blind to. This opportunity to get feedback is very useful to a team, but clearly the right time has to be chosen to seek feedback (too soon, and not enough information has been acquired; too long, and the person becomes co-opted into the system).

The impact of a new person means that others should be aware of the fact that new / different ideas will be presented, and to be sensitive not to exclude them from the mental model / paradigm in use.

## Appendix 4: Other Change Models

Throughout management literature, there are several models for explaining the mechanism of change beside the three models that were chosen for examination in the main body of the work. The three models that were used were arrived at based on the criteria of general applicability to change (Lewin), contrasting ideas of 'positive' and 'negative' change (Kubler-Ross) and change in a work-related sense (Connor). In addition to these widely recognised models, the following models of change are frequently cited in relation to change management, but in most cases they have been developed in a fairly narrow field of applicability.

### 1. The Satir model of Change

The Satir model (Satir, 1991) has found application particularly in organizational change and a key element of the Satir System is a five-stage change model (see Figure 1) that describes the effects each stage has on feelings, thinking, performance, and physiology. This model is designed to assist the person experiencing change to process the change and how to help others process change.

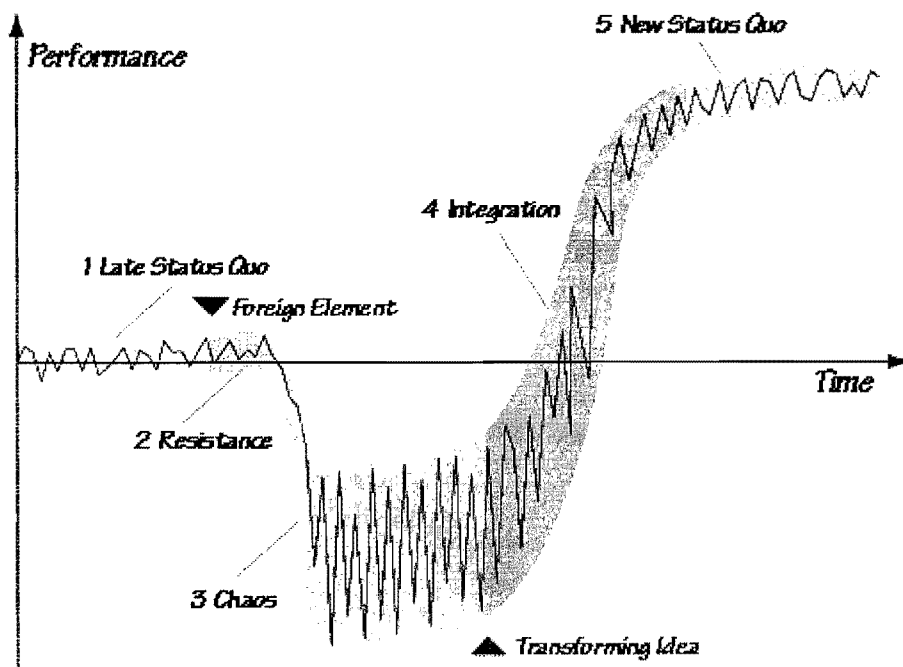


Figure 1: The Satir Change Management Model: A 5 stage process (Satir, 1991)

#### Stage One – Late Status Quo.

There have been coping mechanisms in place for minor disruptions to a social system, but these mechanisms are no longer adequate and the

people in the system experience more and more turmoil due to the changing environment. In a sense, the need for change has been created, but because the people have been in a 'stable' operating situation for some time, the need to change has not yet been recognised.

### **Stage 2 - Resistance**

The group confronts a *foreign element* that requires a response. Often imported by a small minority seeking change, this element brings the members whose opinions count the most face to face with a crucial issue. A foreign element threatens the stability of familiar power structures. Most members resist by denying its validity, avoiding the issue, or blaming someone for causing the problem. These blocking tactics are accompanied by unconscious physical responses, such as shallow breathing and closed posture.

Resistance clogs awareness and conceals the desires highlighted by the foreign element. For example, a powerful minority within the marketing department of a tool manufacturer engages a consultant to do a market survey. She finds a disturbing trend: A growing number of clients believe that a competitor is producing superior quality products at a lower price. Middle and upper management vehemently deny the findings and dispute the validity of the survey methods. But after a series of frank discussions with key clients, upper management accepts the findings. They develop a vision for propelling the company into a position as the industry leader in product quality and support.

Members in this stage need help opening up, becoming aware, and overcoming the reaction to deny, avoid or blame.

### **Stage 3 – Chaos**

The group enters the unknown. Relationships shatter: Old expectations may no longer be valid; old reactions may cease to be effective; and old behaviors may not be possible.

The loss of belonging and identity triggers anxiousness and vulnerability. Members may behave uncharacteristically as they revert to childhood survival rules. For instance, a manufacturing company cancels the development of a major new product, reduces the number of employees, and reorganizes. Many of the surviving employees lose their ability to concentrate for much of the day. Desperately seeking new relationships that offer hope, the employees search for different jobs. Both manufacturing yield and product quality takes a nosedive.

Chaos is the period of erratic performance that mirrors the search for a beneficial relationship to the foreign element. The chaos stage is vital to the transformation process.

#### **Stage 4 – Integration**

The members discover a *transforming idea* that shows how the foreign element can benefit them. The group becomes excited. New relationships emerge that offer the opportunity for identity and belonging. With practice, performance improves rapidly.

For instance, an experienced accounting group must convert to a new computer system. The group resists the new system fearing it will turn them into novices. But the members eventually discover that skill with this widely used system increases their value in the marketplace. Believing that the change may lead to salary increases or better jobs, the members begin a vigorous conversion to the new system.

Awareness of new possibilities enables authorship of new rules that build functional reactions, expectations, and behaviors. Members may feel euphoric and invincible, as the transforming idea may be so powerful that it becomes a panacea.

#### **Stage 5 – The New Status Quo**

If the change is well conceived and assimilated, the group and its environment are in better accord and performance stabilizes at a higher level than in the Late Status Quo. In this stage, the members continue to need to feel safe so they can practice. Everyone, manager and members, needs to encourage each other to continue exploring the imbalances between the group and its environment so that there is less resistance to

## **2. *The Transtheoretical model***

This model as described by Green (1997) has its origins in behavior modification and five stages of change have been conceptualized:

#### **Precontemplation:**

This stage represents those individuals who have no desire to change their behaviors in the immediate future. The immediate future usually refers to a six month time period. This is used because this is about as far in the future that most people plan a specific behavior change. It is also because most people are concerned with the present and don't plan far in the future so a six month time frame is used. Some individuals in this stage are very aware of the consequences of their behavior but may avoid getting involved in behavior change programs because of rationalizing their behavior to make sense to them. Individuals may also be tired of trying and failing at the desired behavior change.

#### **Contemplation:**

This stage is where the individual has the intent to change his/her behavior within the next six months. Just as in the precontemplation stage, the six month figure is used because this is about as far in the future that most people plan a specific behavior change. This individual is already

aware of the benefits and barriers of the desired behavior and plans change their behavior based on their interpretation of the benefits and barriers.

While the benefits of specific behavior change maybe somewhat obvious, the barriers may be different for each individual. One person may not have the finances to perform a certain behavior change, while another may have family problems that prohibit the behavior change, and yet another may not make the desired behavior change because they don't have access to the necessary things.

**Preparation:**

This stage combines the intention and the behavioral criteria. Individuals in this stage are intending to take action in the next month and have unsuccessfully taken action in the past year.

**Action:**

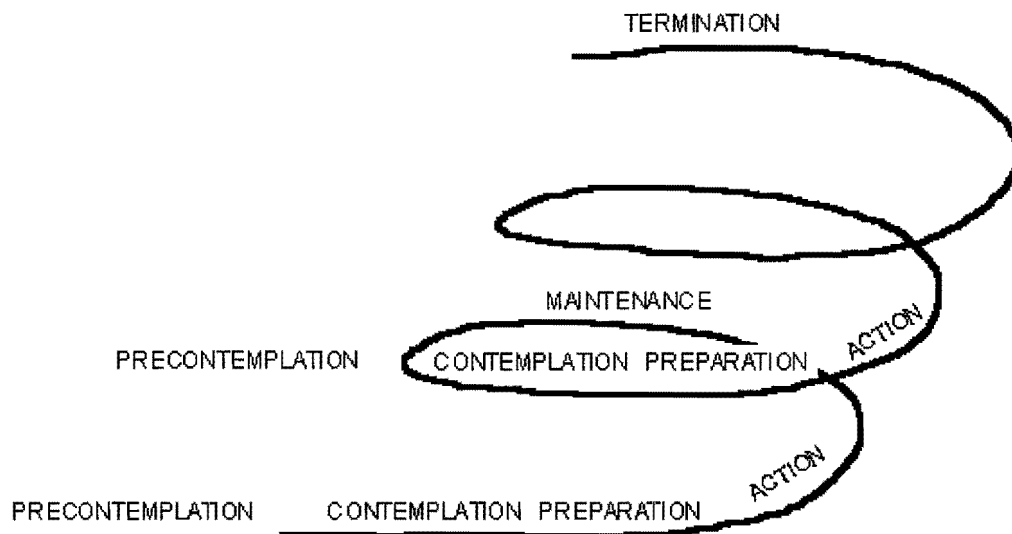
This stage of change reflects a consistent behavior pattern, is usually the most visible, and receives the greatest external recognition. When measuring the pros and cons of the desired behavior change, the individual's perceived cons of the behavior should outweigh the perceived pros of the behavior if it is an attempt to abstain from certain behaviors such as drug abuse or smoking. The individual's perceived pros should outweigh the perceived cons if the individual is making an attempt at a positive behavior change such as exercise adherence. If the individual making the behavior change continues his/her pattern of behavior, he/she will move into the fifth stage, called maintenance.

**Maintenance:**

This stage is one that starts six months after the action stage and can last for several years. The behavior being changed is the key factor in determining how long this stage will last. It is in this stage that the self-efficacy ( one's confidence in oneself to make a behavior change) of the individual is at it's highest, especially when compared to the four preceding stages.

In common with some change models, the Transtheoretical model of change is cyclical. The model makes reference to the fact that individuals may "undo" the change process and may relapse back several stages instead of just one. The individual needs to be prepared for relapse by knowing exactly what to do about it. A pictorial representation of the model is presented in Fig 3 below.

## *A Spiral Model of the Stages of Change*

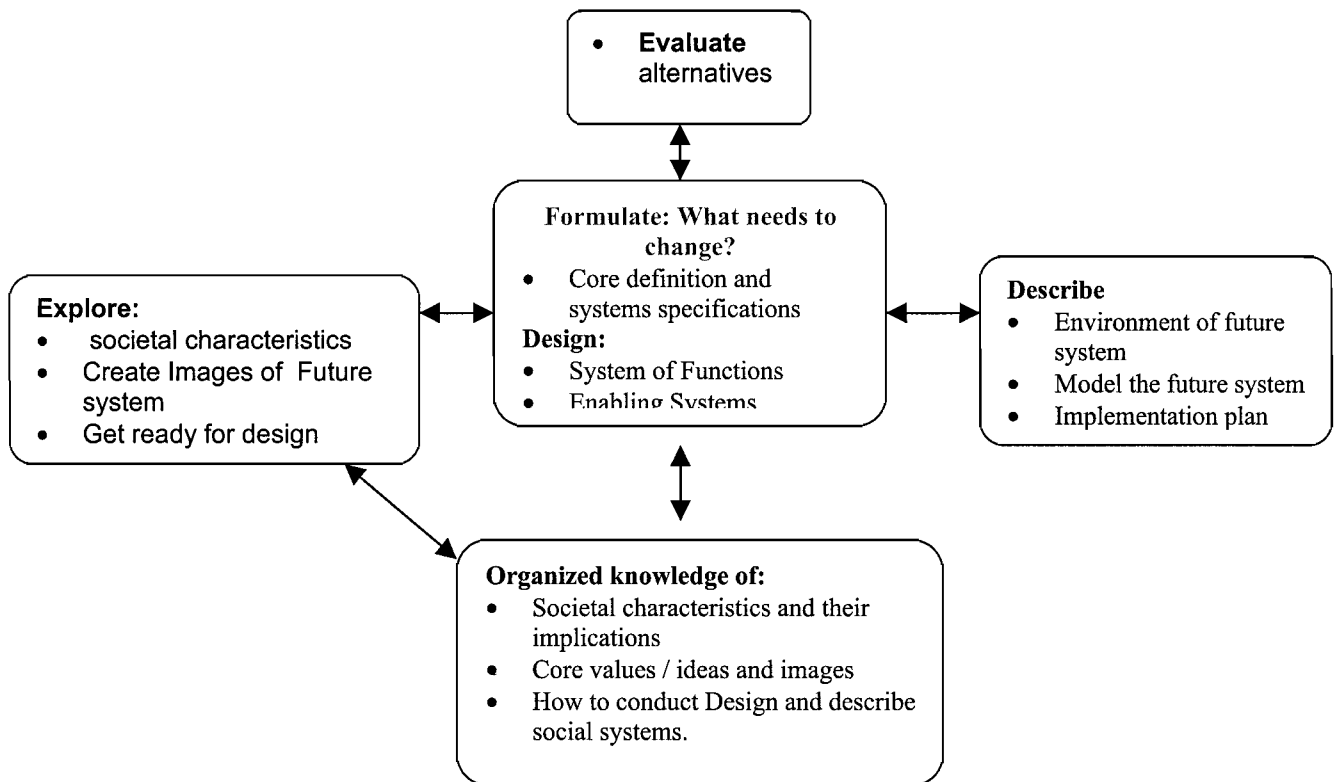


**Figure 2: The Transtheoretical Model of Change: as a spiral or cyclical process (DiClemente et al., 1995)**

### **3. The Banathy Model**

Taking a far more Systems Thinking approach, this model proposed by Banathy (1992) probably has its origins out of Soft Systems Methodology (Checkland, 1981). It deals with a holistic view to implementing a change process.

This model is based on the idea that systemic change takes into account the interconnectedness and the inter-relatedness of all parts of a system. Four of the five parts of the model look at enabling and connecting systems. The model suggests a design process that relies on movement back and forward between phases. A criticism of the model is that it makes no reference to what is already in place, and trying to find ways to fix it. Importantly, however, it recognizes the need to involve all stakeholders to the system during the design, development and implementation stages, a move designed to overcome resistance to change by the system as a whole (as opposed to resistance by the individual as is so often quoted in change management processes).



**Figure 3: Banathy's model : Systemic change management. (1992)**

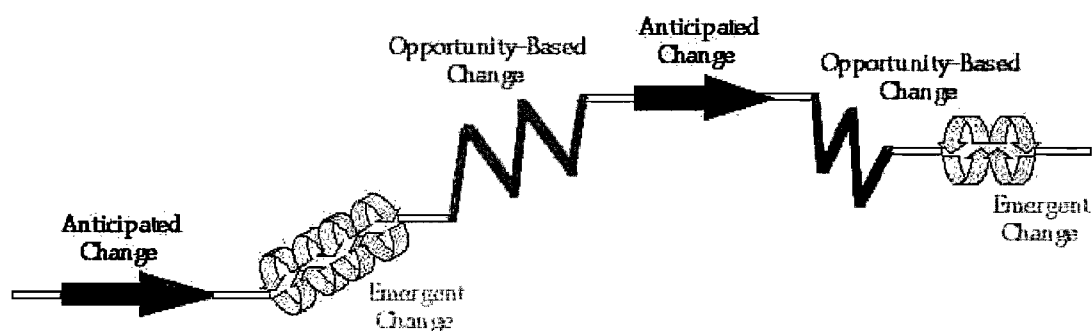
#### **4. An Improvisational Model of Change Management**

While there is typically some understanding up front of the magnitude of many organizational changes, the depth and complexity of the interactions among the various activities is only fully understood as the changes are implemented. For many organizations, such initiatives represent a whole new experience, not only because they haven't played the game before but because most of the rules are still evolving. In a world with uncertain rules, the traditional model for devising and executing a change initiative is very difficult to enact.

This model rests on two major assumptions which differentiate it from traditional models of change: firstly, that the changes constitute an ongoing process rather than an event with an end point after which the organization can expect to return to a reasonably steady state; and secondly, that the various organizational changes made during the ongoing process cannot, by definition, all be anticipated ahead of time.

Given these assumptions, this change model recognizes three different types of change: anticipated, emergent, and opportunity-based. These change types are

elaborations on Mintzberg's (1987) distinction between deliberate and emergent strategies. Here, the distinction is drawn between *anticipated* changes -- changes that are planned ahead of time and occur as intended -- and *emergent* changes - - changes that arise spontaneously out of local innovation and which are not originally anticipated or intended. An example of an anticipated change would be the implementation of electronic mail software which accomplishes its intended aim to facilitate increased and quicker communication among organizational members. An example of an emergent change would be the use of the electronic mail network as an informal grapevine disseminating rumors throughout an organization. This use of e-mail is typically not planned or anticipated when the network is implemented, but often emerges tacitly over time in particular organizational contexts.



**Figure 4: Improvisational Model of Change (Orlikowski & Hofman, 1997)**

The model further differentiates these two types of changes from *opportunity-based* changes -- changes that are not anticipated ahead of time but are introduced purposefully and intentionally during the change process in response to an unexpected opportunity, event, or breakdown. For example, as companies gain experience with the World Wide Web, they are finding opportunities to apply and leverage its capabilities in ways that were not anticipated or planned before the introduction of the Web. Both anticipated and opportunity-based changes involve deliberate action, in contrast to emergent changes which arise spontaneously and usually tacitly out of people's practices with the technology over time.

These three types of change build on each other over time in an iterative fashion (see Figure 4). While there is no pre-defined sequence in which the different types of change occur, the deployment of new technology often entails an initial anticipated organizational change associated with the installation of the new hardware/software. Over time, however, use of the new technology will typically involve a series of opportunity-based, emergent, and further anticipated changes, the order of which cannot be determined in advance because the changes

interact with each other in response to outcomes, events, and conditions arising through experimentation and use.

An improvisational model for managing change in organizations is not a predefined program of change charted by management ahead of time. Rather, it recognizes that change is an iterative series of different changes, many unpredictable at the start, that evolves out of practical experience with the new technologies. Using such a model to manage change requires a set of processes and mechanisms to recognize the different types of change as they occur and to respond effectively to them. Where an organization is open to change opportunities and willing to embrace this improvisational change model, it is argued that innovative organizational changes can be achieved.

## **5. Conclusion**

The models reviewed above all provide useful perspectives on the nature and underlying aspects of change in different circumstances. The Satir model takes an organizational view and describes the types of behaviors encountered without necessarily suggesting how these might be better managed. In common with many other models, the view is that change is an overwhelmingly negative experience. The Transtheoretical model is very much concerned with changing behaviour, and whilst a widely used model, it has limited application in an organisational change sense and the management of a changing environment. Bathany's model embodies many key ideas of ensuring successful systemic change, but it operates at a fairly high level of abstraction and is more useful for the planning of change initiatives. Finally, the Improvisational Model takes a useful approach as to how opportunities for change are derived and how they can be exploited, and that change is an on-going process. After reviewing the seven models of change, my choice to use the three particular models is explained in the introduction to this appendix.

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